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** 10/01 **, 2011, and ending** 09/30,**20**12

Name of foundation ANNA W THORNTON & ALEXANDER P THORNTON CHARITABLE TRUST R77776004

**A Employer identification number** 75-6496915

Number and street (or P O box number if mail is not delivered to street address) 10 S DEARBORN IL1-0117

Room/suite

**B** Telephone number (see instructions) (866) 888-5157

City or town, state, and ZIP code CHICAGO, IL 60603

**C** If exemption application is pending, check here ▶ ☐

**D** 1 Foreign organizations, check here ▶ ☐

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

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

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

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

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

**I** Fair market value of all assets at end of year *(from Part II, col (c), line 16)* ▶ $ 2,040,503.

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

## Part I Analysis of Revenue and Expenses

*(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions) )*

| | | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|---|
| Revenue | 1 | Contributions, gifts, grants, etc , received (attach schedule) | | | | |
| | 2 | Check ▶ ☒ if the foundation is **not** required to attach Sch B | | | | |
| | 3 | Interest on savings and temporary cash investments | | | | |
| | 4 | Dividends and interest from securities | 49,477. | 49,431. | | |
| | 5a | Gross rents | | | | |
| | b | Net rental income or (loss) | | | | |
| | 6a | Net gain or (loss) from sale of assets not on line 10 | 18,982. | | | |
| | b | Gross sales price for all assets on line 6a 882,552. | | | | |
| | 7 | Capital gain net income (from Part IV, line 2) | | 18,982. | | |
| | 8 | Net short-term capital gain | | | | |
| | 9 | Income modifications | | | | |
| | 10a | Gross sales less returns and allowances | | | | |
| | b | Less. Cost of goods sold | | | | |
| | c | Gross profit or (loss) (attach schedule) | | | | |
| | 11 | Other income (attach schedule) | | | | |
| | 12 | **Total.** Add lines 1 through 11 | 68,459. | 68,413. | | |
| Operating and Administrative Expenses | 13 | Compensation of officers, directors, trustees, etc | 23,352. | 17,514. | | 5,838. |
| | 14 | Other employee salaries and wages | | | | |
| | 15 | Pension plans, employee benefits | | | | |
| | 16a | Legal fees (attach schedule) | | | | |
| | b | Accounting fees (attach schedule) | | | | |
| | c | Other professional fees (attach schedule) | | | | |
| | 17 | Interest | | | | |
| | 18 | Taxes (attach schedule) (see instructions) STMT 1 | 1,700. | 373. | | |
| | 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 | 25,052. | 17,887. | | 5,838. |
| | 25 | Contributions, gifts, grants paid | 80,500. | | | 80,500. |
| | 26 | **Total expenses and disbursements** Add lines 24 and 25 | 105,552. | 17,887. | | 86,338. |
| | 27 | Subtract line 26 from line 12 | | | | |
| | a | **Excess of revenue over expenses and disbursements** | -37,093. | | | |
| | b | **Net investment income** (if negative, enter -0-) | | 50,526. | | |
| | c | **Adjusted net income** (if negative, enter -0-) | | | | |

**For Paperwork Reduction Act Notice, see instructions.** JSA 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 | 915. | | |
| | 2 | Savings and temporary cash investments | 25,062. | 54,922. | 54,922. |
| | 3 | Accounts receivable ▶<br>Less allowance for doubtful accounts ▶ | | | |
| | 4 | Pledges receivable ▶<br>Less. allowance for doubtful accounts ▶ | | | |
| | 5 | Grants receivable | | | |
| | 6 | Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) | | | |
| | 7 | Other notes and loans receivable (attach schedule) ▶<br>Less allowance for doubtful accounts ▶ | | | |
| | 8 | Inventories for sale or use | | | |
| | 9 | Prepaid expenses and deferred charges | | | |
| | 10 a | Investments - U S and state government obligations (attach schedule) | | | |
| | b | Investments - corporate stock (attach schedule) | 1,051,273. | 880,827. | 1,027,174. |
| | c | Investments - corporate bonds (attach schedule) | 789,887. | 686,709. | 735,357. |
| | 11 | Investments - land, buildings, and equipment basis ▶<br>Less accumulated depreciation (attach schedule) ▶ | | | |
| | 12 | Investments - mortgage loans | | | |
| | 13 | Investments - other (attach schedule) | | 207,521. | 223,050. |
| | 14 | Land, buildings, and equipment basis ▶<br>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) | 1,867,137. | 1,829,979. | 2,040,503. |
| 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) | | | |
| Net Assets or Fund Balances | | **Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.** | | | |
| | 24 | Unrestricted | | | |
| | 25 | Temporarily restricted | | | |
| | 26 | Permanently restricted | | | |
| | | **Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ ☒** | | | |
| | 27 | Capital stock, trust principal, or current funds | 1,867,137. | 1,829,979. | |
| | 28 | Paid-in or capital surplus, or land, bldg , and equipment fund | | | |
| | 29 | Retained earnings, accumulated income, endowment, or other funds | | | |
| | 30 | **Total net assets or fund balances** (see instructions) | 1,867,137. | 1,829,979. | |
| | 31 | **Total liabilities and net assets/fund balances** (see instructions) | 1,867,137. | 1,829,979. | |

## 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 | 1,867,137. |
| 2 | Enter amount from Part I, line 27a | 2 | -37,093. |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | |
| 4 | Add lines 1, 2, and 3 | 4 | 1,830,044. |
| 5 | Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 2 | 5 | 65. |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 1,829,979. |

## 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 | PUBLICLY TRADED SECURITIES | | | |
| 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 | 873,798. | | 863,570. | 10,228. |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

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

| | (i) F M V as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col (i) over col (j), if any | (l) Gains (Col (h) gain minus col. (k), but not less than -0-) or Losses (from col (h)) |
|---|---|---|---|---|
| a | | | | 10,228. |
| 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 | 18,982. |
| 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 instructions). If (loss), enter -0- in Part I, line 8 | | 3 | |

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

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

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

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

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

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

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col (b) divided by col. (c)) |
|---|---|---|---|
| 2010 | 99,133. | 1,855,215. | 0.053435 |
| 2009 | 92,303. | 1,966,178. | 0.046945 |
| 2008 | 111,258. | 1,835,359. | 0.060619 |
| 2007 | 103,380. | 2,333,529. | 0.044302 |
| 2006 | 125,771. | 2,429,132. | 0.051776 |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d) | 2 | 0.257077 |
| 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 | 0.051415 |
| 4 | Enter the net value of noncharitable-use assets for 2011 from Part X, line 5 | 4 | 1,958,127. |
| 5 | Multiply line 4 by line 3 | 5 | 100,677. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 505. |
| 7 | Add lines 5 and 6 | 7 | 101,182. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 86,338. |

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

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

| | | | | | |
|---|---|---|---|---|---|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1 . . .<br>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 ▶ ☐ and enter 1% of Part I, line 27b . . . . . . . . . . . . . . . . . . . . . . . . . . . | | | 1 | 1,011. |
| c | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b). | | | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) . . . | | | 2 | |
| 3 | Add lines 1 and 2 . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . | | | 3 | 1,011. |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) . . . | | | 4 | NONE |
| 5 | **Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0- . . . . . . . . . . . . | | | 5 | 1,011. |
| 6 | Credits/Payments | | | | |
| a | 2011 estimated tax payments and 2010 overpayment credited to 2011 . . . . | 6a | 1,080. | | |
| b | Exempt foreign organizations - tax withheld at source . . . . . . . . . . . . | 6b | NONE | | |
| c | Tax paid with application for extension of time to file (Form 8868) . . . . . . . | 6c | 1,100. | | |
| d | Backup withholding erroneously withheld . . . . . . . . . . . . . . . . . . | 6d | | | |
| 7 | Total credits and payments Add lines 6a through 6d . . . . . . . . . . . . . . . . . . . . . . . . . . . . | | | 7 | 2,180. |
| 8 | Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached . . . . . . . | | | 8 | |
| 9 | **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** . . . . . . . . . . . . . . . ▶ | | | 9 | |
| 10 | **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** . . . . . . . . . . ▶ | | | 10 | 1,169. |
| 11 | Enter the amount of line 10 to be **Credited to 2012 estimated tax** ▶ 1,012. **Refunded** ▶ | | | 11 | 157. |

## Part VII-A Statements Regarding Activities

| | | | Yes | No |
|---|---|---|---|---|
| 1a | During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? . . . . . . . . . . . . . . . . . . . . . . . . . . . . . | 1a | | X |
| b | Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . | 1b | | X |
| | *If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities* | | | |
| c | Did the foundation file **Form 1120-POL** for this year? . . . . . . . . . . . . . . . . . . . . . . . . . . | 1c | | X |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year.<br>(1) On the foundation ▶$ ______________ (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? . . . . . . . . . . . . . . .<br>*If "Yes," attach a detailed description of the activities* | 2 | | X |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes* . . . . . . . . . . . | 3 | | X |
| 4a | Did the foundation have unrelated business gross income of $1,000 or more during the year? . . . . . . . . . . . . . . . . | 4a | | X |
| b | If "Yes," has it filed a tax return on **Form 990-T** for this year? . . . . . . . . . . . . . . . . . . . . . . . . . . | 4b | | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year? . . . . . . . . . . . . . . . .<br>*If "Yes," attach the statement required by General Instruction T* | 5 | | X |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either<br>● By language in the governing instrument, or<br>● By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? . . . . . . . . . . . . . . . . . . . . . . . . . . | 6 | X | |
| 7 | Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV* | 7 | X | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions) ▶<br>TX | | | |
| b | If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation* . . . . . . . . . . . . . . . . | 8b | X | |
| 9 | Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2011 or the taxable year beginning in 2011 (see instructions for Part XIV)? *If "Yes," complete Part XIV* . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . | 9 | | X |
| 10 | Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses* . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . | 10 | | X |

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

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

Website address ▶ N/A

14 The books are in care of ▶ JP MORGAN CHASE BANK, NA Telephone no ▶ (866) 888-5157

Located at ▶ 10 S DEARBORN ST; MC: IL1-0117, CHICAGO, IL ZIP + 4 ▶ 60603

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

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

| | | | Yes | No |
|---|---|---|---|---|
| 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 | | X |
| | 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? ☐ Yes ☒ No | | | |
| | (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No | | | |
| | (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No | | | |
| | (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No | | | |
| | (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No | | | |
| | (6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days ) ☐ Yes ☒ No | | | |
| b | If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? | 1b | | X |
| | Organizations relying on a current notice regarding disaster assistance check here ▶ ☐ | | | |
| c | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2011? | 1c | | X |
| 2 | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)) | | | |
| a | At the end of tax year 2011, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2011? ☐ Yes ☒ No<br>If "Yes," list the years ▶ ____, ____, ____, ____ | | | |
| b | Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions ) | 2b | | |
| c | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here.<br>▶ ____, ____, ____, ____ | | | |
| 3a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No | | | |
| b | If "Yes," did it have excess business holdings in 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? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2011 )* | 3b | | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | | X |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2011? | 4b | | X |

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

| | | | Yes | No |
|---|---|---|---|---|
| 5a | During the year did the foundation pay or incur any amount to | | | |
| | (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No | | | |
| | (2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No | | | |
| | (3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No | | | |
| | (4) Provide a grant to an organization other than a charitable, etc, organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ Yes ☒ No | | | |
| | (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No | | | |
| b | If any answer is "Yes" to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)? | 5b | | |
| | Organizations relying on a current notice regarding disaster assistance check here ▶ ☐ | | | |
| c | If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No<br>*If "Yes," attach the statement required by Regulations section 53 4945-5(d)* | | | |
| 6a | Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No | | | |
| b | Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?<br>*If "Yes" to 6b, file Form 8870* | 6b | | X |
| 7a | At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No | | | |
| b | If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? | 7b | | |

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

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

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| SEE STATEMENT 3 | | 23,352. | -0- | -0- |
| | | | | |
| | | | | |
| | | | | |

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

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

**Total** number of other employees paid over $50,000 ▶ NONE

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

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

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

## 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 NONE | |
| 2 | |
| 3 | |
| 4 | |

## Part IX-B Summary of Program-Related Investments (see instructions)

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | Amount |
|---|---|
| 1 NONE | |
| 2 | |
| All other program-related investments See instructions<br>3 NONE | |
| **Total.** Add lines 1 through 3 . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ | |

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

| | | | |
|---|---|---|---|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes: | | |
| a | Average monthly fair market value of securities | 1a | 1,910,966. |
| b | Average of monthly cash balances | 1b | 76,980. |
| c | Fair market value of all other assets (see instructions) | 1c | NONE |
| d | **Total** (add lines 1a, b, and c) | 1d | 1,987,946. |
| 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 | NONE |
| 3 | Subtract line 2 from line 1d | 3 | 1,987,946. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 29,819. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 1,958,127. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 97,906. |

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

| | | | | | |
|---|---|---|---|---|---|
| 1 | Minimum investment return from Part X, line 6 | | | 1 | 97,906. |
| 2a | Tax on investment income for 2011 from Part VI, line 5 | 2a | 1,011. | | |
| b | Income tax for 2011. (This does not include the tax from Part VI.) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 1,011. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | | | 3 | 96,895. |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | NONE |
| 5 | Add lines 3 and 4 | | | 5 | 96,895. |
| 6 | Deduction from distributable amount (see instructions) | | | 6 | NONE |
| 7 | **Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | | | 7 | 96,895. |

## Part XII Qualifying Distributions (see instructions)

| | | | |
|---|---|---|---|
| 1 | Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes: | | |
| a | Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26 | 1a | 86,338. |
| 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 | NONE |
| 3 | Amounts set aside for specific charitable projects that satisfy the: | | |
| a | Suitability test (prior IRS approval required) | 3a | NONE |
| b | Cash distribution test (attach the required schedule) | 3b | NONE |
| 4 | **Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 86,338. |
| 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 instructions) | 5 | N/A |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 86,338. |

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

## Part XIII Undistributed Income (see instructions)

| | | | | (a)<br>Corpus | (b)<br>Years prior to 2010 | (c)<br>2010 | (d)<br>2011 |
|---|---|---|---|---|---|---|---|
| 1 | | Distributable amount for 2011 from Part XI, line 7 | | | | | 96,895. |
| 2 | | Undistributed income, if any, as of the end of 2011: | | | | | |
| | a | Enter amount for 2010 only | | | | 80,165. | |
| | b | Total for prior years 20____,20____,20____ | | | NONE | | |
| 3 | | Excess distributions carryover, if any, to 2011 | | | | | |
| | a | From 2006 | NONE | | | | |
| | b | From 2007 | NONE | | | | |
| | c | From 2008 | NONE | | | | |
| | d | From 2009 | NONE | | | | |
| | e | From 2010 | NONE | | | | |
| | f | **Total** of lines 3a through e | | NONE | | | |
| 4 | | Qualifying distributions for 2011 from Part XII, line 4 ▶ $ 86,338. | | | | | |
| | a | Applied to 2010, but not more than line 2a | | | | 80,165. | |
| | b | Applied to undistributed income of prior years (Election required - see instructions) | | | NONE | | |
| | c | Treated as distributions out of corpus (Election required - see instructions) | | NONE | | | |
| | d | Applied to 2011 distributable amount | | | | | 6,173. |
| | e | Remaining amount distributed out of corpus | | NONE | | | |
| 5 | | Excess distributions carryover applied to 2011 *(If an amount appears in column (d), the same amount must be shown in column (a).)* | | NONE | | | NONE |
| 6 | | **Enter the net total of each column as indicated below:** | | | | | |
| | a | Corpus Add lines 3f, 4c, and 4e. Subtract line 5 | | NONE | | | |
| | b | Prior years' undistributed income Subtract line 4b from line 2b | | | NONE | | |
| | 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 | | | NONE | | |
| | d | Subtract line 6c from line 6b Taxable amount - see instructions | | | NONE | | |
| | e | Undistributed income for 2010 Subtract line 4a from line 2a. Taxable amount - see instructions | | | | | |
| | f | Undistributed income for 2011 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2012 | | | | | 90,722. |
| 7 | | Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions) | | NONE | | | |
| 8 | | Excess distributions carryover from 2006 not applied on line 5 or line 7 (see instructions) | | NONE | | | |
| 9 | | **Excess distributions carryover to 2012.** Subtract lines 7 and 8 from line 6a | | NONE | | | |
| 10 | | Analysis of line 9 | | | | | |
| | a | Excess from 2007 | NONE | | | | |
| | b | Excess from 2008 | NONE | | | | |
| | c | Excess from 2009 | NONE | | | | |
| | d | Excess from 2010 | NONE | | | | |
| | e | Excess from 2011 | NONE | | | | |

## Part XIV Private Operating Foundations (see instructions and Part VII-A, question 9) NOT APPLICABLE

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 foundation is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

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

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

**1 Information Regarding Foundation Managers:**

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

N/A

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.

N/A

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

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

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

SEE STATEMENT 4

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

SEE ATTACHED STATEMENT FOR LINE 2

c Any submission deadlines:

SEE ATTACHED STATEMENT FOR LINE 2

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

SEE ATTACHED STATEMENT FOR LINE 2

**Part XV** **Supplementary Information** (continued)

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

| Recipient<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| SEE STATEMENT 6 | | | | |
| **Total** . . . . . . . . ▶ **3a** | | | | 80,500. |
| **b** *Approved for future payment* | | | | |
| **Total** . . . . . . . . ▶ **3b** | | | | |

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

| Enter gross amounts unless otherwise indicated | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income (See 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 | | | | | |
| 4 Dividends and interest from securities | | | 14 | 49,477. | |
| 5 Net rental income or (loss) from real estate: | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 18,982. | |
| 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) | | | | 68,459. | |

13 **Total.** Add line 12, columns (b), (d), and (e) . . . 13 68,459.

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

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

| Line No. ▼ | Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). (See instructions.) |
|---|---|
| | NOT APPLICABLE |

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

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

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

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

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

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

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

**Sign Here**

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

Anthony Ward | 06/18/2013 ▶

Signature of officer or trustee | Date | Title

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

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☐ if self-employed | PTIN |
|---|---|---|---|---|
| Firm's name ▶ | | | Firm's EIN ▶ | |
| Firm's address ▶ | | | Phone no | |

## FORM 990PF, PART I - TAXES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| FOREIGN TAXES | 7. | 7. |
| FEDERAL TAX PAYMENT - PRIOR YE | 247. | |
| FEDERAL ESTIMATES - INCOME | 1,080. | |
| FOREIGN TAXES ON QUALIFIED FOR | 351. | 351. |
| FOREIGN TAXES ON NONQUALIFIED | 15. | 15. |
| TOTALS | 1,700. | 373. |

## FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCES

| DESCRIPTION | AMOUNT |
|---|---|
| PRIOR PERIOD ADJUSTMENT | 65. |
| TOTAL | 65. |

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

OFFICER NAME:
JP MORGAN CHASE BANK, NA
ADDRESS:
10 S DEARBORN ST; MC: IL1-0117
CHICAGO, IL 60603
TITLE:
TRUSTEE
AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 2

| | |
|---|---|
| COMPENSATION ............................................... | 23,352. |
| TOTAL COMPENSATION: | 23,352. |

FORM 990PF, PART XV - LINES 2a - 2d
====================================

RECIPIENT NAME:
KONNIE DARROW, C/O JP MORGAN CHASE BANK, NA
ADDRESS:
420 THROCKMORTON, FL 3
FORT WORTH, TX 76102
RECIPIENT'S PHONE NUMBER: 817-884-4772
FORM, INFORMATION AND MATERIALS:
NONE
SUBMISSION DEADLINES:
NONE
RESTRICTIONS OR LIMITATIONS ON AWARDS:
ORGANIZATIONS PROVIDING WOMEN'S AND CHILDREN'S
CHILDREN'S SERVICES IN TARRANT COUNTY
RECEIVE FIRST PRIORITY

RECIPIENT NAME:
PLANNED PARENTHOOD OF
DALLAS & NORTH TEXAS INC
ADDRESS:
7424 GREENVILLE AVE STE 206
DALLAS, TX 75231
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL
FOUNDATION STATUS OF RECIPIENT:
PUBLIC
AMOUNT OF GRANT PAID ............................................ 35,000.

RECIPIENT NAME:
THE PARENTING CENTER
ADDRESS:
2928 W 5TH STREET
FORT WORTH, TX 76107
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL
FOUNDATION STATUS OF RECIPIENT:
PUBLIC
AMOUNT OF GRANT PAID ............................................ 25,000.

RECIPIENT NAME:
FORT WORTH JUNIOR GOLF
FOUNDATION
ADDRESS:
PO BOX 4767
FORT WORTH, TX 76164
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL
FOUNDATION STATUS OF RECIPIENT:
PUBLIC
AMOUNT OF GRANT PAID ............................................ 15,000.

STATEMENT 5

FORM 990PF, PART XV, LINE 3 - CONTRIBUTIONS, GIFTS, GRANTS PAID

RECIPIENT NAME:
YMCA OF ARLINGTON
ADDRESS:
2200 S DAVIS DR
ARLINGTON, TX 76013
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL
FOUNDATION STATUS OF RECIPIENT:
PUBLIC
AMOUNT OF GRANT PAID .............................................. 5,000.

RECIPIENT NAME:
THE SALVATION ARMY
ADDRESS:
8787 N STEMMONS FWY STE 800
DALLAS, TX 75247
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL
FOUNDATION STATUS OF RECIPIENT:
PUBLIC
AMOUNT OF GRANT PAID .............................................. 500.

TOTAL GRANTS PAID: 80,500.

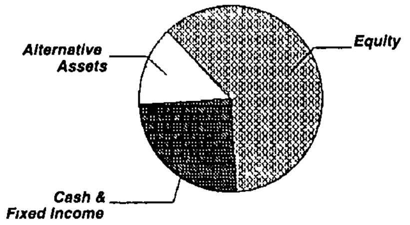
STATEMENT 6

# Account Summary

## PRINCIPAL

| Asset Allocation | Beginning Market Value | Ending Market Value | Change In Value | Estimated Annual Income | Current Allocation |
|---|---|---|---|---|---|
| Equity | 1,020,550 61 | 1,027,174 26 | 6,623 65 | 8,799 78 | 61% |
| Alternative Assets | 211,428.13 | 223,050.16 | 11,622 03 | 6,973 58 | 14% |
| Cash & Fixed Income | 403,717 12 | 415,138.70 | 11,421 58 | 15,057 04 | 25% |
| **Market Value** | **$1,635,695.86** | **$1,665,363.12** | **$29,667.26** | **$30,830.40** | **100%** |

**Asset Allocation**



## INCOME

| Cash Position | Beginning Market Value | Ending Market Value | Change In Value |
|---|---|---|---|
| Cash Balance | 10,678 33 | 11,858.44 | 1,180 11 |
| Accruals | 2,099.96 | 2,010 40 | (89 56) |
| **Market Value** | **$12,778.29** | **$13,868.84** | **$1,090.55** |

|  | PRINCIPAL |  | INCOME |  |
|---|---|---|---|---|
| Portfolio Activity | Current Period Value | Year-to-Date Value | Current Period Value | Year-to-Date Value |
| **Beginning Market Value** | **1,635,695.86** | **1,513,751.47** | **10,678.33** | **914.84** |
| Additions |  |  | 457.03 | 69,957.48 |
| Withdrawals & Fees | (1,035 25) | (67,509 45) | (1,535.27) | (93,510 31) |
| **Net Additions/Withdrawals** | **($1,035.25)** | **($67,509.45)** | **($1,078.24)** | **($23,552.83)** |
| Income | 38 00 | 467.45 | 2,258.35 | 34,496 43 |
| Change In Investment Value | 30,664 51 | 218,653 65 |  |  |
| **Ending Market Value** | **$1,665,363.12** | **$1,665,363.12** | **$11,858.44** | **$11,858.44** |
| Accruals | -- | -- | 2,010 40 | 2,010 40 |
| **Market Value with Accruals** | -- | -- | **$13,868.84** | **$13,868.84** |

# Account Summary CONTINUED

| Tax Summary | Current Period Value | Year-to-Date Value |
|---|---|---|
| Domestic Dividends/Distributions | 2,228 21 | 34,107.35 |
| Foreign Dividends | 28.58 | 361 73 |
| Interest Income | 1 56 | 27 35 |
| Original Issue Discount | 38.00 | 467.45 |
| **Taxable Income** | **$2,296.35** | **$34,963.88** |

|  | Current Period Value | Year-to-Date Value |
|---|---|---|
| LT Capital Gain Distributions |  | 8,710 49 |
| ST Realized Gain/Loss | 2,205 30 | (10,551 89) |
| LT Realized Gain/Loss | 10,168 48 | 21,391 54 |
| **Realized Gain/Loss** | **$12,373.78** | **$19,550.14** |

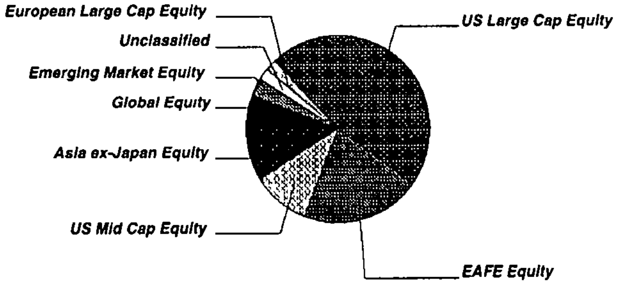
|  | To-Date Value |
|---|---|
| **Unrealized Gain/Loss** | **$180,017.97** |

| Cost Summary | Cost |
|---|---|
| Equity | 880,826 86 |
| Cash & Fixed Income | 396,997.15 |
| **Total** | **$1,277,824.01** |

# Equity Summary

| Asset Categories | Beginning Market Value | Ending Market Value | Change In Value | Current Allocation |
|---|---|---|---|---|
| US Large Cap Equity | 477,162 52 | 489,303.39 | 12,140 87 | 29% |
| US Mid Cap Equity | 103,884 37 | 95,409 17 | (8,475.20) | 6% |
| EAFE Equity | 214,073.83 | 219,836 94 | 5,763.11 | 13% |
| European Large Cap Equity | 0 00 | 19,076.20 | 19,076 20 | 1% |
| Asia ex-Japan Equity | 139,247 66 | 99,918 67 | (39,328 99) | 6% |
| Emerging Market Equity | 42,503.29 | 39,004 57 | (3,498 72) | 2% |
| Global Equity | 43,678 94 | 44,825 32 | 1,146.38 | 3% |
| Concentrated & Other Equity | 0.00 | 0 00 | 0 00 | |
| Unclassified | 0 00 | 19,800 00 | 19,800.00 | 1% |
| **Total Value** | **$1,020,550.61** | **$1,027,174.26** | **$6,623.65** | **61%** |

**Asset Categories**



Equity as a percentage of your portfolio - 61 %

| Market Value/Cost | Current Period Value |
|---|---|
| Market Value | 1,027,174 26 |
| Tax Cost | 880,826 86 |
| Unrealized Gain/Loss | 146,347 40 |
| Estimated Annual Income | 8,799.78 |
| Accrued Dividends | 325 91 |
| Yield | 0 85% |

Note: **P** indicates position adjusted for Pending Trade Activity

# Equity Detail

|  | Price | Quantity | Value | Adjusted Tax Cost<br>Original Cost | Unrealized Gain/Loss | Est. Annual Inc.<br>Accrued Div | Yield |
|---|---|---|---|---|---|---|---|
| **US Large Cap Equity** |  |  |  |  |  |  |  |
| **ABBOTT LABORATORIES**<br>002824-10-0 ABT | 68 56 | 42.000 | 2,879 52 | 2,675 66 | 203 86 | 85 68 | 2.98% |
| **ACE LTD NEW**<br>H0023R-10-5 ACE | 75.60 | 54 000 | 4,082.40 | 3,010.59 | 1,071.81 | 105 84<br>26 46 | 2 59% |
| **ADOBE SYSTEMS INC**<br>00724F-10-1 ADBE | 32 44 | 23 000 | 746 01 | 734 77 | 11 24 |  |  |
| **ALLERGAN INC**<br>018490-10-2 AGN | 91.58 | 25 000 | 2,289 50 | 2,161.63 | 127 87 | 5 00 | 0.22% |
| **ALTERA CORP**<br>021441-10-0 ALTR | 34 00 | 75 000 | 2,550 00 | 2,855.66 | (305.66) | 30 00 | 1.18% |
| **AMAZON COM INC**<br>023135-10-6 AMZN | 254 32 | 20 000 | 5,086.40 | 2,093.80 | 2,992.60 |  |  |
| **ANADARKO PETROLEUM CORP**<br>032511-10-7 APC | 69 92 | 38 000 | 2,656 96 | 2,738 85 | (81 89) | 13.68 | 0 51% |
| **APPLE INC.**<br>037833-10-0 AAPL | 667 11 | 30 000 | 20,013.15 | 2,670 73 | 17,342 42 |  |  |
| **AT&T INC**<br>00206R-10-2 T | 37 70 | 98.000 | 3,694.60 | 3,364.67 | 329.93 | 172 48 | 4 67% |
| **AUTOZONE INC**<br>053332-10-2 AZO | 369.67 | 6 000 | 2,218 02 | 1,889 58 | 328 44 |  |  |
| P **BAIDU INC**<br>SPONS ADR<br>056752-10-8 BIDU | 116 89 | 15.000 | 1,753.35 | 1,464.49 | 288.86 |  |  |

| | Price | Quantity | Value | Adjusted Tax Cost<br>Original Cost | Unrealized Gain/Loss | Est. Annual Inc.<br>Accrued Div | Yield |
|---|---|---|---|---|---|---|---|
| **US Large Cap Equity** | | | | | | | |
| **BANK OF AMERICA CORP**<br>060505-10-4 BAC | 8 83 | 236 000 | 2,083 88 | 3,364 53 | (1,280.65) | 9.44 | 0 45% |
| **BIOGEN IDEC INC**<br>09062X-10-3 BIIB | 149 21 | 28 000 | 4,177 88 | 1,426 55 | 2,751.33 | | |
| **BROADCOM CORP**<br>CL A<br>111320-10-7 BRCM | 34 57 | 41 000 | 1,417 37 | 1,436 70 | (19.33) | 16.40 | 1 16% |
| **CAPITAL ONE FINANCIAL CORP**<br>14040H-10-5 COF | 57.01 | 43.000 | 2,451 43 | 1,959.25 | 492 18 | 8 60 | 0.35% |
| **CARDINAL HEALTH INC**<br>14149Y-10-8 CAH | 38.97 | 70 000 | 2,727.90 | 2,054 62 | 673.28 | 66 50<br>16.63 | 2 44% |
| **CAREFUSION CORPORATION**<br>14170T-10-1 CFN | 28 39 | 78 000 | 2,214 42 | 2,055 32 | 159 10 | | |
| P **CARNIVAL CORPORATION**<br>143658-30-0 CCL | 36.43 | 50.000 | 1,821.50 | 1,843.73 | (22 23) | 50.00 | 2 74% |
| **CELGENE CORPORATION**<br>151020-10-4 CELG | 76.40 | 40 000 | 3,056.00 | 1,942 09 | 1,113 91 | | |
| **CENTERPOINT ENERGY INC**<br>15189T-10-7 CNP | 21 30 | 145.000 | 3,088 50 | 2,373.49 | 715.01 | 117.45 | 3 80% |
| **CISCO SYSTEMS INC**<br>17275R-10-2 CSCO | 19.10 | 200 000 | 3,819.00 | 2,077.77 | 1,741.23 | 112 00 | 2 93% |
| **CITIGROUP INC NEW**<br>172967-42-4 C | 32.72 | 108 000 | 3,533 76 | 3,795.46 | (261.70) | 4 32 | 0 12% |
| **CITRIX SYSTEMS INC**<br>177376-10-0 CTXS | 76 53 | 18 000 | 1,377 52 | 1,039.21 | 338 31 | | |

| | Price | Quantity | Value | Adjusted Tax Cost<br>Original Cost | Unrealized Gain/Loss | Est. Annual Inc<br>Accrued Div | Yield |
|---|---|---|---|---|---|---|---|
| **US Large Cap Equity** | | | | | | | |
| **CME GROUP INC**<br>CLASS A COMMON STOCK<br>12572Q-10-5 CME | 57.29 | 55 000 | 3,150 95 | 3,137 74 | 13 21 | 99 00 | 3.14% |
| **COGNIZANT TECHNOLOGY SOLUTIONS CORP**<br>CL A<br>192446-10-2 CTSH | 69 89 | 43 000 | 3,005.27 | 2,198.64 | 806 63 | | |
| **COMCAST CORP**<br>CL A<br>20030N-10-1 CMCS A | 35 75 | 135 000 | 4,825.58 | 2,948 26 | 1,877 32 | 87.75 | 1 82% |
| **COSTCO WHOLESALE CORP**<br>22160K-10-5 COST | 100.16 | 14 000 | 1,402 24 | 1,275 25 | 126 99 | 15.40 | 1 10% |
| **COVIDIEN PLC NEW**<br>G2554F-11-3 COV | 59 42 | 62 000 | 3,684 04 | 2,473 97 | 1,210 07 | 64 48 | 1 75% |
| **CS QARN SPX 04/04/13**<br>100/100/100/100-10%BUFFER- 10 5%CPN<br>INITIAL LEVEL-03/16/12 SPX 1404.17<br>22546T-PK-1 | 105.47 | 35,000 000 | 36,914 50 | 34,650 00 | 2,264 50 | | |
| **CSX CORP**<br>126408-10-3 CSX | 20.75 | 127.000 | 2,635 25 | 2,717.00 | (81 75) | 71.12 | 2.70% |
| **E I DU PONT DE NEMOURS & CO**<br>263534-10-9 DD | 50.27 | 74 000 | 3,719 98 | 2,663 64 | 1,056.34 | 127.28 | 3.42% |
| **EMERSON ELECTRIC CO**<br>291011-10-4 EMR | 48 27 | 75 000 | 3,620 25 | 3,838 91 | (218 66) | 120.00 | 3 31% |
| **ENSCO PLC**<br>G3157S-10-6 ESV | 54.56 | 44 000 | 2,400 64 | 2,133.71 | 266 93 | 64 90 | 2 70% |
| **EOG RESOURCES INC**<br>26875P-10-1 EOG | 112.05 | 28 000 | 3,137.40 | 2,356.90 | 780 50 | 19.04 | 0 61% |

## US Large Cap Equity

| | Price | Quantity | Value | Adjusted Tax Cost<br>Original Cost | Unrealized Gain/Loss | Est Annual Inc.<br>Accrued Div | Yield |
|---|---|---|---|---|---|---|---|
| **EXXON MOBIL CORP**<br>30231G-10-2 XOM | 91 45 | 74.000 | 6,767 30 | 1,639 74 | 5,127 56 | 168.72 | 2 49% |
| **FLUOR CORP**<br>343412-10-2 FLR | 56 28 | 29.000 | 1,632.12 | 1,426 02 | 206 10 | 18 56<br>4.64 | 1 14% |
| **FREEPORT-MCMORAN COPPER & GOLD INC**<br>CL B<br>35671D-85-7 FCX | 39.58 | 93 000 | 3,680 94 | 3,094 78 | 586.16 | 116 25 | 3 16% |
| **GENERAL MILLS INC**<br>370334-10-4 GIS | 39.85 | 87 000 | 3,466 95 | 2,774 39 | 692 56 | 114 84 | 3 31% |
| **GENERAL MOTORS CO**<br>37045V-10-0 GM | 22 75 | 108 000 | 2,457.00 | 3,357 21 | (900 21) | | |
| **GOLDMAN SACHS GROUP INC**<br>38141G-10-4 GS | 113 68 | 36 000 | 4,092 48 | 3,372 01 | 720 47 | 66.24 | 1 62% |
| P **GOOGLE INC**<br>CL A<br>38259P-50-8 GOOG | 754.50 | 7 000 | 5,281 50 | 4,258.98 | 1,022.52 | | |
| **GS CONT BUFF EQ SPX 07/10/13**<br>80% CONTIN BARRIER- 10.5%CPN<br>15% CAP<br>INITIAL LEVEL-06/22/12 SPX'1335.02<br>38143U-Z6-1 | 107 25 | 35,000 000 | 37,537.15 | 34,650 00 | 2,887 15 | | |
| **HOME DEPOT INC**<br>437076-10-2 HD | 60 37 | 62 000 | 3,742 94 | 2,516 80 | 1,226 14 | 71 92 | 1 92% |
| **HONEYWELL INTERNATIONAL INC**<br>438516-10-6 HON | 59 75 | 67 000 | 4,003 25 | 2,960 47 | 1,042 78 | 99 83 | 2 49% |

|  |  |  |  | Adjusted Tax Cost |  | Est. Annual Inc |  |
|---|---|---|---|---|---|---|---|
|  | Price | Quantity | Value | Original Cost | Unrealized Gain/Loss | Accrued Div | Yield |

## US Large Cap Equity

|  |  |  |  |  |  |  |  |
|---|---|---|---|---|---|---|---|
| **HSBC BREN SPX 10/31/12**<br>10%BUFFER-2 XLEV- 9 45%CAP<br>18 9%MAXRTRN<br>INITIAL LEVEL-10/14/11 SPX 1,224 58<br>4042K1-QJ-5 | 117 07 | 30,000 000 | 35,121 00 | 29,700 00 | 5,421.00 |  |  |
| **HUMANA INC**<br>444859-10-2 HUM | 70 15 | 29.000 | 2,034.35 | 2,140.13 | (105.78) | 30.16<br>7 54 | 1.48% |
| **INTERCONTINENTAL EXCHANGE INC**<br>45865V-10-0 ICE | 133.41 | 11 000 | 1,467 51 | 1,261.65 | 205 86 |  |  |
| **INVESCO LTD**<br>G491BT-10-8 IVZ | 24 99 | 70 000 | 1,749 30 | 1,316 00 | 433 30 | 48.30 | 2 76% |
| **JOHNSON CONTROLS INC**<br>478366-10-7 JCI | 27 40 | 150 000 | 4,110 00 | 3,153 99 | 956 01 | 108 00<br>27.00 | 2 63% |
| **JPM LARGE CAP GROWTH FD - SEL**<br>FUND 3118<br>4812C0-53-0 SEEG X | 24 65 | 1,655.675 | 40,812 39 | 36,938.10 | 3,874 29 | 8.27 | 0 02% |
| **JUNIPER NETWORKS INC**<br>48203R-10-4 JNPR | 17 11 | 82 000 | 1,403 02 | 1,335 65 | 67 37 |  |  |
| **KINDER MORGAN INC**<br>49456B-10-1 KMI | 35 52 | 42.000 | 1,491.84 | 1,308.29 | 183.55 | 58.80 | 3 94% |
| **KRAFT FOODS INC CLASS A**<br>50075N-10-4 | 41.35 | 96 000 | 3,969 60 | 3,309 88 | 659 72 | 111 36<br>27.84 | 2 81% |
| **LAM RESEARCH CORP**<br>512807-10-8 LRCX | 31 78 | 41 000 | 1,302 98 | 1,600 54 | (297 56) |  |  |
| **LENNAR CORP**<br>526057-10-4 LEN | 34 77 | 70.000 | 2,433 90 | 1,064 17 | 1,369 73 | 11 20 | 0.46% |

## US Large Cap Equity

| | Price | Quantity | Value | Adjusted Tax Cost<br>Original Cost | Unrealized Gain/Loss | Est Annual Inc.<br>Accrued Div | Yield |
|---|---|---|---|---|---|---|---|
| **LINKEDIN CORP - A**<br>53578A-10-8 LNKD | 120 40 | 13 000 | 1,565 20 | 1,287.21 | 277.99 | | |
| **LOWES COMPANIES INC**<br>548661-10-7 LOW | 30.24 | 165 000 | 4,989 60 | 3,474 03 | 1,515 57 | 105 60 | 2 12% |
| **MARATHON PETROLEUM CORPORATION**<br>56585A-10-2 MPC | 54 59 | 42 000 | 2,292.78 | 1,976.44 | 316 34 | 58 80 | 2 56% |
| **MASCO CORP**<br>574599-10-6 MAS | 15 05 | 121 000 | 1,821 05 | 1,582 98 | 238 07 | 36 30 | 1 99% |
| **MASTERCARD INC - CLASS A**<br>57636Q-10-4 MA | 451 48 | 4.000 | 1,805.92 | 731 25 | 1,074.67 | 4 80 | 0.27% |
| **MERCK AND CO INC**<br>58933Y-10-5 MRK | 45 10 | 141 000 | 6,358.40 | 4,613 99 | 1,744 41 | 236 88<br>59 22 | 3.73% |
| **METLIFE INC**<br>59156R-10-8 MET | 34 46 | 120 000 | 4,135 20 | 3,994 80 | 140 40 | 88 80 | 2.15% |
| **MICROSOFT CORP**<br>594918-10-4 MSFT | 29 76 | 352 000 | 10,475 52 | 6,208 33 | 4,267 19 | 323 84 | 3 09% |
| **NETAPP INC**<br>64110D-10-4 NTAP | 32 88 | 58.000 | 1,907.04 | 2,155.20 | (248.16) | | |
| P **NIKE INC B**<br>654106-10-3 NKE | 94 91 | | | 0 00 | | 6 12 | 1 52% |
| **OCCIDENTAL PETROLEUM CORP**<br>674599-10-5 OXY | 86.06 | 68 000 | 5,852.08 | 4,427 65 | 1,424.43 | 146 88<br>33 48 | 2.51% |
| **ORACLE CORP**<br>68389X-10-5 ORCL | 31 46 | 183 000 | 5,757.18 | 4,194.05 | 1,563 13 | 43 92 | 0 76% |
| **PACCAR INC**<br>693718-10-8 PCAR | 40 02 | 70 000 | 2,801 40 | 2,448 69 | 352 71 | 56 00 | 2 00% |

|  | Price | Quantity | Value | Adjusted Tax Cost<br>Original Cost | Unrealized Gain/Loss | Est. Annual Inc.<br>Accrued Div | Yield |
|---|---|---|---|---|---|---|---|
| **US Large Cap Equity** |  |  |  |  |  |  |  |
| **PEPSICO INC**<br>713448-10-8 PEP | 70.77 | 37.000 | 2,618.49 | 2,673.58 | (55 09) | 79.55 | 3 04% |
| **PFIZER INC**<br>717081-10-3 PFE | 24 85 | 281.000 | 6,982 85 | 3,894 28 | 3,088.57 | 247 28 | 3 54% |
| **PHILIP MORRIS INTERNATIONAL**<br>718172-10-9 PM | 89 94 | 42 000 | 3,777 48 | 3,481.35 | 296 13 | 142.80<br>35 70 | 3 78% |
| **PIONEER NATURAL RESOURCES CO**<br>723787-10-7 PXD | 104 40 | 22 000 | 2,296 80 | 2,042 56 | 254 24 | 1 76<br>0 88 | 0 08% |
| **PROCTER & GAMBLE CO**<br>742718-10-9 PG | 69.36 | 74 000 | 5,132 64 | 3,988.48 | 1,144 16 | 166.35 | 3 24% |
| **PRUDENTIAL FINANCIAL INC**<br>744320-10-2 PRU | 54 51 | 57 000 | 3,107.07 | 2,088.61 | 1,018 46 | 82 65 | 2 66% |
| **QUALCOMM INC**<br>747525-10-3 QCOM | 62 47 | 89 000 | 5,559.83 | 3,559 39 | 2,000 44 | 89 00 | 1 60% |
| **SCHLUMBERGER LTD**<br>806857-10-8 SLB | 72.33 | 73 000 | 5,280.09 | 6,093 29 | (813 20) | 80.30<br>20 08 | 1 52% |
| **TARGET CORP**<br>87612E-10-6 TGT | 63.47 | 25.000 | 1,586.75 | 1,622 79 | (36.04) | 36.00 | 2 27% |
| **TD AMERITRADE HOLDING CORPORATION**<br>87236Y-10-8 AMTD | 15 37 | 64 000 | 983.68 | 983 33 | 0.35 | 15 36 | 1.56% |
| **THE ESTEE LAUDER COMPANIES INC**<br>CL A<br>518439-10-4 EL | 61 57 | 26.000 | 1,600 82 | 1,317.14 | 283 68 | 13.65 | 0 85% |
| P **TIME WARNER INC**<br>NEW<br>887317-30-3 TWX | 45 34 | 180 000 | 8,160 30 | 4,595 07 | 3,565 23 | 187.20 | 2 29% |

|  | Price | Quantity | Value | Adjusted Tax Cost<br>Original Cost | Unrealized Gain/Loss | Est. Annual Inc<br>Accrued Div | Yield |
|---|---|---|---|---|---|---|---|
| **US Large Cap Equity** |  |  |  |  |  |  |  |
| **TIME WARNER CABLE INC**<br>88732J-20-7 TWC | 95.06 | 16 000 | 1,520 96 | 1,353 04 | 167 92 | 35 84 | 2.36% |
| **TYCO INTERNATIONAL LTD**<br>H89128-10-4 TYC | 56.26 | 66 000 | 3,713 16 | 2,620.14 | 1,093 02 | 39.60 | 1 07% |
| **UBS CONT BUFF EQ SPX 06/12/13**<br>80% CONTIN BARRIER- 13%CPN<br>15% CAP<br>INITIAL LEVEL-05/25/12 SPX 1317.82<br>902674-HR-4 | 108 35 | 35,000.000 | 37,922 50 | 34,650 00 | 3,272 50 |  |  |
| **UNITEDHEALTH GROUP INC**<br>91324P-10-2 UNH | 55.41 | 61 000 | 3,380 01 | 2,636 00 | 744 01 | 51.85 | 1 53% |
| **UNITED TECHNOLOGIES CORP**<br>913017-10-9 UTX | 78 29 | 87 000 | 6,811.23 | 5,177 04 | 1,634 19 | 186 18 | 2 73% |
| **VERIZON COMMUNICATIONS INC**<br>92343V-10-4 VZ | 45 57 | 90.000 | 4,101.30 | 3,094 09 | 1,007.21 | 185 40 | 4 52% |
| **VERTEX PHARMACEUTICALS INC**<br>92532F-10-0 VRTX | 55 89 | 31.000 | 1,732.59 | 972 21 | 760 38 |  |  |
| **WALTER ENERGY INC**<br>93317Q-10-5 WLT | 32.46 | 42 000 | 1,363 32 | 2,344 78 | (981 46) | 21 00 | 1.54% |
| **WELLS FARGO & CO**<br>949746-10-1 WFC | 34 53 | 272.000 | 9,392.16 | 6,450 46 | 2,941 70 | 239 36 | 2.55% |
| **WILLIAMS COMPANIES INC**<br>969457-10-0 WMB | 34 97 | 48 000 | 1,678 56 | 1,161 66 | 516 90 | 60 00 | 3 57% |
| **YUM BRANDS INC**<br>988498-10-1 YUM | 66 34 | 61 000 | 4,046 74 | 2,091.95 | 1,954.79 | 81.74 | 2 02% |
| **Total US Large Cap Equity** |  |  | **$489,303.39** | **$390,587.83** | **$98,715.56** | **$5,643.50**<br>**$265.59** | **1.15%** |

| | Price | Quantity | Value | Adjusted Tax Cost<br>Original Cost | Unrealized Gain/Loss | Est Annual Inc.<br>Accrued Div | Yield |
|---|---|---|---|---|---|---|---|
| **US Mid Cap Equity** | | | | | | | |
| **JPM MARKET EXPANSION INDEX FD - SEL**<br>FUND 3708<br>4812C1-63-7 PGMI X | 10 92 | 4,081 297 | 44,567.76 | 35,023 27 | 9,544 49 | 387.72<br>48 08 | 0 87% |
| **JPM TR I MIDCAP CORE - SEL**<br>48121L-75-9 JMRS X | 17.78 | 2,859.472 | 50,841 41 | 46,698 50 | 4,142 91 | 111 51 | 0 22% |
| **Total US Mid Cap Equity** | | | **$95,409.17** | **$81,721.77** | **$13,687.40** | **$499.23**<br>**$48.08** | **0.52%** |
| **EAFE Equity** | | | | | | | |
| **ARTISAN INTL VALUE FUND - INV**<br>04314H-88-1 ARTK X | 28.72 | 1,883 528 | 54,094 92 | 49,234.71 | 4,860 21 | 26 36 | 0 05% |
| **CS BREN EAFE 04/10/13**<br>10%BUFFER-2 XLEV- 9 25%CAP<br>18.5%MAXRTRN<br>INITIAL LEVEL-03/23/12 SX5E.2525 43<br>UKX.852.53 TPX 852 53<br>22546T-PZ-8 | 98.80 | 20,000.000 | 19,760 00 | 19,800.00 | (40 00) | | |
| **GS BREN EAFE 06/12/13**<br>10%BUFFER-2 XLEV- 10.9%CAP<br>21 8%MAXRTRN<br>INITIAL LEVEL-05/25/12 SX5E 21618 7<br>UKX 5388 28 TPX 722 11<br>38143U-V8-1 | 109 83 | 20,000 000 | 21,966 80 | 19,800 00 | 2,166 80 | | |
| **GS BREN EAFE 05/07/13**<br>10%BUFFER-2 XLEV- 9 35%CAP<br>18 7%MAXRTRN<br>INITIAL LEVEL-04/20/12: SX5E.2311 27<br>UKX.5772 15 TPX·811.94<br>38143U-2L-4 | 102 73 | 20,000 000 | 20,545.80 | 19,800 00 | 745 80 | | |

| | Price | Quantity | Value | Adjusted Tax Cost<br>Original Cost | Unrealized Gain/Loss | Est. Annual Inc<br>Accrued Div. | Yield |
|---|---|---|---|---|---|---|---|
| **EAFE Equity** | | | | | | | |
| **HSBC BREN EAFE 03/06/13**<br>10%BUFFER-2 XLEV- 9 5%CAP<br>19% MAXRTN<br>INITIAL LEVEL-02/17/12 SX5E 2520 31<br>UKX 5905 07 TPX:810.45<br>4042K1-XT-5 | 99 28 | 20,000.000 | 19,856 00 | 19,800.00 | 56 00 | | |
| **JPM INTL VALUE FD - SEL**<br>FUND 1296<br>4812A0-56-5 JIES X | 12 13 | 2,904 454 | 35,231 03 | 37,050 66 | (1,819 63) | 1,240.20 | 3 52% |
| **T. ROWE PRICE OVERSEAS STOCK FUND**<br>77956H-75-7 TROS X | 8 18 | 5,914.718 | 48,382 39 | 43,000 00 | 5,382.39 | 1,005.50 | 2.08% |
| **Total EAFE Equity** | | | **$219,836.94** | **$208,485.37** | **$11,351.57** | **$2,272.06** | **1.03%** |
| **European Large Cap Equity** | | | | | | | |
| **DB MARKET PLUS SX5E 03/19/14**<br>80% CONTIN BARRIER- 7 6%CPN<br>,UNCAPPED<br>INITIAL LEVEL-09/14/12 SX5E 2594 56<br>2515A1-LR-0 | 95 38 | 20,000 000 | 19,076.20 | 19,750 00 | (673 80) | | |

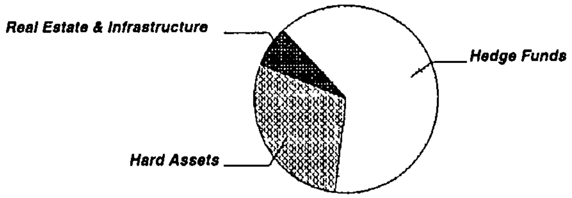
| | | Price | Quantity | Value | Adjusted Tax Cost<br>Original Cost | Unrealized Gain/Loss | Est Annual Inc.<br>Accrued Div. | Yield |
|---|---|---|---|---|---|---|---|---|
| | **Asia ex-Japan Equity** | | | | | | | |
| | **BARC BREN ASIA BASKET 08/21/13**<br>10%BUFFER-2 XLEV- 7%CAP<br>14%MAXRTRN<br>INITIAL LEVEL-08/03/12 ASIA BSKT 100<br>06741J-L4-9 | 103.63 | 20,000 000 | 20,726 00 | 19,800.00 | 926 00 | | |
| | **CS BREN ASIA BASKET 07/03/13**<br>10%BUFFER-2 XLEV- 9%CAP<br>18%MAXRTRN<br>INITIAL LEVEL-06/15/12 ASIA BSKT 100<br>22546T-VD-0 | 106 40 | 20,000 000 | 21,280.00 | 19,800.00 | 1,480.00 | | |
| | **MATTHEWS PACIFIC TIGER INSTL FUND**<br>577130-83-4 MIPT X | 23 48 | 2,466.468 | 57,912 67 | 50,560 41 | 7,352 26 | 374.90 | 0 65% |
| | **Total Asia ex-Japan Equity** | | | **$99,918.67** | **$90,160.41** | **$9,758.26** | **$374.90** | **0.38%** |
| | **Emerging Market Equity** | | | | | | | |
| | **GS BREN EEM 11/05/12**<br>10%BUFFER-2 XLEV- 12 15%CAP<br>22.2%MAXRTRN<br>INITIAL LEVEL-10/19/11 EEM :38.52<br>38143U-YK-1 | 114 14 | 20,000.000 | 22,827.80 | 19,800 00 | 3,027 80 | | |
| P | **JPM EM MKTS EQUITY FD - SEL**<br>FUND 1235<br>4812A0-62-3 JEMS X | 22.44 | 720 890 | 16,176.77 | 10,921.48 | 5,255.29 | 10.09 | 0 06% |
| | **Total Emerging Market Equity** | | | **$39,004.57** | **$30,721.48** | **$8,283.09** | **$10.09** | **0.02%** |

| | | Price | Quantity | Value | Adjusted Tax Cost<br>Original Cost | Unrealized Gain/Loss | Est. Annual Inc<br>Accrued Div. | Yield |
|---|---|---|---|---|---|---|---|---|
| | **Global Equity** | | | | | | | |
| | **BNP DELTA ONE MSCI WORLD TR 6/14/13**<br>100%A F, UNCAPPED<br>INITIAL LEVEL5/25/12 NDDUWI:3000.541<br>05567L-5F-0 | 110 78 | 20,000 000 | 22,156 52 | 19,800 00 | 2,356.52 | | |
| | **DB DELTA ONE MSCI WORLD TR 6/19/13**<br>100%A F, UNCAPPED<br>INITIAL LEVEL-6/1/12 NDDUWI 2912 555<br>2515A1-K7-5 | 113.34 | 20,000 000 | 22,668 80 | 19,800.00 | 2,868.80 | | |
| | **Total Global Equity** | | | **$44,825.32** | **$39,600.00** | **$5,225.32** | **$0.00** | **0.00%** |
| | **Concentrated & Other Equity** | | | | | | | |
| P | **CBS CORP**<br>CLASS B W/I<br>124857-20-2 CBS | 36 33 | | | 0 00 | | 12 24 | 1 32% |
| | **Unclassified** | | | | | | | |
| P | **BARC PARTICIPATING GOLD NOTE**<br>10/09/13<br>LNKD TO GOLDLNPM<br>85%BARRIER, 17 50%MAXRTN, UNCAPPED<br>9/28/12, INITIAL STRIKE· 1776 00<br>06741T-HL-4 | 99 00 | 20,000.000 | 19,800.00 | 19,800 00 | | | |

# Alternative Assets Summary

| Asset Categories | Beginning Estimated Value | Ending Estimated Value | Change In Value | Current Allocation |
|---|---|---|---|---|
| Hedge Funds | 119,166.89 | 142,670.49 | 23,503 60 | 9% |
| Real Estate & Infrastructure | 18,214 10 | 17,779.02 | (435 08) | 1% |
| Hard Assets | 74,047 14 | 62,600 65 | (11,446 49) | 4% |
| **Total Value** | **$211,428.13** | **$223,050.16** | **$11,622.03** | **14%** |

**Asset Categories**



Alternative Assets as a percentage of your portfolio - 14 %

Note **P** indicates position adjusted for Pending Trade Activity.

# Alternative Assets Detail

| | | Price | Quantity | Estimated Value | Cost |
|---|---|---|---|---|---|
| | **Hedge Funds** | | | | |
| P | **AIM INVT FDS**<br>BAL RISK ALL Y<br>00141V-69-7 ABRY | 13 16 | 2,317 321 | 30,495 94 | 30,495 95 |
| | **ARBITRAGE FUNDS - I**<br>CL I<br>03875R-20-5 ARBN X | 13 05 | 1,505 112 | 19,641 71 | 19,656 76 |
| P | **EATON VANCE FLOATING-RATE**<br>ADVANTAGE I<br>277923-63-7 EIFA X | 11 04 | 3,683 086 | 40,661 27 | 40,108.80 |
| P | **EATON VANCE MUT FDS TR GB MACRO**<br>ABSOLUTE RTN I<br>277923-72-8 EIGM X | 9 96 | 3,065 783 | 30,535 20 | 31,359.39 |
| | **GATEWAY FUND - Y**<br>367829-88-4 GTEY X | 27.51 | 775.586 | 21,336.37 | 20,087 67 |
| | **Total Hedge Funds** | | | **$142,670.49** | **$141,708.57** |

| | Quantity/Original Commitment Amount | Cost/Net Capital Called Since Inception | Net Distributions Since Inception | Estimated Value | Est Annual Inc<br>Accrued Div. | Yield |
|---|---|---|---|---|---|---|

## Real Estate & Infrastructure

| | | | | | | |
|---|---|---|---|---|---|---|
| **JPM US REAL ESTATE FD - SEL**<br>FUND 3037<br>4812C0-61-3 SUIE X | 988.82 | 14,684 00 | | 17,779 02 | 369 81<br>114 16 | 2 08% |

Amounts shown above under "Estimated Value" for private equity funds are estimates based on the latest fund values received from each underlying fund, which value may be as of a date (underlying fund value date) prior to the period covered by this statement The values provided by the underlying fund have been adjusted for any cash flows between your account and such fund that have occurred subsequent to the underlying fund value date to derive the "Estimated Value" Therefore, such "Estimated Value" may not reflect the value of your interest shown on any fund's actual books and records as of the date of this statement For additional information, please contact your J P. Morgan representative

For private equity funds, Estimated Values are based on estimates provided by the underlying funds that are generally presented on a US GAAP basis, which records investments at fair value, or "marked-to-market" Most of these underlying funds also present their audited financial statements on a US GAAP basis (i e , "marked-to-market") However, some of these underlying funds present their audited financial statements using the Income Tax Basis of Accounting, which records investments "at cost" based on the accrual basis of accounting for Federal income taxes Where the underlying fund provides periodic estimates on a "marked-to-market" basis but reflects investments "at cost" in its audited financial statements, the marked-to-market Estimated Value shown herein for a private equity fund may be materially different from the value reflected on such fund's audited financial statements (which are also based on the audited financial statements of the underlying fund)

| | Price | Quantity | Estimated Value | Cost |
|---|---|---|---|---|

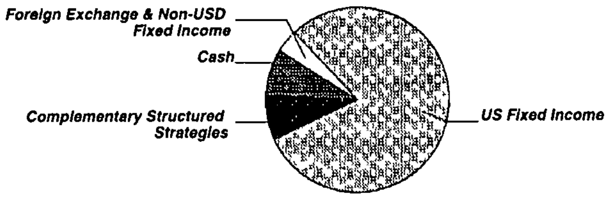
## Hard Assets

| | | | | |
|---|---|---|---|---|
| P **HIGHBRIDGE DYNAMIC COMM STRG FD -SEL**<br>48121A-67-0 HDCS X | 16.25 | 2,530 117 | 41,114 40 | 35,634 82 |
| P **SPDR GOLD TRUST**<br>78463V-10-7 GLD | 171 89 | 125.000 | 21,486.25 | 15,493 75 |
| **Total Hard Assets** | | | **$62,600.65** | **$51,128.57** |

# Cash & Fixed Income Summary

| Asset Categories | Beginning Market Value | Ending Market Value | Change In Value | Current Allocation |
|---|---|---|---|---|
| Cash | 45,313 67 | 41,191.20 | (4,122.47) | 2% |
| US Fixed Income | 310,346 87 | 325,367 84 | 15,020 97 | 20% |
| Complementary Structured Strategies | 27,999 00 | 28,213 50 | 214 50 | 2% |
| Foreign Exchange & Non-USD Fixed Income | 20,057.58 | 20,366.16 | 308 58 | 1% |
| **Total Value** | **$403,717.12** | **$415,138.70** | **$11,421.58** | **25%** |

**Asset Categories**



Cash & Fixed Income as a percentage of your portfolio - 25 %

| Market Value/Cost | Current Period Value |
|---|---|
| Market Value | 415,138 70 |
| Tax Cost | 396,997 15 |
| Unrealized Gain/Loss | 18,141.55 |
| Estimated Annual Income | 15,057.04 |
| Accrued Interest | 1,182 61 |
| Yield | 3 62 % |

## SUMMARY BY MATURITY

| Cash & Fixed Income | Market Value | % of Bond Portfolio |
|---|---|---|
| 0-6 months[1] | 400,818 20 | 98% |
| 6-12 months[1] | 14,320.50 | 2% |
| **Total Value** | **$415,138.70** | **100%** |

## SUMMARY BY TYPE

| Cash & Fixed Income | Market Value | % of Bond Portfolio |
|---|---|---|
| Cash | 41,191 20 | 8% |
| International Bonds | 61,380 91 | 12% |
| Mutual Funds | 284,353.09 | 75% |
| Complementary Structure | 28,213 50 | 5% |
| **Total Value** | **$415,138.70** | **100%** |

[1] The years indicate the number of years until the bond is scheduled to mature based on the statement end date. Some bonds may be called, or paid in full, before their stated maturity

Note. **O** - Bonds purchased at a discount show accretion
[1] This is the Annual Percentage Yield (APY) which is the rate earned if balances remain on deposit for a full year with compounding, there is no change in the interest rate and all interest is left in the account.

# Cash & Fixed Income Detail

| | Price | Quantity | Value | Adjusted Tax Cost<br>Original Cost | Unrealized<br>Gain/Loss | Est Annual Income<br>Accrued Interest | Yield |
|---|---|---|---|---|---|---|---|
| **Cash** | | | | | | | |
| **US DOLLAR PRINCIPAL** | 1 00 | 59,429.05 | 59,429 05 | 59,429 05 | | 17 82 | 0.03 % [1] |
| **COST OF PENDING PURCHASES** | 1.00 | (64,103 92) | (64,103 92) | (64,103.92) | | | |
| **PROCEEDS FROM PENDING SALES** | 1 00 | 45,866.07 | 45,866.07 | 45,866 07 | | | |
| **Total Cash** | | | **$41,191.20** | **$41,191.20** | **$0.00** | **$17.82** | **0.04 %** |
| **US Fixed Income** | | | | | | | |
| **JPM STR INC OPP FD**<br>FUND 3844<br>4812A4-35-1 | 11.74 | 5,228 36 | 61,380.91 | 52,306.69 | 9,074 22 | 2,096.57<br>193 45 | 3.42 % |
| **DOUBLELINE FDS TR**<br>TTL RTN BD I<br>258620-10-3 | 11 40 | 3,579.95 | 40,811.41 | 40,505 39 | 306.02 | 2,545 34<br>190.21 | 6 24 % |
| **EATON VANCE FLOATING RATE I**<br>277911-49-1 | 9 09 | 4,173 52 | 37,937.29 | 35,767.05 | 2,170 24 | 1,648 54<br>181 78 | 4 35 % |
| **JPM HIGH YIELD FD - SEL**<br>FUND 3580<br>4812C0-80-3 | 8.08 | 4,997 39 | 40,378 88 | 39,479.35 | 899 53 | 2,653 61<br>219.88 | 6 57 % |
| **JPM TR I INFL MANAGED BD - SEL**<br>48121A-56-3 | 10 84 | 5,610.59 | 60,818.84 | 59,360 08 | 1,458.76 | 1,329 71<br>56 11 | 2 19 % |

|  |  | Price | Quantity | Value | Adjusted Tax Cost<br>Original Cost | Unrealized Gain/Loss | Est. Annual Income<br>Accrued Interest | Yield |
|---|---|---|---|---|---|---|---|---|
|  | **US Fixed Income** |  |  |  |  |  |  |  |
|  | **RIDGEWORTH FDS**<br>SEIX FLRT HI I<br>76628T-67-8 | 8 93 | 9,411 03 | 84,040 51 | 79,146 77 | 4,893 74 | 4,197.31<br>341 18 | 4 99% |
|  | **Total US Fixed Income** |  |  | **$325,367.84** | **$306,565.33** | **$18,802.51** | **$14,471.08**<br>**$1,182.61** | **4.45%** |
|  | **Complementary Structured Strategies** |  |  |  |  |  |  |  |
| O | **DB 95% PPN FX BASKET 2/1/13**<br>LNKED TO MXN INR CNY & RUB VS USD<br>1 40XLEV, UNCAPPED<br>7/29/11<br>2515A1-B5-9 | 92 62 | 15,000 00 | 13,893 00 | 14,965 65<br>14,812.50 | (1,072 65) |  |  |
| O | **BARC 93% PPN CURRENCY BASKET 9/13/13**<br>LNKED TO 3 CURRENCY BSKTS<br>50% 35% & 15% WEIGHT,UNCAPPED<br>9/9/11<br>06738K-UP-4 | 95 47 | 15,000 00 | 14,320 50 | 15,124 97<br>14,775 00 | (804 47) |  |  |
|  | **Total Complementary Structured Strategies** |  |  | **$28,213.50** | **$30,090.62**<br>**$29,587.50** | **($1,877.12)** | **$0.00** | **0.00%** |
|  | **Foreign Exchange & Non-USD Fixed Income** |  |  |  |  |  |  |  |
|  | **JPM INTL CURRENCY INCOME FD**<br>4812A3-29-6 | 11.22 | 1,815.17 | 20,366.16 | 19,150 00 | 1,216 16 | 568.14 | 2 79% |

# Account Summary

## PRINCIPAL

| Asset Allocation | Beginning Market Value | Ending Market Value | Change In Value | Estimated Annual Income | Current Allocation |
|---|---|---|---|---|---|
| Cash & Fixed Income | 364,447.93 | 363,281 53 | (1,166 40) | 13,631.81 | 100% |
| **Market Value** | **$364,447.93** | **$363,281.53** | **($1,166.40)** | **$13,631.81** | **100%** |

## INCOME

| Cash Position | Beginning Market Value | Ending Market Value | Change In Value |
|---|---|---|---|
| Cash Balance | 456.93 | 0 00 | (456.93) |
| Accruals | 2,767 15 | 4,309.53 | 1,542.38 |
| **Market Value** | **$3,224.08** | **$4,309.53** | **$1,085.45** |

| | PRINCIPAL | | INCOME | |
|---|---|---|---|---|
| Portfolio Activity | Current Period Value | Year-to-Date Value | Current Period Value | Year-to-Date Value |
| **Beginning Market Value** | **364,447.93** | **369,105.13** | **456.93** | **0.00** |
| Withdrawals & Fees | | | (457 03) | (14,123 98) |
| **Net Additions/Withdrawals** | **$0.00** | **$0.00** | **($457.03)** | **($14,123.98)** |
| Income | | | 0.10 | 14,123 98 |
| Change In Investment Value | (1,166 40) | (5,823 60) | | |
| **Ending Market Value** | **$363,281.53** | **$363,281.53** | **$0.00** | **$0.00** |
| Accruals | -- | -- | 4,309 53 | 4,309.53 |
| **Market Value with Accruals** | **--** | **--** | **$4,309.53** | **$4,309.53** |

# Account Summary CONTINUED

| Tax Summary | Current Period Value | Year-to-Date Value |
|---|---|---|
| Interest Income | 0 10 | 14,182 68 |
| Accrued Interest Current Year | | (58 70) |
| **Taxable Income** | **$0.10** | **$14,123.98** |

| | Current Period Value | Year-to-Date Value |
|---|---|---|
| LT Realized Gain/Loss | | (611 33) |
| **Realized Gain/Loss** | | **($611.33)** |

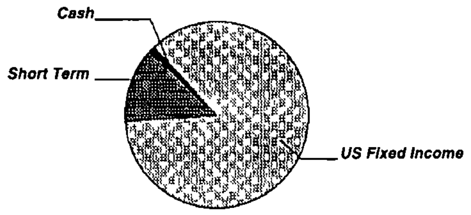
| | To-Date Value |
|---|---|
| **Unrealized Gain/Loss** | **$30,505.61** |

| Cost Summary | Cost |
|---|---|
| Cash & Fixed Income | 332,775.92 |
| **Total** | **$332,775.92** |

# Cash & Fixed Income Summary

| Asset Categories | Beginning Market Value | Ending Market Value | Change In Value | Current Allocation |
|---|---|---|---|---|
| Cash | 1,872.38 | 1,872.38 | 0 00 | 1% |
| Short Term | 46,005.90 | 45,889 25 | (116 65) | 13% |
| US Fixed Income | 316,569 65 | 315,519 90 | (1,049 75) | 86% |
| **Total Value** | **$364,447.93** | **$363,281.53** | **($1,166.40)** | **100%** |

**Asset Categories**



Cash & Fixed Income as a percentage of your portfolio - 100%

| Market Value/Cost | Current Period Value |
|---|---|
| Market Value | 363,281 53 |
| Tax Cost | 332,775 92 |
| Unrealized Gain/Loss | 30,505 61 |
| Estimated Annual Income | 13,631 81 |
| Accrued Interest | 4,309.53 |
| Yield | 0 55% |

## SUMMARY BY MATURITY

| Cash & Fixed Income | Market Value | % of Bond Portfolio |
|---|---|---|
| 0-6 months[1] | 6,903 63 | 1% |
| 6-12 months[1] | 40,858.00 | 11% |
| 1-5 years[1] | 234,096.50 | 66% |
| 5-10 years[1] | 81,423.40 | 22% |
| **Total Value** | **$363,281.53** | **100%** |

## SUMMARY BY TYPE

| Cash & Fixed Income | Market Value | % of Bond Portfolio |
|---|---|---|
| Cash | 1,872.38 | 1% |
| Corporate Bonds | 5,031.25 | 1% |
| Govt and Agency Bonds | 356,377 90 | 98% |
| **Total Value** | **$363,281.53** | **100%** |

[1] The years indicate the number of years until the bond is scheduled to mature based on the statement end date Some bonds may be called, or paid in full, before their stated maturity.

Note· [1] This is the Annual Percentage Yield (APY) which is the rate earned if balances remain on deposit for a full year with compounding, there is no change in the interest rate and all interest is left in the account

# Cash & Fixed Income Detail

| | Price | Quantity | Value | Adjusted Tax Cost<br>Original Cost | Unrealized Gain/Loss | Est Annual Income<br>Accrued Interest | Yield |
|---|---|---|---|---|---|---|---|
| **Cash** | | | | | | | |
| **US DOLLAR PRINCIPAL** | 1.00 | 1,872.38 | 1,872.38 | 1,872 38 | | 0 56 | 0.03% [1] |
| **Short Term** | | | | | | | |
| **FNMA 4.75% 11/19/12**<br>31398A-HZ-8 AA+ /AAA | 100 63 | 5,000 00 | 5,031.25 | 5,461.40 | (430 15) | 237 50<br>87 08 | 0 06% |
| **US TREAS 3.625% 05/15/13**<br>912828-BA-7 NR /AAA | 102 15 | 40,000 00 | 40,858 00 | 41,692 18 | (834 18) | 1,450 00<br>547.68 | 0 19% |
| **Total Short Term** | | | **$45,889.25** | **$47,153.58** | **($1,264.33)** | **$1,687.50**<br>**$634.76** | **0.18%** |
| **US Fixed Income** | | | | | | | |
| **FNMA 4.625% 10/15/13**<br>31359M-TG-8 AA+ /AAA | 104.48 | 40,000.00 | 41,793 20 | 40,504 29 | 1,288 91 | 1,850.00<br>853.04 | 0 30% |
| **US TREAS 4% 02/15/14**<br>912828-CA-6 NR /AAA | 105.19 | 10,000.00 | 10,518 80 | 9,873 44 | 645 36 | 400 00<br>51.08 | 0 22% |
| **FHLMC**<br>5.000% 07/15/2014 DTD 07/16/2004<br>3134A4-UU-6 AAA /AAA | 108.32 | 10,000.00 | 10,832.20 | 10,121.40 | 710.80 | 500.00<br>105 55 | 0 33% |
| **FHLB 5.5% 08/13/14**<br>3133XL-JP-9 AA+ /AAA | 109.71 | 10,000.00 | 10,971.10 | 11,556 64 | (585 54) | 550 00<br>73 33 | 0 28% |

| | Price | Quantity | Value | Adjusted Tax Cost<br>Original Cost | Unrealized Gain/Loss | Est Annual Income<br>Accrued Interest | Yield |
|---|---|---|---|---|---|---|---|
| **US Fixed Income** | | | | | | | |
| **US TREAS 4.125% 05/15/15**<br>912828-DV-9 NR /AAA | 109 99 | 15,000.00 | 16,498 80 | 14,689 45 | 1,809.35 | 618.75<br>233.70 | 0 30% |
| **US TREAS 4.5% 11/15/15**<br>912828-EN-6 NR /AAA | 112.90 | 40,000 00 | 45,159 20 | 37,845 31 | 7,313 89 | 1,800 00<br>679 88 | 0.35% |
| **US TREAS 5.125% 05/15/16**<br>912828-FF-2 NR /AAA | 116.91 | 25,000 00 | 29,228.50 | 25,979 49 | 3,249 01 | 1,281 25<br>483 95 | 0 42% |
| **FNMA 5.375% 07/15/16**<br>31359M-S6-1 AA+ /AAA | 117 86 | 10,000 00 | 11,786 00 | 10,184 13 | 1,601 87 | 537 50<br>113 47 | 0 60% |
| **FNMA 5% 02/13/17**<br>31359M-4D-2 AA+ /AAA | 118 60 | 15,000.00 | 17,790.30 | 14,370 61 | 3,419 69 | 750.00<br>99 99 | 0 67% |
| **US TREAS 4.5% 05/15/17**<br>912828-GS-3 NR /AAA | 117.97 | 20,000.00 | 23,593.80 | 20,525 77 | 3,068 03 | 900 00<br>339 94 | 0 56% |
| **US TREAS 1.875% 08/31/17**<br>912828-NW-6 NR /AAA | 106.16 | 15,000.00 | 15,924 60 | 15,887 70 | 36.90 | 281.25<br>25 98 | 0 60% |
| **FHLB 5% 11/17/17**<br>3133XM-Q8-7 AA+ /AAA | 121.28 | 10,000.00 | 12,128.30 | 10,157 37 | 1,970.93 | 500.00<br>186.11 | 0.76% |
| **US TREAS 3.375% 11/15/19**<br>912828-LY-4 NR /AAA | 115 99 | 15,000.00 | 17,398 80 | 14,635 61 | 2,763.19 | 506 25<br>191.20 | 1 04% |
| **US TREAS 3.625% 02/15/21**<br>912828-PX-2 NR /AAA | 118 44 | 35,000.00 | 41,453.30 | 36,991 80 | 4,461.50 | 1,268.75<br>162 01 | 1 29% |
| **US TREAS 2% 11/15/21**<br>912828-RR-3 NR /AAA | 104.43 | 10,000 00 | 10,443 00 | 10,426 95 | 16 05 | 200.00<br>75.54 | 1 48% |
| **Total US Fixed Income** | | | **$315,519.90** | **$283,749.96** | **$31,769.94** | **$11,943.75**<br>**$3,674.77** | **0.61%** |

# Portfolio Activity Summary

| Transactions | PRINCIPAL Current Period Value | PRINCIPAL Year-To-Date Value* | INCOME Current Period Value | INCOME Year-To-Date Value* |
|---|---|---|---|---|
| **Beginning Cash Balance** | **1,872.38** | -- | **456.93** | -- |
| **INFLOWS** | | | | |
| Income | | | 0 10 | 14,123 98 |
| **Total Inflows** | **$0.00** | **$0.00** | **$0.10** | **$14,123.98** |
| **OUTFLOWS **** | | | | |
| Withdrawals | | | (457 03) | (14,123 98) |
| **Total Outflows** | **$0.00** | **$0.00** | **($457.03)** | **($14,123.98)** |
| **TRADE ACTIVITY** | | | | |
| Settled Sales/Maturities/Redemptions | | 25,000.00 | | |
| Settled Securities Purchased | | (26,314 65) | | |
| **Total Trade Activity** | **$0.00** | **($1,314.65)** | **$0.00** | **$0.00** |
| **Ending Cash Balance** | **$1,872.38** | -- | **$0.00** | -- |

* Year to date information is calculated on a fiscal year basis, beginning Oct 1, 2011
** Your account's standing instructions use a HIGH COST method for relieving assets from your position

# Portfolio Activity Detail

## INFLOWS & OUTFLOWS

| Settle Date | Type<br>Selection Method | Description | Quantity<br>Cost | Per Unit Amount | PRINCIPAL Amount | INCOME Amount |
|---|---|---|---|---|---|---|
| 9/4 | Interest Income | DEPOSIT SWEEP INTEREST FOR AUG @ 03% RATE ON NET AVG COLLECTED BALANCE OF $3,823 85 AS OF 09/01/12 | | | | 0.10 |
| 9/17 | Memo Entry | FEE CHARGED TO ACCOUNT R77776004 JPMORGAN CHASE TRUST FEE FOR THE PERIOD 08-17-2012 TO 09-16-2012 INC $200.63 PRINC $200 62 | | | | |
| 9/28 | Misc Disbursement | FUNDS TRANSFERRED FROM TRUST AC# R77776301 TO AC# TRANSFER 100% OF INCOME TO RELATED ACCOUNT | | | | (457.03) |
| **Total Inflows & Outflows** | | | | | | **($456.93)** |