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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.

2012

Open to public inspection

For calendar year 2012 or tax year beginning

, and ending

Name of foundation DAVE RICKEY & DAUGHTERS FOUNDATION		A Employer identification number 11-6574096
Number and street (or P O box number if mail is not delivered to street address) 15629 BOULDER MOUNTAIN ROAD	Room/suite	B Telephone number (615) 377-4600
City or town, state, and ZIP code POWAY, CA 92064		C If exemption application is pending, check here ☐
G Check all that apply: ☐ Initial return ☐ Final return ☐ Address change ☐ Initial return of a former public charity ☐ Amended return ☐ Name change		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 11,352,979. (Part I, column (d) must be on cash basis.)	J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received				N/A	
2 Check ☒ if the foundation is not required to attach Sch B					
3 Interest on savings and temporary cash investments		4,702.	4,702.		STATEMENT 1
4 Dividends and interest from securities		284,075.	284,075.		STATEMENT 2
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		250,599.			
b Gross sales price for all assets on line 6a		4,151,899.			
7 Capital gain net income (from Part IV, line 2)			250,599.		
8 Net short-term capital gain					
9 Income modifications					
10a Gross sales less returns and allowances					
b Less Cost of goods sold					
c Gross profit or (loss)					
11 Other income		<94,031.>	<94,031.>		STATEMENT 3
12 Total. Add lines 1 through 11		445,345.	445,345.		
13 Compensation of officers, directors, trustees, etc		33,696.	0.		33,696.
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees STMT 4		9,068.	0.		9,068.
b Accounting fees STMT 5		16,200.	12,150.		4,050.
c Other professional fees STMT 6		121,070.	121,070.		0.
17 Interest					
18 Taxes STMT 7		9,240.	0.		9,240.
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses STMT 8		91.	0.		91.
24 Total operating and administrative expenses. Add lines 13 through 23		189,365.	133,220.		56,145.
25 Contributions, gifts, grants paid		775,000.			775,000.
26 Total expenses and disbursements. Add lines 24 and 25		964,365.	133,220.		831,145.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		<519,020.>			
b Net investment income (if negative, enter -0-)			312,125.		
c Adjusted net income (if negative, enter -0-)				N/A	

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Part II Balance Sheets		Beginning of year		End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value	
Assets	1 Cash - non-interest-bearing				
	2 Savings and temporary cash investments	399,731.	326,933.	326,933.	
	3 Accounts receivable ▶				
	Less: allowance for doubtful accounts ▶				
	4 Pledges receivable ▶				
	Less: allowance for doubtful accounts ▶				
	5 Grants receivable				
	6 Receivables due from officers, directors, trustees, and other disqualified persons				
	7 Other notes and loans receivable ▶				
	Less: allowance for doubtful accounts ▶				
	8 Inventories for sale or use				
	9 Prepaid expenses and deferred charges				
	10a Investments - U.S. and state government obligations				
	b Investments - corporate stock				
	c Investments - corporate bonds				
11 Investments - land, buildings, and equipment basis ▶					
Less: accumulated depreciation ▶					
12 Investments - mortgage loans					
13 Investments - other	STMT 9	10,023,264.	9,707,990.	10,969,671.	
14 Land, buildings, and equipment: basis ▶					
Less: accumulated depreciation ▶					
15 Other assets (describe ▶ ARTWORK)		56,375.	56,375.	56,375.	
16 Total assets (to be completed by all filers)		10,479,370.	10,091,298.	11,352,979.	
Liabilities	17 Accounts payable and accrued expenses				
	18 Grants payable				
	19 Deferred revenue				
	20 Loans from officers, directors, trustees, and other disqualified persons				
	21 Mortgages and other notes payable				
	22 Other liabilities (describe ▶)				
23 Total liabilities (add lines 17 through 22)		0.	0.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. ▶ ☐				
	24 Unrestricted				
	25 Temporarily restricted				
	26 Permanently restricted				
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ ☒				
	27 Capital stock, trust principal, or current funds		0.	0.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund		0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds		10,479,370.	10,091,298.	
	30 Total net assets or fund balances		10,479,370.	10,091,298.	
31 Total liabilities and net assets/fund balances		10,479,370.	10,091,298.		

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	10,479,370.
2 Enter amount from Part I, line 27a	2	<519,020.>
3 Other increases not included in line 2 (itemize) ▶ UNREALIZED GAINS	3	130,948.
4 Add lines 1, 2, and 3	4	10,091,298.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	10,091,298.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a			
b SEE ATTACHED STATEMENTS			
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			
b			
c			
d			
e 4,151,899.		3,901,300.	250,599.
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) 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			
b			
c			
d			
e			250,599.
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 }			2 250,599.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8			3 N/A

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

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

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

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

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2011	696,317.	12,104,115.	.057527
2010	938,919.	11,781,677.	.079693
2009	1,787,119.	11,345,103.	.157523
2008	3,778,477.	16,329,856.	.231385
2007	1,373,762.	21,748,865.	.063165
2 Total of line 1, column (d)			2 .589293
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 .117859
4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5			4 11,499,227.
5 Multiply line 4 by line 3			5 1,355,287.
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 3,121.
7 Add lines 5 and 6			7 1,358,408.
8 Enter qualifying distributions from Part XII, line 4 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.			8 831,145.

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

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b		1	6,243.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	6,243.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	6,243.
6 Credits/Payments:			
a 2012 estimated tax payments and 2011 overpayment credited to 2012	6a	23.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c	8,200.	
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	8,223.	
8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8	139.	
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	1,841.	
11 Enter the amount of line 10 to be: Credited to 2013 estimated tax ☐ 1,841. Refunded ☐ 0.	11	0.	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see 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		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ☐ \$ 0. (2) On foundation managers. ☐ \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ☐ \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities.		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV.	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ☐ CA		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

N/A

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 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? Website address ► N/A	13	X	
14	The books are in care of ► LATTIMORE, BLACK, MORGAN, & CAIN PC Telephone no. ► (615) 377-4600 Located at ► PO BOX 1869 5250 VIRGINIA WAY, BRENTWOOD, TN ZIP+4 ► 37024-1869			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year	15	N/A	
16	At any time during calendar year 2012, 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? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►	16	Yes	No X

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(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)? Organizations relying on a current notice regarding disaster assistance check here	N/A	
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2012?		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 2012, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2012? If "Yes," list the years ►	☐ Yes ☒ No	
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.)	N/A	
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ►		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☒ No	
b If "Yes," did it have excess business holdings in 2012 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 2012)	N/A	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2012?		X

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

5a During the year did the foundation pay or incur any amount to:

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)?

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

N/A

☐ Yes ☐ No

If "Yes," attach the statement required by Regulations section 53.4945-5(d).

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

6b

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

If "Yes" to 6b, file Form 8870.

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

7b

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

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

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

(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
DAVID M. RICKEY 15629 BOULDER MOUNTAIN ROAD POWAY, CA 92064	PRESIDENT/DIRECTOR 5.00	18,720.	0.	0.
BRENDA SJODIN RICKEY 15629 BOULDER MOUNTAIN ROAD POWAY, CA 92064	DIRECTOR 5.00	14,976.	0.	0.

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

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

Total number of other employees paid over \$50,000

0

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Part VIII**Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors** (continued)**3** Five highest-paid independent contractors for professional services. If none, enter "NONE."

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

Total number of others receiving over \$50,000 for professional services

0

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.

	Expenses
1 N/A	
2	
3	
4	

Part IX-B Summary of Program-Related Investments

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.

	Amount
1 N/A	
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3	0.

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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	11,232,240.
b	Average of monthly cash balances	1b	442,102.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	11,674,342.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	11,674,342.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	175,115.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	11,499,227.
6	Minimum investment return. Enter 5% of line 5	6	574,961.

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	574,961.
2a	Tax on investment income for 2012 from Part VI, line 5	2a	6,243.
b	Income tax for 2012. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	6,243.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	568,718.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	568,718.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	568,718.

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	831,145.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	831,145.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	831,145.

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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2011	(c) 2011	(d) 2012
1 Distributable amount for 2012 from Part XI, line 7				568,718.
2 Undistributed income, if any, as of the end of 2012			0.	
a Enter amount for 2011 only				
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2012:				
a From 2007	319,165.			
b From 2008	2,970,656.			
c From 2009	1,224,742.			
d From 2010	366,028.			
e From 2011	101,000.			
f Total of lines 3a through e	4,981,591.			
4 Qualifying distributions for 2012 from Part XII, line 4: ▶ \$ 831,145.			0.	
a Applied to 2011, but not more than line 2a				
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2012 distributable amount				568,718.
e Remaining amount distributed out of corpus	262,427.			
5 Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:	5,244,018.			
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5				
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2011. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2012. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2013				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2007 not applied on line 5 or line 7	319,165.			
9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a	4,924,853.			
10 Analysis of line 9:				
a Excess from 2008	2,970,656.			
b Excess from 2009	1,224,742.			
c Excess from 2010	366,028.			
d Excess from 2011	101,000.			
e Excess from 2012	262,427.			

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<i>a Paid during the year</i>				
BRENDA AND DAVE RICKEY FOUNDATION 15629 BOULDER MOUNTAIN ROAD POWAY, CA 920642145	NONE	501(C)(3)	FUNDS FOR DISCRETIONARY USE	675,000.
DIOCESE OF SAN DIEGO 3888 PADUCAH DRIVE SAN DIEGO, CA 92117	NONE	CHURCH	FUNDS FOR DISCRETIONARY USE	100,000.
Total			3a	775,000.
<i>b Approved for future payment</i>				
NONE				
Total			3b	0.

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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	FROM FRANCISCO III CAYMAN	P	VARIOUS	12/31/12
b	SEE ATTACHED MERRILL LYNCH (6YJ-04330)	P	VARIOUS	12/31/12
c	SEE ATTACHED MERRILL LYNCH (6YJ-04330)	P	VARIOUS	12/31/12
d	SEE ATTACHED MERRILL LYNCH (6YJ-04324)	P	VARIOUS	12/31/12
e	SEE ATTACHED MERRILL LYNCH (6YJ-04324) WASH ADJ.	P	VARIOUS	12/31/12
f	SEE ATTACHED MERRILL LYNCH (6YJ-04324)	P	VARIOUS	12/31/12
g	SEE ATTACHED MERRILL LYNCH (6YJ-04324) WASH ADJ.	P	VARIOUS	12/31/12
h	SEE ATTACHED MERRILL LYNCH (6YJ-04327)	P	VARIOUS	12/31/12
i	SEE ATTACHED MERRILL LYNCH (6YJ-04327)	P	VARIOUS	12/31/12
j	SALE OF 380.00 SHS NUSTAR ENERGY, L.P.	P	11/16/09	02/01/12
k	FROM ENTERPRISE PRODUCTS	P	VARIOUS	12/31/12
l	SELECTINVEST ARV LTD. (ML 6YJ-04328)	P	VARIOUS	04/01/12
m	SALE OF 137,700 SHARES OF ML SYSTEMATIC MOMENTUM	P	VARIOUS	01/17/12
n	CAPITAL GAINS DIVIDENDS			
o				

(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		3.	<3.>
b	78,986.	86,761.	<7,775.>
c	281,978.	314,623.	<32,645.>
d	888,622.	858,211.	30,411.
e	139.		139.
f	2,295,840.	1,969,757.	326,083.
g	2,252.		2,252.
h	130,819.	146,390.	<15,571.>
i	211,636.	279,471.	<67,835.>
j	22,572.	19,235.	3,337.
k	2,514.		2,514.
l	78,079.	69,596.	8,483.
m	157,267.	157,253.	14.
n	1,195.		1,195.
o			

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			<3.>
b			<7,775.>
c			<32,645.>
d			30,411.
e			139.
f			326,083.
g			2,252.
h			<15,571.>
i			<67,835.>
j			3,337.
k			2,514.
l			8,483.
m			14.
n			1,195.
o			

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

250,599.

3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)

If gain, also enter in Part I, line 8, column (c).

If (loss), enter "-0-" in Part I, line 8

3

N/A



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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
SHORT TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.								
COVERED TRANSACTIONS - 1099-B Line 6b. (cost basis reported to the IRS)								
LIMITED BRANDS INC 612 0000	Sale	12/05/11	CUSIP Number 532716107 02/13/12	27,653.24	26,453.39	0.00	1,199.85	
TELEFONICA SA SPAIN ADR 1335.0000	Sale	09/23/11	CUSIP Number 879382208 05/24/12	15,998.69	24,344.39	0.00	(8,345.70)	
YPF SOCIEDAD ANON SPN 750 0000	Sale	11/08/11	CUSIP Number 984245100 02/13/12	25,553.06	26,789.48	0.00	(1,236.42)	
WPX ENERGY INC 559 0000	Sale	03/10/11	CUSIP Number 98212B103 01/06/12	9,769.79	9,162.48	0.00	607.31	
	Cash/Lieu	03/10/11	01/13/12	11.39	10.95	0.00	0.44	
	Security Subtotal			9,781.18	9,173.43	0.00	607.75	
Covered Short Term Capital Gains and Losses Subtotal				78,986.17	86,760.69	0.00	(7,774.52)	
NET SHORT TERM CAPITAL GAINS AND LOSSES				78,986.17	86,760.69	0.00	(7,774.52)	



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2012 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a. Amount	3 Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
LONG TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.								
COVERED TRANSACTIONS - 1099-B Line 6b (cost basis reported to the IRS)								
ACCO BRANDS CORP								
314 0000	Sale	02/04/11	05/04/12	3,490.66	2,987.05	0.00	503.61	
	Cash/Lieu	02/04/11	05/17/12	7.48	6.84	0.00	0.64	
251 0000	Sale	02/04/11	05/24/12	2,384.48	2,388.25	0.00	(3.77)	
Security Subtotal				5,882.62	5,382.14	0.00	500.48	
MEADWESTVACO CORP								
738 0000	Sale	02/04/11	10/15/12	22,197.88	18,767.50	0.00	3,430.38	
977 0000	Sale	02/04/11	11/15/12	27,900.94	24,845.33	0.00	3,055.61	
Security Subtotal				50,098.82	43,612.83	0.00	6,485.99	
VALLEY NATL BANKCORP N J								
	Cash/Lieu	05/04/11	05/30/12	9.86	10.84	0.00	(0.98)	
Covered Long Term Capital Gains and Losses Subtotal				55,991.30	49,005.81	0.00	6,985.49	

NONCOVERED TRANSACTIONS - 1099-B Line 6a. (cost basis not reported to the IRS)

AMERICAN WTR WKS CO INC								
535 0000	Sale	03/13/09	02/01/12	17,960.47	9,689.01	0.00	8,271.46	
CINEMARK HLDGS INC								
722 0000	Sale	08/05/10	02/13/12	14,852.55	11,259.37	0.00	3,593.18	
670 0000	Sale	08/13/10	02/13/12	13,782.85	10,483.62	0.00	3,299.23	
Security Subtotal				28,635.40	21,742.99	0.00	6,892.41	
ENERPLUS CORP SHS								
509 0000	Sale	02/29/08	06/08/12	6,776.16	21,785.21	0.00	(15,009.05)	
15 0000	Sale	03/04/08	06/08/12	199.69	644.10	0.00	(444.41)	
256 0000	Sale	04/23/08	06/08/12	3,408.06	11,667.71	0.00	(8,259.65)	
664 0000	Sale	04/23/08	06/12/12	8,719.65	30,263.13	0.00	(21,543.48)	
283 0000	Sale	10/23/08	06/12/12	3,716.36	6,531.27	0.00	(2,814.91)	
962 0000	Sale	10/23/08	06/14/12	12,186.72	22,201.71	0.00	(10,014.99)	
60 0000	Sale	10/31/08	06/14/12	760.09	1,513.80	0.00	(753.71)	
Security Subtotal				35,766.73	94,606.93	0.00	(58,840.20)	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
HCP INC								
395 0000	Sale	08/27/09	02/01/12	16,514.12	11,467.52	0.00	5,046.60	
MERCK AND CO INC SHS								
460 0000	Sale	04/28/08	07/19/12	20,194.15	19,085.17	0.00	1,108.98	
NORTHEAST UTILITIES COM								
984 0000	Sale	03/17/09	07/27/12	39,455.65	20,666.46	0.00	18,789.19	
TELEFONICA SA SPAIN ADR								
2061 0000	Sale	07/07/10	04/25/12	30,771.28	41,954.06	0.00	(11,182.78)	
504 0000	Sale	07/07/10	05/24/12	6,039.95	10,259.51	0.00	(4,219.56)	
	Security Subtotal			36,811.23	52,213.57	0.00	(15,402.34)	
WINDSTREAM CORP								
732 0000	Sale	02/29/08	12/07/12	6,103.86	8,622.96	0.00	(2,519.10)	
414 0000	Sale	04/23/08	12/07/12	3,452.19	4,715.46	0.00	(1,263.27)	
746 0000	Sale	04/23/08	12/11/12	6,252.01	8,496.94	0.00	(2,244.93)	
588 0000	Sale	10/23/08	12/11/12	4,927.86	4,849.88	0.00	77.98	
1147 0000	Sale	10/23/08	12/13/12	9,913.30	9,460.57	0.00	452.73	
	Security Subtotal			30,649.22	36,145.81	0.00	(5,496.59)	
	Noncovered Long Term Capital Gains and Losses Subtotal			225,986.97	265,617.46	0.00	(39,630.49)	
	NET LONG TERM CAPITAL GAINS AND LOSSES			281,978.27	314,623.27	0.00	(32,645.00)	

OTHER TRANSACTIONS - 1099-B Line 6a. (cost basis not reported to the IRS)

NUSTAR ENERGY								
380 0000	Sale	11/13/09	02/01/12	22,571.91	20,063.81	0.00	N/C	
	Other Transactions Subtotal			22,571.91	19,235	0.00	3,337	

TOTAL SALES PROCEEDS FOR CAPITAL GAINS AND LOSSES 383,536.35
TOTAL REPORTED SALES PROCEEDS 383,536.35

N/C Results may not be calculated for transactions which involve the amortization of premium, the repayment of principal, the sale of partnership interest, derivative products purchased in the secondary market, or the determination of ordinary income and/or capital items for discount and zero-coupon issues.



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2012 REALIZED CAPITAL GAIN AND LOSS SUMMARY

COVERED SHORT TERM GAINS/LOSSES	NONCOVERED SHORT TERM GAINS/LOSSES	COVERED LONG TERM GAINS/LOSSES	NONCOVERED LONG TERM GAINS/LOSSES
(7,774.52)	0.00	6,985.49	(39,630.49)



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
SHORT TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.								
COVERED TRANSACTIONS - 1099-B Line 6b. (cost basis reported to the IRS)								
ISHARES MSCI SWITZERLAND 330.0000	Sale	04/04/12	10/04/12	8,329.87	8,091.60	0.00	238.27	
ISHARES MSCI GERMANY 600.0000	Sale	04/04/12	10/04/12	13,837.37	13,438.50	0.00	398.87	
ISHARES MSCI FRANCE INDX FUND 380.0000	Sale	04/04/12	10/04/12	8,155.80	8,009.67	0.00	146.13	
ISHARES MSCI UNITED 242.0000	Sale	04/04/12	11/28/12	4,204.35	4,118.84	0.00	85.51	
VANGUARD CONSUMER 140.0000	Sale	01/20/12	04/11/12	11,898.74	11,359.45	0.00	539.29	
100.0000	Sale	01/20/12	10/04/12	9,281.11	8,113.89	0.00	1,167.22	
Security Subtotal				21,179.85	19,473.34	0.00	1,706.51	
PRDNTL JEN NAT RES FD Z 90.0000	Sale	01/20/12	07/13/12	3,838.50	4,532.40	0.00	(693.90)	
90.0000	Sale	01/20/12	07/27/12	4,020.30	4,532.40	0.00	(512.10)	
80.0000	Sale	01/20/12	08/27/12	3,684.00	4,028.80	0.00	(344.80)	
80.0000	Sale	01/20/12	09/24/12	3,875.20	4,028.80	0.00	(153.60)	



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1c Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a. Amount	3 Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
PRDNTL JEN NAT RES FD Z								
750 0000	Sale	01/20/12	10/04/12	35,835.00	37,770.00	0.00	(1,935.00)	
60 0000	Sale	01/20/12	10/22/12	2,858.40	3,021.60	0.00	(163.20)	
60 0000	Sale	01/20/12	11/20/12	2,719.80	3,021.60	0.00	(301.80)	
Security Subtotal				56,831.20	60,935.60	0.00	(4,104.40)	
BLACKROCK FLT RTE INC IN								
1 0000	Sale	10/04/12	10/22/12	10.18	10.37	0.19 (W)	0.00	
739 0000	Sale	10/04/12	10/22/12	7,524.65	7,663.43	138.78 (W)	0.00	
760 0000	Sale	10/04/12	11/20/12	7,873.60	7,881.20	0.00	(7.60)	
Security Subtotal				15,408.43	15,555.00	138.97	(7.60)	
Covered Short Term Capital Gains and Losses Subtotal				127,946.87	129,622.55	138.97	(1,536.71)	
NONCOVERED TRANSACTIONS - 1099-B Line 6a. (cost basis not reported to the IRS)								
ELEMENTS ROGERS AGRIC TR								
330 0000	Sale	07/22/11	01/20/12	2,942.06	3,374.28	0.00	(432.22)	
120 0000	Sale	12/08/11	01/20/12	1,069.84	1,033.56	0.00	36.28	
Security Subtotal				4,011.90	4,407.84	0.00	(395.94)	
ISHARES MSCI AUSTRALIA								
610 0000	Sale	04/12/11	04/04/12	13,994.62	17,723.41	0.00 (Y)	(3,728.79)	
1680 0000	Sale	07/22/11	04/04/12	38,542.54	43,769.04	0.00	(5,226.50)	
Security Subtotal				52,537.16	61,492.45	0.00	(8,955.29)	
ISHARES MSCI CDA INDX FD								
620 0000	Sale	07/22/11	04/04/12	17,249.75	20,203.07	0.00	(2,953.32)	
ISHARES MSCI HONG KONG								
720 0000	Sale	04/12/11	04/04/12	12,484.66	13,822.10	0.00 (Y)	(1,337.44)	
520 0000	Sale	07/22/11	04/04/12	9,016.70	9,647.98	0.00	(631.28)	
Security Subtotal				21,501.36	23,470.08	0.00	(1,968.72)	



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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3 Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
ISHARES MSCI ITALY INDEX FUND								
		CUSIP Number	464286855					
13.0000	Sale	09/30/11	08/27/12	151.12	157.55	0.00	(6.43)	
70.0000	Sale	09/30/11	09/24/12	886.88	848.37	0.00	38.51	
	Security Subtotal			1,038.00	1,005.92	0.00	32.08	
MORGAN STNLY EMRG MKTS								
		CUSIP Number	61744HH105					
140.0000	Sale	08/10/11	07/13/12	1,600.05	1,439.80	0.00	160.25	
140.0000	Sale	08/10/11	07/27/12	1,640.02	1,439.80	0.00	200.22	
	Security Subtotal			3,240.07	2,879.60	0.00	360.47	
ISHARES S&P GLOBAL 100								
		CUSIP Number	464287572					
40.0000	Sale	12/14/11	07/13/12	2,322.92	2,259.99	0.00	62.93	
40.0000	Sale	12/14/11	07/27/12	2,361.73	2,259.99	0.00	101.74	
40.0000	Sale	12/14/11	08/27/12	2,447.55	2,259.99	0.00	187.56	
30.0000	Sale	12/14/11	09/24/12	1,904.96	1,694.99	0.00	209.97	
1270.0000	Sale	12/14/11	10/04/12	80,262.20	71,754.76	0.00	8,507.44	
	Security Subtotal			89,299.36	80,229.72	0.00	9,069.64	
EATON VANCE TAX MANAGED BUY WRITE INCOME								
		CUSIP Number	27828X100					
2898.0000	Sale	08/10/11	04/18/12	39,507.55	32,091.68	0.00	7,415.87	
1562.0000	Sale	08/10/11	04/19/12	20,807.09	16,869.86	0.00	3,937.23	
	Security Subtotal			60,314.64	48,961.54	0.00	11,353.10	
NUVEEN QUAL PREF INC 2								
		CUSIP Number	67072C105					
3052.0000	Sale	08/10/11	01/19/12	25,413.51	23,064.88	0.00	2,348.63	
209.0000	Sale	08/10/11	01/20/12	1,745.12	1,579.47	0.00	165.65	
591.0000	Sale	08/10/11	01/23/12	4,922.94	4,466.37	0.00	456.57	
766.0000	Sale	08/22/11	01/25/12	6,421.17	5,890.85	0.00	530.32	
328.0000	Sale	08/22/11	01/25/12	2,749.54	2,522.45	0.00	227.09	
218.0000	Sale	08/24/11	01/25/12	1,827.44	1,678.60	0.00	148.84	
6.0000	Sale	08/10/11	01/30/12	50.05	45.34	0.00	4.71	
780.0000	Sale	08/18/11	01/30/12	6,506.94	6,068.40	0.00	438.54	
328.0000	Sale	08/22/11	01/30/12	2,736.26	2,522.45	0.00	213.81	
	Security Subtotal			52,372.97	47,838.81	0.00	4,534.16	
ISHARES MSCI SOUTH AFRICA								
		CUSIP Number	464286780					
210.0000	Sale	12/14/11	04/04/12	13,906.92	12,490.51	0.00	1,416.41	



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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
CALAMOS CONV & HIGH INC								
260.0000	Sale	08/10/11	12811P108 07/13/12	3,249.93	2,865.51	0.00	384.42	
250.0000	Sale	08/10/11	07/27/12	3,171.28	2,755.30	0.00	415.98	
	Security Subtotal			6,421.21	5,620.81	0.00	800.40	
EATON VANCE TAX DIV INC								
340.0000	Sale	08/10/11	27828G107 07/13/12	5,489.55	4,834.32	0.00	655.23	
330.0000	Sale	08/10/11	07/27/12	5,454.81	4,692.14	0.00	762.67	
	Security Subtotal			10,944.36	9,526.46	0.00	1,417.90	
VANGUARD CONSUMER								
80.0000	Sale	11/15/11	92204A207 10/04/12	7,424.89	6,383.96	0.00	1,040.93	
80.0000	Sale	12/14/11	10/04/12	7,424.89	6,421.52	0.00	1,003.37	
	Security Subtotal			14,849.78	12,805.48	0.00	2,044.30	
VANGUARD CONSUMER								
320.0000	Sale	11/15/11	92204A108 10/04/12	24,276.23	20,014.94	0.00	4,261.29	
150.0000	Sale	12/14/11	11/28/12	11,226.01	9,049.17	0.00	2,176.84	
	Security Subtotal			35,502.24	29,064.11	0.00	6,438.13	
VANGUARD INFORMATION								
130.0000	Sale	11/15/11	92204A702 04/11/12	9,494.86	8,283.31	0.00	1,211.55	
360.0000	Sale	11/15/11	10/04/12	26,469.17	22,938.41	0.00	3,530.76	
	Security Subtotal			35,964.03	31,221.72	0.00	4,742.31	
VANGUARD HEALTH CARE ETF								
130.0000	Sale	11/15/11	92204A504 10/04/12	9,725.24	7,816.69	0.00	1,908.55	
POWERSHARES WATER								
210.0000	Sale	07/22/11	73935X575 01/20/12	3,805.61	4,169.68	0.00	(364.07)	
WESTERN ASSET GLOBAL								
522.0000	Sale	08/10/11	95766B109 01/03/12	6,593.62	5,931.33	0.00	662.29	
445.0000	Sale	08/10/11	01/04/12	5,562.39	5,056.40	0.00	505.99	
708.0000	Sale	08/10/11	01/05/12	8,835.67	8,044.79	0.00	790.88	
712.0000	Sale	08/10/11	01/12/12	8,864.23	8,090.24	0.00	773.99	
690.0000	Sale	08/10/11	01/13/12	8,644.36	7,840.27	0.00	804.09	
	Security Subtotal			38,500.27	34,963.03	0.00	3,537.24	



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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
MARKET VECTORS RUSSIA								
320 0000	Sale	07/22/11	04/04/12	9,718.18	12,697.02	0.00	(2,978.84)	
80 0000	Sale	12/14/11	04/04/12	2,429.55	2,088.62	0.00	340.93	
110 0000	Sale	12/14/11	10/04/12	3,180.03	2,871.86	0.00	308.17	
	Security Subtotal			15,327.76	17,657.50	0.00	(2,329.74)	
ISHARES FTSE NAREIT								
70 0000	Sale	11/29/11	07/13/12	3,471.22	2,812.57	0.00	658.65	
70 0000	Sale	11/29/11	07/27/12	3,503.43	2,812.57	0.00	690.86	
70 0000	Sale	11/29/11	08/27/12	3,418.72	2,812.57	0.00	606.15	
60 0000	Sale	11/29/11	09/24/12	2,879.34	2,410.78	0.00	468.56	
70 0000	Sale	11/29/11	10/22/12	3,307.43	2,812.57	0.00	494.86	
70 0000	Sale	11/29/11	11/20/12	3,289.93	2,812.57	0.00	477.36	
	Security Subtotal			19,870.07	16,473.63	0.00	3,396.44	
WISDOMTREE EMERGING MKRT								
1500 0000	Sale	06/15/11	04/04/12	84,868.10	91,605.00	0.00	(6,736.90)	
SPDR S P CHINA								
260 0000	Sale	06/15/11	04/04/12	17,736.25	19,609.20	0.00	(1,872.95)	
WISDOMTREE INDIA								
1540 0000	Sale	06/15/11	04/04/12	29,567.34	35,527.03	0.00	(5,959.69)	
ISHARES MSCI BRAZIL FREE								
196 0000	Sale	12/14/11	04/04/12	12,482.92	11,098.95	0.00	1,383.97	
INVESCO VAN KAMPEN DYNMI								
280 0000	Sale	08/10/11	07/13/12	3,315.13	3,034.53	0.00	280.60	
270 0000	Sale	08/10/11	07/27/12	3,229.97	2,926.15	0.00	303.82	
	Security Subtotal			6,545.10	5,960.68	0.00	584.42	
WELLS FARGO ADVANTAGE								
567 0000	Sale	08/10/11	02/29/12	5,034.87	4,555.16	0.00	479.71	
3564 0000	Sale	08/10/11	03/01/12	32,038.71	28,632.46	0.00	3,406.25	
1417 0000	Sale	08/10/11	03/02/12	12,779.40	11,383.90	0.00	1,395.50	
1540 0000	Sale	12/06/11	03/02/12	13,888.70	12,388.84	0.00	1,499.86	
1323 0000	Sale	12/08/11	03/02/12	11,931.67	10,530.82	0.00	1,400.85	



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
WELLS FARGO ADVANTAGE								
845 0000	Sale	12/08/11	03/05/12	7,595.14	6,726.03	0.00	869.11	
1132 0000	Sale	12/09/11	03/05/12	10,174.80	9,067.32	0.00	1,107.48	
Security Subtotal				93,443.29	83,284.53	0.00	10,158.76	
NEUBERGER BERMAN EQUITY								
280 0000	Sale	09/15/11	07/13/12	3,214.40	3,105.20	0.00	109.20	
280 0000	Sale	09/15/11	07/27/12	3,273.20	3,105.20	0.00	168.00	
270 0000	Sale	09/15/11	08/27/12	3,161.70	2,994.30	0.00	167.40	
Security Subtotal				9,649.30	9,204.70	0.00	444.60	
Noncovered Short Term Capital Gains and Losses Subtotal				760,675.00	728,588.74	0.00	32,086.26	
NET SHORT TERM CAPITAL GAINS AND LOSSES				888,621.87	858,211.29	138.97	30,549.55	
LONG TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.								
NONCOVERED TRANSACTIONS - 1099-B Line 6a. (cost basis not reported to the IRS)								
ELEMENTS ROGERS AGRIC TR								
508 0000	Sale	03/10/10	01/20/12	4,528.98	3,726.69	0.00	802.29	
209 0000	Sale	03/16/10	01/20/12	1,863.30	1,532.97	0.00	330.33	
1000 0000	Sale	04/01/10	01/20/12	8,915.33	7,150.00	0.00	1,765.33	
1399 0000	Sale	07/13/10	01/20/12	12,472.54	10,211.30	0.00	2,261.24	
50 0000	Sale	11/08/10	01/20/12	445.77	506.50	0.00	(60.73)	
250 0000	Sale	01/12/11	01/20/12	2,228.84	2,690.00	0.00	(461.16)	
Security Subtotal				30,454.76	25,817.46	0.00	4,637.30	
NUVEEN PREM INC MUNI								
10 0000	Sale	11/22/10	07/02/12	150.72	139.02	0.00 (Y)	11.70	
580 0000	Sale	11/29/10	07/02/12	8,741.85	7,655.80	0.00 (Y)	1,086.05	
683 0000	Sale	12/02/10	07/02/12	10,294.28	9,193.18	0.00	1,101.10	
637 0000	Sale	12/02/10	07/02/12	9,600.97	8,504.08	0.00	1,096.89	
280 0000	Sale	12/08/10	07/02/12	4,220.21	3,605.67	0.00	614.54	
50 0000	Sale	12/09/10	07/02/12	753.61	642.21	0.00	111.40	
910 0000	Sale	12/15/10	07/02/12	13,715.67	11,322.04	0.00	2,393.63	
70 0000	Sale	12/15/10	07/13/12	1,054.88	870.93	0.00	183.95	
70 0000	Sale	12/15/10	07/27/12	1,059.78	870.93	0.00	188.85	



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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
NUVEEN PREM INC MUNI								
		CUSIP Number	670627100					
70 0000	Sale	12/15/10	08/27/12	1,038.08	870.93	0.00	167.15	
70 0000	Sale	12/15/10	09/24/12	1,075.18	870.92	0.00	204.26	
890 0000	Sale	12/15/10	09/26/12	13,732.39	11,073.19	0.00	2,659.20	
1530 0000	Sale	08/09/11	09/26/12	23,607.37	19,611.69	0.00	3,995.68	
	Security Subtotal			89,044.99	75,230.59	0.00	13,814.40	
VANGUARD TOTAL STK MKT								
		CUSIP Number	922908769					
184 0000	Sale	10/27/08	07/13/12	12,755.43	7,858.64	0.00	4,896.79	
56 0000	Sale	10/27/08	07/13/12	3,882.10	2,378.81	0.00	1,503.29	
240 0000	Sale	10/27/08	07/27/12	16,853.62	10,194.91	0.00	6,658.71	
230 0000	Sale	10/27/08	08/27/12	16,652.41	9,770.12	0.00	6,882.29	
220 0000	Sale	10/27/08	09/24/12	16,354.47	9,345.34	0.00	7,009.13	
220 0000	Sale	10/27/08	10/22/12	16,080.78	9,345.34	0.00	6,735.44	
230 0000	Sale	10/27/08	11/20/12	16,379.08	9,770.12	0.00	6,608.96	
1310 0000	Sale	12/15/10	11/28/12	93,554.56	84,202.08	0.00	9,352.48	
	Security Subtotal			192,512.45	142,865.36	0.00	49,647.09	
ISHARES MSCI AUSTRALIA								
		CUSIP Number	464286103					
90 0000	Sale	10/27/08	07/13/12	1,959.26	1,175.40	0.00	783.86	
90 0000	Sale	10/27/08	07/27/12	2,066.35	1,175.40	0.00	890.95	
90 0000	Sale	10/27/08	08/27/12	2,132.05	1,175.40	0.00	956.65	
80 0000	Sale	10/27/08	09/24/12	1,914.36	1,044.80	0.00	869.56	
310 0000	Sale	07/22/11	10/04/12	7,443.49	8,076.43	0.00	(632.94)	
80 0000	Sale	10/27/08	10/22/12	1,965.56	1,044.80	0.00	920.76	
80 0000	Sale	10/27/08	11/20/12	1,930.36	1,044.80	0.00	885.56	
	Security Subtotal			19,411.43	14,737.03	0.00	4,674.40	
ISHARES MSCI CDA INDX FD								
		CUSIP Number	464286509					
980 0000	Sale	12/15/10	04/04/12	27,265.73	30,046.50	0.00	(2,780.77)	
160 0000	Sale	10/27/08	07/13/12	4,115.11	2,628.29	0.00	1,486.82	
160 0000	Sale	10/27/08	07/27/12	4,221.46	2,628.29	0.00	1,593.17	
150 0000	Sale	10/27/08	08/27/12	4,146.66	2,464.02	0.00	1,682.64	
150 0000	Sale	10/27/08	09/24/12	4,292.15	2,464.02	0.00	1,828.13	
10 0000	Sale	10/12/10	10/04/12	288.53	289.27	0.00	(0.74)	
340 0000	Sale	12/15/10	10/04/12	9,810.14	10,424.30	0.00	(614.16)	
140 0000	Sale	10/27/08	10/22/12	3,986.41	2,299.75	0.00	1,686.66	
140 0000	Sale	10/27/08	11/20/12	3,860.44	2,299.75	0.00	1,560.69	
	Security Subtotal			61,986.63	55,544.19	0.00	6,442.44	



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1e Quantity	Transaction Description	1b, Date of Acquisition	1a, Date of Sale or Exchange	2a, Amount	3, Cost Basis	5, Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
ISHARES MSCI SWITZERLAND								
		CUSIP Number	464286749					
110.0000	Sale	10/27/08	07/13/12	2,473.41	1,822.19	0.00	651.22	
110.0000	Sale	10/27/08	07/27/12	2,559.65	1,822.20	0.00	737.45	
110.0000	Sale	10/27/08	08/27/12	2,642.91	1,822.19	0.00	820.72	
110.0000	Sale	10/27/08	09/24/12	2,741.20	1,822.20	0.00	919.00	
100.0000	Sale	10/27/08	10/22/12	2,583.79	1,656.54	0.00	927.25	
100.0000	Sale	10/27/08	11/20/12	2,503.44	1,656.54	0.00	846.90	
	Security Subtotal			15,504.40	10,601.86	0.00	4,902.54	
ISHARES MSCI SWEDEN INDEX FUND								
		CUSIP Number	464286756					
30.0000	Sale	10/27/08	07/13/12	764.98	383.53	0.00	381.45	
30.0000	Sale	10/27/08	07/27/12	805.18	383.53	0.00	421.65	
30.0000	Sale	10/27/08	08/27/12	839.98	383.52	0.00	456.46	
30.0000	Sale	10/27/08	09/24/12	863.68	383.53	0.00	480.15	
30.0000	Sale	10/27/08	10/22/12	842.68	383.52	0.00	459.16	
30.0000	Sale	10/27/08	11/20/12	817.18	383.53	0.00	433.65	
	Security Subtotal			4,933.68	2,301.16	0.00	2,632.52	
ISHARES MSCI GERMANY								
		CUSIP Number	464286806					
130.0000	Sale	10/27/08	07/13/12	2,541.83	2,019.71	0.00	522.12	
130.0000	Sale	10/27/08	07/27/12	2,616.15	2,019.71	0.00	596.44	
130.0000	Sale	10/27/08	08/27/12	2,781.29	2,019.70	0.00	761.59	
120.0000	Sale	10/27/08	09/24/12	2,780.34	1,864.34	0.00	916.00	
110.0000	Sale	10/27/08	10/22/12	2,554.69	1,708.98	0.00	845.71	
80.0000	Sale	10/27/08	11/20/12	1,790.75	1,242.90	0.00	547.85	
30.0000	Sale	09/30/11	11/20/12	671.54	556.50	0.00	115.04	
	Security Subtotal			15,736.59	11,431.84	0.00	4,304.75	
ISHARES MSCI HONG KONG								
		CUSIP Number	464286871					
290.0000	Sale	12/15/10	04/04/12	5,028.55	5,520.55	0.00	(492.00)	
30.0000	Sale	10/27/08	07/13/12	495.59	272.66	0.00	222.93	
30.0000	Sale	10/27/08	07/27/12	497.39	272.65	0.00	224.74	
30.0000	Sale	10/27/08	08/27/12	512.09	272.66	0.00	239.43	
20.0000	Sale	10/27/08	09/24/12	361.39	181.77	0.00	179.62	
20.0000	Sale	10/27/08	10/22/12	368.79	181.77	0.00	187.02	
30.0000	Sale	10/27/08	11/20/12	559.19	272.65	0.00	286.54	
515.0000	Sale	10/27/08	11/28/12	9,764.18	4,680.58	0.00	5,083.60	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
ISHARES MSCI HONG KONG								
	24 0000 Sale	12/23/08	11/28/12	455.03	242.16	0.00	212.87	
	300.0000 Sale	07/22/11	11/28/12	5,687.87	5,566.14	0.00	121.73	
	Security Subtotal			23,730.07	17,463.59	0.00	6,266.48	
ISHARES MSCI NETHERLANDS								
	40.0000 Sale	10/27/08	07/13/12	667.99	533.76	0.00	134.23	
	40.0000 Sale	10/27/08	07/27/12	698.78	533.76	0.00	165.02	
	40.0000 Sale	10/27/08	08/27/12	727.18	533.76	0.00	193.42	
	30.0000 Sale	10/27/08	09/24/12	566.69	400.32	0.00	166.37	
	6 0000 Sale	10/27/08	10/22/12	116.63	80.06	0.00	36.57	
	24 0000 Sale	12/09/10	10/22/12	466.56	488.16	0.00	(21.60)	
	40.0000 Sale	12/09/10	11/20/12	747.98	813.60	65.62 (W)	0.00	
	Security Subtotal			3,991.81	3,383.42	65.62	674.01	
ISHARES MSCI ITALY INDEX FUND								
	80 0000 Sale	10/27/08	07/13/12	840.78	1,156.37	0.00	(315.59)	
	50.0000 Sale	10/27/08	07/27/12	522.99	722.73	0.00	(199.74)	
	30.0000 Sale	12/09/10	07/27/12	313.80	488.46	0.00	(174.66)	
	57.0000 Sale	12/09/10	08/27/12	662.60	928.06	0.00	(265.46)	
	70.0000 Sale	09/30/11	10/22/12	899.03	848.37	0.00	50.66	
	70.0000 Sale	09/30/11	11/20/12	851.88	848.37	0.00	3.51	
	Security Subtotal			4,091.08	4,992.36	0.00	(901.28)	
ISHARES MSCI JAPAN INDEX								
	710 0000 Sale	10/27/08	07/13/12	6,490.81	5,687.10	0.00	803.71	
	342.0000 Sale	10/27/08	07/27/12	3,072.32	2,739.42	0.00	332.90	
	358 0000 Sale	04/12/11	07/27/12	3,216.06	3,554.90	338.84 (W)	0.00	
	740.0000 Sale	04/12/11	08/27/12	6,870.38	7,348.13	477.75 (W)	0.00	
	720 0000 Sale	04/12/11	09/24/12	6,697.51	7,149.53	0.00	(452.02)	
	1160 0000 Sale	04/12/11	10/04/12	10,636.96	11,518.68	0.00	(881.72)	
	690 0000 Sale	04/12/11	10/22/12	6,377.88	6,851.63	0.00	(473.75)	
	700 0000 Sale	04/12/11	11/20/12	6,408.01	6,950.93	542.92 (W)	0.00	
	Security Subtotal			49,769.93	51,800.32	1,359.51	(670.88)	
ISHARES MSCI SPAIN INDEX								
	40 0000 Sale	12/08/10	07/13/12	908.37	1,523.24	0.00	(614.87)	
	10 0000 Sale	12/09/10	07/13/12	227.10	382.90	0.00	(155.80)	
	50 0000 Sale	12/09/10	07/27/12	1,133.97	1,914.48	0.00	(780.51)	



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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3 Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
ISHARES MSCI SPAIN INDEX								
		CUSIP Number	464286764					
50,000	Sale	12/09/10	08/27/12	1,296.47	1,914.47	0.00	(618.00)	
10,000	Sale	12/09/10	09/24/12	292.89	382.90	0.00	(90.01)	
40,000	Sale	01/12/11	09/24/12	1,171.58	1,472.40	0.00	(300.82)	
50,000	Sale	01/12/11	10/22/12	1,439.97	1,840.50	0.00	(400.53)	
50,000	Sale	01/12/11	11/20/12	1,388.97	1,840.50	451.53 (W)	0.00	
Security Subtotal				7,859.32	11,271.39	451.53	(2,960.54)	
ISHARES MSCI FRANCE INDEX FUND								
		CUSIP Number	464286707					
190,000	Sale	10/27/08	07/13/12	3,576.59	3,410.77	0.00	165.82	
180,000	Sale	10/27/08	07/27/12	3,528.77	3,231.26	0.00	297.51	
180,000	Sale	10/27/08	08/27/12	3,757.13	3,231.26	0.00	525.87	
170,000	Sale	10/27/08	09/24/12	3,703.68	3,051.74	0.00	651.94	
160,000	Sale	10/27/08	10/22/12	3,530.00	2,872.22	0.00	657.78	
17,000	Sale	10/27/08	11/20/12	365.83	305.18	0.00	60.65	
153,000	Sale	09/30/11	11/20/12	3,292.49	2,961.73	0.00	330.76	
Security Subtotal				21,754.49	19,064.16	0.00	2,690.33	
MORGAN STNLY EMRG MKTS								
		CUSIP Number	61744H105					
140,000	Sale	08/10/11	08/27/12	1,654.76	1,439.80	0.00	214.96	
130,000	Sale	08/10/11	09/24/12	1,560.62	1,336.96	0.00	223.66	
130,000	Sale	08/10/11	10/22/12	1,586.12	1,336.96	0.00	249.16	
140,000	Sale	08/10/11	11/20/12	1,683.46	1,439.80	0.00	243.66	
Security Subtotal				6,484.96	5,553.52	0.00	931.44	
ISHARES MSCI TAIWAN								
		CUSIP Number	464286731					
10,000	Sale	10/27/08	07/13/12	119.39	74.90	0.00	44.49	
10,000	Sale	10/27/08	07/27/12	120.09	74.90	0.00	45.19	
10,000	Sale	10/27/08	08/27/12	126.29	74.90	0.00	51.39	
10,000	Sale	10/27/08	09/24/12	134.99	74.90	0.00	60.09	
10,000	Sale	10/27/08	10/22/12	128.99	74.90	0.00	54.09	
10,000	Sale	10/27/08	11/20/12	127.69	74.90	0.00	52.79	
Security Subtotal				757.44	449.40	0.00	308.04	
ISHARES MSCI UNITED								
		CUSIP Number	464286699					
390,000	Sale	10/27/08	07/13/12	6,404.83	4,437.30	0.00	1,967.53	
380,000	Sale	10/27/08	07/27/12	6,250.90	4,323.53	0.00	1,927.37	
228,000	Sale	10/27/08	08/27/12	3,915.45	2,594.11	0.00	1,321.34	
142,000	Sale	12/09/10	08/27/12	2,438.57	2,442.36	0.00	(3.79)	



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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
ISHARES MSCI UNITED								
360 0000	Sale	12/09/10	09/24/12	6,362.86	6,191.89	0.00	170.97	
820 0000	Sale	12/09/10	10/04/12	14,426.35	14,103.75	0.00	322.60	
340 0000	Sale	12/09/10	10/22/12	5,995.43	5,847.90	0.00	147.53	
340 0000	Sale	12/09/10	11/20/12	5,835.63	5,847.90	0.00	(12.27)	
1878 0000	Sale	12/09/10	11/28/12	32,627.08	32,301.04	0.00	326.04	
				84,257.10	78,089.78	0.00	6,167.32	
Security Subtotal								
ISHARES MSCI SOUTH KOREA								
220 0000	Sale	09/24/10	04/04/12	13,136.57	11,586.83	0.00	1,549.74	
170 0000	Sale	12/15/10	04/04/12	10,150.98	9,845.79	0.00	305.19	
26 0000	Sale	08/12/08	07/13/12	1,374.32	1,269.99	0.00	104.33	
14 0000	Sale	08/18/08	07/13/12	740.03	671.12	0.00	68.91	
40 0000	Sale	07/21/09	07/27/12	2,168.35	1,560.00	0.00	608.35	
40 0000	Sale	07/21/09	08/27/12	2,265.15	1,560.00	0.00	705.15	
40 0000	Sale	07/21/09	09/24/12	2,375.15	1,560.00	0.00	815.15	
40 0000	Sale	07/21/09	10/22/12	2,328.35	1,560.00	0.00	768.35	
40 0000	Sale	07/21/09	11/20/12	2,321.15	1,560.00	0.00	761.15	
				36,860.05	31,773.73	0.00	5,686.32	
Security Subtotal								
ISHARES MSCI SOUTH AFRICA								
10 0000	Sale	09/18/08	07/13/12	630.79	449.98	0.00	180.81	
10 0000	Sale	09/18/08	07/27/12	657.19	449.98	0.00	207.21	
10 0000	Sale	09/18/08	08/27/12	657.49	449.98	0.00	207.51	
10 0000	Sale	09/18/08	09/24/12	669.19	449.98	0.00	219.21	
10 0000	Sale	09/18/08	10/22/12	655.39	449.98	0.00	205.41	
10 0000	Sale	09/18/08	11/20/12	650.49	449.98	0.00	200.51	
				3,920.54	2,699.88	0.00	1,220.66	
Security Subtotal								
CALAMOS CONV & HIGH INC								
240 0000	Sale	08/10/11	08/27/12	3,035.93	2,645.09	0.00	390.84	
240 0000	Sale	08/10/11	09/24/12	3,069.53	2,645.09	0.00	424.44	
240 0000	Sale	08/10/11	10/22/12	3,004.75	2,645.09	0.00	359.66	
240 0000	Sale	08/10/11	11/20/12	2,883.54	2,645.09	0.00	238.45	
				11,993.75	10,580.36	0.00	1,413.39	
Security Subtotal								
EATON VANCE TAX DIV INC								
320 0000	Sale	08/10/11	08/27/12	5,312.97	4,549.95	0.00	763.02	
310 0000	Sale	08/10/11	09/24/12	5,288.48	4,407.77	0.00	880.71	
1870 0000	Sale	08/10/11	10/04/12	32,167.02	26,588.78	0.00	5,578.24	



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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
EATON VANCE TAX DIV INC								
260.0000	Sale	CUSIP Number 08/10/11	27828G107 10/22/12	4,473.49	3,696.84	0.00	776.65	
270.0000	Sale	08/10/11	11/20/12	4,446.83	3,839.02	0.00	607.81	
Security Subtotal				51,688.79	43,082.36	0.00	8,606.43	
VANGUARD FINANCIALS ETF								
90.0000	Sale	CUSIP Number 09/15/09	92204A405 07/13/12	2,805.24	2,651.81	0.00	153.43	
80.0000	Sale	09/15/09	07/27/12	2,478.44	2,357.17	0.00	121.27	
80.0000	Sale	09/15/09	08/27/12	2,561.54	2,357.17	0.00	204.37	
80.0000	Sale	09/15/09	09/24/12	2,653.58	2,357.17	0.00	296.41	
240.0000	Sale	10/12/10	10/04/12	8,041.67	7,295.62	0.00	746.05	
13.0000	Sale	03/21/11	10/04/12	435.59	464.06	0.00	(28.47)	(N)
477.0000	Sale	03/21/11	10/04/12	15,982.81	17,003.94	0.00	(1,021.13)	(Y)
60.0000	Sale	09/15/09	10/22/12	2,011.15	1,767.88	0.00	243.27	
60.0000	Sale	09/15/09	11/20/12	1,956.56	1,767.88	0.00	188.68	
410.0000	Sale	10/12/10	11/28/12	13,282.63	12,463.34	0.00	819.29	
Security Subtotal				52,209.21	50,486.04	0.00	1,723.17	
VANGUARD CONSUMER								
70.0000	Sale	CUSIP Number 12/23/08	92204A207 07/13/12	6,252.96	3,916.24	0.00	2,336.72	
70.0000	Sale	12/23/08	07/27/12	6,303.37	3,916.23	0.00	2,387.14	
60.0000	Sale	12/23/08	08/27/12	5,433.48	3,356.77	0.00	2,076.71	
60.0000	Sale	12/23/08	09/24/12	5,509.68	3,356.77	0.00	2,152.91	
50.0000	Sale	12/23/08	10/22/12	4,554.40	2,797.31	0.00	1,757.09	
60.0000	Sale	12/23/08	11/20/12	5,374.23	3,356.77	0.00	2,017.46	
140.0000	Sale	05/13/10	11/28/12	12,725.72	9,683.80	0.00	3,041.92	
510.0000	Sale	10/12/10	11/28/12	46,358.01	36,556.80	0.00	9,801.21	
670.0000	Sale	11/15/11	11/28/12	60,901.71	53,465.67	0.00	7,436.04	
Security Subtotal				153,413.56	120,406.36	0.00	33,007.20	
VANGUARD CONSUMER								
50.0000	Sale	CUSIP Number 08/12/09	92204A108 07/13/12	3,453.42	2,069.98	0.00	1,383.44	
50.0000	Sale	08/12/09	07/27/12	3,489.42	2,069.98	0.00	1,419.44	
50.0000	Sale	08/12/09	08/27/12	3,617.42	2,069.98	0.00	1,547.44	
50.0000	Sale	08/12/09	09/24/12	3,788.42	2,069.98	0.00	1,718.44	
40.0000	Sale	08/12/09	10/22/12	2,988.33	1,655.98	0.00	1,332.35	
40.0000	Sale	08/12/09	11/20/12	2,981.13	1,655.98	0.00	1,325.15	
150.0000	Sale	10/12/10	11/28/12	11,226.01	8,299.50	0.00	2,926.51	
10.0000	Sale	11/15/11	11/28/12	748.40	625.47	0.00	122.93	
Security Subtotal				32,292.55	20,516.85	0.00	11,775.70	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
VANGUARD UTILITIES ETF								
		CUSIP Number	92204A876					
10.0000	Sale	04/20/09	07/13/12	793.48	534.84	0.00	258.64	
10.0000	Sale	04/20/09	07/27/12	808.18	534.84	0.00	273.34	
10.0000	Sale	04/20/09	08/27/12	784.58	534.84	0.00	249.74	
10.0000	Sale	04/20/09	09/24/12	776.18	534.84	0.00	241.34	
10.0000	Sale	04/20/09	10/22/12	790.78	534.84	0.00	255.94	
10.0000	Sale	04/20/09	11/20/12	734.98	534.84	0.00	200.14	
110.0000	Sale	07/22/11	11/28/12	8,148.22	8,037.76	0.00	110.46	
230.0000	Sale	09/30/11	11/28/12	17,037.19	16,606.00	0.00	431.19	
	Security Subtotal			29,873.59	27,852.80	0.00	2,020.79	
VANGUARD MATERIALS ETF								
		CUSIP Number	92204A801					
10.0000	Sale	10/06/09	07/13/12	768.88	635.50	0.00	133.38	
10.0000	Sale	10/06/09	07/27/12	769.68	635.50	0.00	134.18	
10.0000	Sale	10/06/09	08/27/12	798.68	635.50	0.00	163.18	
10.0000	Sale	10/06/09	09/24/12	838.62	635.50	0.00	203.12	
10.0000	Sale	10/06/09	10/22/12	833.58	635.50	0.00	198.08	
10.0000	Sale	10/06/09	11/20/12	807.78	635.50	0.00	172.28	
	Security Subtotal			4,817.22	3,813.00	0.00	1,004.22	
VANGUARD INFORMATION								
		CUSIP Number	92204A702					
120.0000	Sale	12/23/08	07/13/12	8,051.65	3,958.72	0.00	4,092.93	
120.0000	Sale	12/23/08	07/27/12	8,197.38	3,958.72	0.00	4,238.66	
120.0000	Sale	12/23/08	08/27/12	8,770.24	3,958.72	0.00	4,811.52	
110.0000	Sale	12/23/08	09/24/12	8,199.64	3,628.82	0.00	4,570.82	
110.0000	Sale	12/23/08	10/22/12	7,664.63	3,628.82	0.00	4,035.81	
110.0000	Sale	12/23/08	11/20/12	7,427.04	3,628.82	0.00	3,798.22	
1350.0000	Sale	11/15/11	11/28/12	92,312.15	86,019.03	0.00	6,293.12	
	Security Subtotal			140,622.73	108,781.65	0.00	31,841.08	
VANGUARD HEALTH CARE ETF								
		CUSIP Number	92204A504					
60.0000	Sale	12/23/08	07/13/12	4,150.11	2,666.84	0.00	1,483.27	
60.0000	Sale	12/23/08	07/27/12	4,179.52	2,666.84	0.00	1,512.68	
60.0000	Sale	12/23/08	08/27/12	4,218.51	2,666.84	0.00	1,551.67	
60.0000	Sale	12/23/08	09/24/12	4,401.50	2,666.84	0.00	1,734.66	
150.0000	Sale	06/15/11	10/04/12	11,221.43	9,421.50	0.00	1,799.93	
50.0000	Sale	12/23/08	10/22/12	3,665.92	2,222.36	0.00	1,443.56	
50.0000	Sale	12/23/08	11/20/12	3,568.42	2,222.37	0.00	1,346.05	
	Security Subtotal			35,405.41	24,533.59	0.00	10,871.82	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
VANGUARD TELECOMM SRVCS								
		CUSIP Number	92204A884					
10 0000	Sale	10/29/09	07/13/12	694.28	518.89	0.00	175.39	
10 0000	Sale	10/29/09	07/27/12	698.18	518.89	0.00	179.29	
10 0000	Sale	10/29/09	08/27/12	706.48	518.89	0.00	187.59	
10 0000	Sale	10/29/09	09/24/12	757.78	518.89	0.00	238.89	
10 0000	Sale	10/29/09	10/22/12	729.78	518.89	0.00	210.89	
10 0000	Sale	10/29/09	11/20/12	692.88	518.89	0.00	173.99	
				4,279.38	3,113.34	0.00	1,166.04	
Security Subtotal								
VANGUARD ENERGY ETF								
		CUSIP Number	92204A306					
180 0000	Sale	12/15/10	04/11/12	18,083.25	17,522.51	0.00	560.74	
40 0000	Sale	12/23/08	07/13/12	3,894.31	2,510.00	0.00	1,384.31	
40 0000	Sale	12/23/08	07/27/12	4,035.11	2,510.00	0.00	1,525.11	
40 0000	Sale	12/23/08	08/27/12	4,188.31	2,510.00	0.00	1,678.31	
23 0000	Sale	12/23/08	09/24/12	2,490.38	1,443.25	0.00	1,047.13	
17 0000	Sale	12/23/08	09/24/12	1,840.72	1,066.75	0.00	773.97	
40 0000	Sale	12/23/08	10/22/12	4,257.90	2,510.00	0.00	1,747.90	
40 0000	Sale	12/23/08	11/20/12	4,077.11	2,510.00	0.00	1,567.11	
				42,867.09	32,582.51	0.00	10,284.58	
Security Subtotal								
VANGUARD INDUSTRIAL ETF								
		CUSIP Number	92204A603					
60 0000	Sale	12/23/08	07/13/12	3,913.11	2,425.80	0.00	1,487.31	
60 0000	Sale	12/23/08	07/27/12	3,982.71	2,425.80	0.00	1,556.91	
50 0000	Sale	12/23/08	08/27/12	3,422.42	2,021.50	0.00	1,400.92	
50 0000	Sale	12/23/08	09/24/12	3,481.42	2,021.50	0.00	1,459.92	
300 0000	Sale	03/21/11	10/04/12	20,981.08	20,611.14	0.00	369.94	
39 0000	Sale	12/23/08	10/22/12	2,695.62	1,576.77	0.00	1,118.85	
1 0000	Sale	02/11/10	10/22/12	69.12	50.86	0.00	18.26	
50 0000	Sale	02/11/10	11/20/12	3,421.42	2,543.02	0.00	878.40	
280 0000	Sale	12/15/10	11/28/12	19,314.78	18,172.00	0.00	1,142.78	
20 0000	Sale	01/12/11	11/28/12	1,379.63	1,328.96	0.00	50.67	
80 0000	Sale	03/21/11	11/28/12	5,518.51	5,496.30	0.00	22.21	
				68,179.82	58,673.65	0.00	9,506.17	
Security Subtotal								
VANGUARD REIT ETF								
		CUSIP Number	922908553					
80 0000	Sale	07/17/09	07/13/12	5,325.76	2,423.82	0.00	2,901.94	
80 0000	Sale	07/17/09	07/27/12	5,322.28	2,423.82	0.00	2,898.46	
70 0000	Sale	07/17/09	08/27/12	4,649.30	2,120.85	0.00	2,528.45	
70 0000	Sale	07/17/09	09/24/12	4,614.30	2,109.40	0.00	2,504.90	
66 0000	Sale	07/17/09	10/22/12	4,290.56	1,988.85	0.00	2,301.71	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3 Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
VANGUARD REIT ETF								
4.0000	Sale	03/10/10	10/22/12	260.04	188.12	0.00	71.92	
70.0000	Sale	03/10/10	11/20/12	4,425.30	3,291.80	0.00	1,133.50	
	Security Subtotal			28,887.54	14,546.66	0.00	14,340.88	
VANGUARD MSCI EUROPEAN								
150.0000	Sale	10/27/08	07/13/12	6,317.86	5,329.20	0.00	988.66	
150.0000	Sale	10/27/08	07/27/12	6,453.57	5,329.20	0.00	1,124.37	
140.0000	Sale	10/27/08	08/27/12	6,350.96	4,973.92	0.00	1,377.04	
140.0000	Sale	10/27/08	09/24/12	6,501.31	4,973.92	0.00	1,527.39	
111.0000	Sale	10/27/08	10/22/12	5,189.68	3,943.61	0.00	1,246.07	
29.0000	Sale	10/27/08	10/22/12	1,355.87	1,030.31	0.00	325.56	
140.0000	Sale	10/27/08	11/20/12	6,357.19	4,973.92	0.00	1,383.27	
339.0000	Sale	10/27/08	11/28/12	15,689.65	12,043.99	0.00	3,645.66	
272.0000	Sale	10/27/08	11/28/12	128,294.16	99,287.50	0.00	29,006.66	
262.0000	Sale	02/19/10	11/28/12	12,125.93	11,878.16	0.00	247.77	
583.0000	Sale	05/13/10	11/28/12	26,982.51	25,511.56	0.00	1,470.95	
60.0000	Sale	12/08/10	11/28/12	2,776.93	3,019.09	0.00	(242.16)	
170.0000	Sale	12/15/10	11/28/12	7,867.96	8,681.27	0.00	(813.31)	
120.0000	Sale	12/21/10	11/28/12	5,553.86	5,850.78	0.00 (V)	(296.92)	
450.0000	Sale	01/12/11	11/28/12	20,826.97	22,128.71	0.00	(1,301.74)	
	Security Subtotal			258,644.41	218,955.14	0.00	39,689.27	
VANGUARD MSCI PACIFIC								
100.0000	Sale	10/27/08	07/13/12	4,934.03	3,680.85	0.00	1,253.18	
100.0000	Sale	10/27/08	07/27/12	4,954.93	3,680.85	0.00	1,274.08	
90.0000	Sale	10/27/08	08/27/12	4,593.50	3,312.77	0.00	1,280.73	
28.0000	Sale	10/27/08	09/24/12	1,424.32	1,030.64	0.00	393.68	
62.0000	Sale	10/27/08	09/24/12	3,153.88	2,303.52	0.00	850.36	
90.0000	Sale	10/27/08	10/22/12	4,598.90	3,343.81	0.00	1,255.09	
90.0000	Sale	10/27/08	11/20/12	4,549.27	3,343.82	0.00	1,205.45	
1758.0000	Sale	10/27/08	11/28/12	89,709.43	65,315.85	0.00	24,393.58	
105.0000	Sale	10/27/08	11/28/12	5,358.07	3,877.86	0.00	1,480.21	
183.0000	Sale	10/27/08	11/28/12	9,338.36	6,735.95	0.00	2,602.41	
50.0000	Sale	11/08/10	11/28/12	2,551.46	2,866.80	0.00	(315.34)	
20.0000	Sale	12/09/10	11/28/12	1,020.59	1,142.56	0.00	(121.97)	
770.0000	Sale	12/15/10	11/28/12	39,292.53	44,624.58	0.00	(5,332.05)	
200.0000	Sale	01/12/11	11/28/12	10,205.85	11,566.00	0.00	(1,360.15)	
	Security Subtotal			185,685.12	156,825.86	0.00	28,859.26	



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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
POWERSHARES WATER								
		CUSIP Number	73935X575					
1105 0000	Sale	01/21/09	01/20/12	20,024.76	13,989.52	0.00	6,035.24	
830 0000	Sale	10/12/10	01/20/12	15,041.22	14,239.64	0.00	801.58	
650 0000	Sale	12/15/10	01/20/12	11,779.27	12,580.10	0.00	(800.83)	
110 0000	Sale	01/12/11	01/20/12	1,993.41	2,145.90	0.00	(152.49)	
	Security Subtotal			48,838.66	42,955.16	0.00	5,883.50	
MARKET VECTORS RUSSIA								
		CUSIP Number	57060U506					
140 0000	Sale	09/24/10	04/04/12	4,251.70	4,483.84	0.00	(232.14)	
30 0000	Sale	10/27/08	07/13/12	789.28	366.30	0.00	422.98	
30 0000	Sale	10/27/08	07/27/12	803.68	366.30	0.00	437.38	
30 0000	Sale	10/27/08	08/27/12	835.18	366.30	0.00	468.88	
20 0000	Sale	10/27/08	09/24/12	590.39	244.20	0.00	346.19	
90 0000	Sale	10/27/08	10/04/12	2,601.86	1,098.90	0.00	1,502.96	
400 0000	Sale	10/27/08	10/04/12	11,563.78	4,884.00	0.00	6,679.78	
10 0000	Sale	10/27/08	10/22/12	290.69	122.10	0.00	168.59	
10 0000	Sale	10/27/08	11/20/12	273.49	122.10	0.00	151.39	
	Security Subtotal			22,000.05	12,054.04	0.00	9,946.01	
WISDOMTREE EMERGING MKRT								
		CUSIP Number	97717W315					
90 0000	Sale	03/21/11	07/13/12	4,562.91	5,230.80	0.00	(667.89)	
90 0000	Sale	03/21/11	07/27/12	4,641.56	5,230.80	0.00	(589.24)	
90 0000	Sale	03/21/11	08/27/12	4,795.99	5,230.80	0.00	(434.81)	
80 0000	Sale	03/21/11	09/24/12	4,331.90	4,649.60	0.00	(317.70)	
90 0000	Sale	03/21/11	10/22/12	4,872.49	5,230.80	0.00	(358.31)	
90 0000	Sale	03/21/11	11/20/12	4,683.50	5,230.80	0.00	(547.30)	
1310 0000	Sale	03/21/11	11/28/12	68,682.02	76,137.20	0.00	(7,455.18)	
1570 0000	Sale	06/15/11	11/28/12	82,313.57	95,879.90	0.00	(13,566.33)	
10 0000	Sale	07/22/11	11/28/12	524.29	606.04	0.00	(81.75)	
	Security Subtotal			179,408.23	203,426.74	0.00	(24,018.51)	
SPDR S P CHINA								
		CUSIP Number	78463X400					
30 0000	Sale	06/15/11	07/13/12	1,853.36	2,262.60	0.00	(409.24)	
30 0000	Sale	06/15/11	07/27/12	1,871.96	2,262.60	0.00	(390.64)	
30 0000	Sale	06/15/11	08/27/12	1,880.36	2,262.60	0.00	(382.24)	
30 0000	Sale	06/15/11	09/24/12	1,940.06	2,262.60	0.00	(322.54)	
200 0000	Sale	06/15/11	10/04/12	13,128.55	15,084.00	0.00	(1,955.45)	
20 0000	Sale	06/15/11	10/22/12	1,383.37	1,508.40	0.00	(125.03)	
20 0000	Sale	06/15/11	11/20/12	1,347.77	1,508.40	160.63 (W)	0.00	
	Security Subtotal			23,405.43	27,151.20	160.63	(3,585.14)	



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Transaction Description	1e. Quantity	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
WISDOMTREE INDIA								
40 0000 Sale		06/15/11	97717W422	687.58	922.78	0.00	(235.20)	
40 0000 Sale		07/13/12			922.78	0.00	(262.39)	
40 0000 Sale		07/27/12		660.39		0.00	(262.39)	
40 0000 Sale		06/15/11		677.18	922.78	0.00	(245.60)	
40 0000 Sale		06/15/11		748.38	922.78	0.00	(174.40)	
40 0000 Sale		06/15/11		744.78	922.78	0.00	(178.00)	
40 0000 Sale		06/15/11		708.38	922.78	214.40 (W)	0.00	
Security Subtotal				4,226.69	5,536.68	214.40	(1,095.59)	
ISHARES MSCI BRAZIL FREE								
180 0000 Sale		09/03/09	464286400	11,463.90	10,426.68	0.00	1,037.22	
84 0000 Sale		07/13/10		5,349.82	5,640.38	0.00	(290.56)	
30 0000 Sale		10/27/08		1,537.91	856.49	0.00	681.42	
30 0000 Sale		10/27/08		1,570.46	856.49	0.00	713.97	
30 0000 Sale		10/27/08		1,617.56	856.49	0.00	761.07	
30 0000 Sale		10/27/08		1,670.66	856.49	0.00	814.17	
30 0000 Sale		10/27/08		1,634.06	856.49	0.00	777.57	
30 0000 Sale		10/27/08		1,558.17	856.49	0.00	701.68	
Security Subtotal				26,402.54	21,206.00	0.00	5,196.54	
INVESCO VAN KAMPEN DYNMI								
270 0000 Sale		08/10/11	46132R104	3,311.05	2,926.15	0.00	384.90	
260 0000 Sale		08/10/11		3,287.21	2,817.78	0.00	469.43	
610 0000 Sale		08/12/11		7,781.66	6,704.09	0.00	1,077.57	
6601 0000 Sale		08/10/11		84,967.48	71,539.00	0.00	13,428.48	
1441 0000 Sale		08/11/11		18,548.42	15,490.75	0.00	3,057.67	
41 0000 Sale		08/12/11		527.74	450.60	0.00	77.14	
264 0000 Sale		08/18/11		3,398.19	2,888.77	0.00	509.42	
396 0000 Sale		08/19/11		5,097.29	4,314.70	0.00	782.59	
Security Subtotal				126,919.04	107,131.84	0.00	19,787.20	
VANGUARD GLBL EX-US REAL								
30 0000 Sale		12/20/10	922042676	1,441.17	1,477.07	0.00	(35.90)	
30 0000 Sale		12/20/10		1,475.97	1,477.07	0.00	(1.10)	
30 0000 Sale		12/20/10		1,498.47	1,477.07	0.00	21.40	
30 0000 Sale		12/20/10		1,537.77	1,477.07	0.00	60.70	
30 0000 Sale		12/20/10		1,582.16	1,477.07	0.00	105.09	
30 0000 Sale		12/20/10		1,579.76	1,477.07	0.00	102.69	
Security Subtotal				9,115.30	8,862.42	0.00	252.88	



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1c Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
PIMCO COMM RR STR CL P								
1 0000	Sale	CUSIP Number	72201M842					
479 0000	Sale	03/10/10	07/13/12	6.67	9.55	0.00	(2.88)	
69 0000	Sale	03/10/10	07/13/12	3,199.73	3,942.16	0.00	(742.43)	
1 0000	Sale	03/10/10	07/27/12	470.58	567.88	0.00	(97.30)	
410 0000	Sale	03/11/10	07/27/12	6.81	8.17	0.00	(1.36)	
283 0000	Sale	07/13/10	07/27/12	2,796.21	3,050.40	0.00	(254.19)	
177 0000	Sale	07/13/10	08/27/12	1,958.35	2,105.52	0.00	(147.17)	
181 0000	Sale	07/13/10	08/27/12	1,224.85	1,339.89	0.00	(115.04)	
1 0000	Sale	07/13/10	09/24/12	1,268.80	1,370.17	0.00	(101.37)	
258 0000	Sale	11/08/10	09/24/12	7.01	7.49	0.00	(0.48)	
244 0000	Sale	11/08/10	09/24/12	1,878.59	2,468.28	0.00	(589.59)	
206 0000	Sale	12/09/10	10/22/12	1,693.35	2,247.24	0.00	(553.89)	
460 0000	Sale	12/09/10	10/22/12	1,429.65	1,837.52	0.00	(407.87)	
		12/09/10	11/20/12	3,151.00	4,103.20	0.00	(952.20)	
	Security Subtotal			19,091.70	23,057.47	0.00	(3,965.77)	
DOUBLELINE EMRG MKT FI I								
140 0000	Sale	CUSIP Number	258620509					
140 0000	Sale	04/29/11	07/13/12	1,523.20	1,489.60	0.00	33.60	
140 0000	Sale	04/29/11	07/27/12	1,528.80	1,489.60	0.00	39.20	
140 0000	Sale	04/29/11	08/27/12	1,542.80	1,489.60	0.00	53.20	
130 0000	Sale	04/29/11	09/24/12	1,441.70	1,383.20	0.00	58.50	
130 0000	Sale	04/29/11	10/22/12	1,457.30	1,383.20	0.00	74.10	
140 0000	Sale	04/29/11	11/20/12	1,561.00	1,489.60	0.00	71.40	
	Security Subtotal			9,054.80	8,724.80	0.00	330.00	
DOUBLELINE TOT RTRN BD I								
150 0000	Sale	CUSIP Number	258620103					
140 0000	Sale	10/12/10	07/13/12	1,689.00	1,668.00	0.00	21.00	
140 0000	Sale	10/12/10	07/27/12	1,583.40	1,556.80	0.00	26.60	
140 0000	Sale	10/12/10	08/27/12	1,593.20	1,556.80	0.00	36.40	
140 0000	Sale	10/12/10	09/24/12	1,603.00	1,556.80	0.00	46.20	
810 0000	Sale	10/12/10	10/22/12	9,234.00	9,007.20	0.00	226.80	
830 0000	Sale	10/12/10	11/20/12	9,453.70	9,229.60	0.00	224.10	
	Security Subtotal			25,156.30	24,575.20	0.00	581.10	
BLACKROCK GLOBAL								
320 0000	Sale	CUSIP Number	09256H328					
320 0000	Sale	02/10/11	07/13/12	3,212.80	2,940.80	0.00	272.00	
310 0000	Sale	02/10/11	07/27/12	3,235.20	2,940.80	0.00	294.40	
300 0000	Sale	02/10/11	08/27/12	3,177.50	2,848.90	0.00	328.60	
300 0000	Sale	02/10/11	09/24/12	3,135.00	2,757.00	0.00	378.00	



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1099-B 2012 ANNUAL STATEMENT SUMMARY 2012 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1c Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3 Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
BLACKROCK GLOBAL								
300 0000	Sale	02/10/11	09256H328 10/22/12	3,087.00	2,757.00	0.00	330.00	
310 0000	Sale	02/10/11	11/20/12	3,124.80	2,848.90	0.00	275.90	
	Security Subtotal			18,972.30	17,093.40	0.00	1,878.90	
NEUBERGER BERMAN EQUITY								
260 0000	Sale	09/15/11	641224498 09/24/12	3,104.40	2,883.40	0.00	221.00	
260 0000	Sale	09/15/11	10/22/12	3,099.20	2,883.40	0.00	215.80	
270 0000	Sale	09/15/11	11/20/12	3,123.90	2,994.30	0.00	129.60	
	Security Subtotal			9,327.50	8,761.10	0.00	566.40	

Noncovered Long Term Capital Gains and Losses Subtotal 2,295,840.43 1,969,757.26 2,251.69 328,334.86

NET LONG TERM CAPITAL GAINS AND LOSSES 2,295,840.43 1,969,757.26 2,251.69 328,334.86

TOTAL SALES PROCEEDS FOR CAPITAL GAINS AND LOSSES 3,184,462.30

TOTAL REPORTED SALES PROCEEDS 3,184,462.30

(W) This transaction has been identified as a "Wash Sale" based on IRS regulations. The Wash Sale Loss Disallowed column reflects the deferred loss amount. The cost basis of the related transaction(s) has been adjusted by the deferred loss amount from either the cost basis on purchases or proceeds from short sales. Please refer to the instructions for Form 8949 for how to report the deferred loss amount and applicable adjustment code.

(Y) The gain or loss of this transaction includes an adjustment to basis for the disallowed loss amount on one or more previous "Wash Sales."

2012 REALIZED CAPITAL GAIN AND LOSS SUMMARY

COVERED SHORT TERM GAINS/LOSSES	NONCOVERED SHORT TERM GAINS/LOSSES	COVERED LONG TERM GAINS/LOSSES	NONCOVERED LONG TERM GAINS/LOSSES
(1,536.71)	32,086.26	0.00	328,334.86

DAVE RICKEY & DAUGHTERS

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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
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SHORT TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.

COVERED TRANSACTIONS - 1099-B Line 6b. (cost basis reported to the IRS)

ANDERSONS INC (THE)		CUSIP Number	034164103					
4 0000	Sale	06/07/11	01/05/12	172 00	160 94	0.00	11 06	
29 0000	Sale	06/07/11	01/06/12	1,247.09	1,166.79	0.00	80 30	
16 0000	Sale	06/09/11	01/06/12	688 05	618 88	0.00	69 17	
Security Subtotal				2,107.14	1,946.61	0.00	160.53	
ANGLO AMERN PLC ADR		CUSIP Number	03485P201					
136 0000	Sale	02/09/12	09/13/12	2 082 86	3 077 68	0.00	(994 82)	
79 0000	Sale	03/02/12	09/13/12	1 209 89	1 660 96	0.00	(451 07)	
84 0000	Sale	03/30/12	09/13/12	1 286 48	1 568 28	0.00	(281 80)	
Security Subtotal				4,579.23	6,306.92	0.00	(1,727.69)	
BHP BILLITON LTD ADR		CUSIP Number	088606108					
74 0000	Sale	05/01/12	07/20/12	4 745.64	5 612.96	0.00	(867 32)	
CIA DE MINAS BUENAVE ADR		CUSIP Number	204448104					
71 0000	Sale	01/10/12	02/03/12	3 017 44	2 856 10	0.00	161 34	



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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3 Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
DRYSHIPS INC								
		CUSIP Number	Y2109Q101					
555.0000	Sale	03/07/11	02/03/12	1,326.76	2,769.34	0.00	(1,442.58)	
393.0000	Sale	08/29/11	02/03/12	939.49	1,135.77	0.00	(196.28)	
414.0000	Sale	08/29/11	02/06/12	1,059.73	1,196.46	0.00	(136.73)	
898.0000	Sale	09/01/11	02/06/12	2,298.67	2,738.45	0.00	(439.78)	
	Security Subtotal			5,624.65	7,840.02	0.00	(2,215.37)	
DOW CHEMICAL CO								
		CUSIP Number	260543103					
52.0000	Sale	03/23/11	02/06/12	1,755.13	1,908.92	0.00	(153.79)	
36.0000	Sale	04/20/11	02/06/12	1,215.09	1,387.08	0.00	(171.99)	
43.0000	Sale	04/26/11	02/06/12	1,451.36	1,704.91	0.00	(253.55)	
	Security Subtotal			4,421.58	5,000.91	0.00	(579.33)	
DU PONT E I DE NEMOURS								
		CUSIP Number	263534109					
15.0000	Sale	02/16/11	02/14/12	749.33	822.00	0.00	(72.67)	
ENSCO PLC SHS CL A								
		CUSIP Number	G31575106					
103.0000	Sale	03/19/12	08/02/12	5,586.58	5,857.95	0.00	(271.37)	
GOLAR LNG LIMITED								
		CUSIP Number	G9456A100					
62.0000	Sale	08/29/12	11/09/12	2,479.94	2,514.06	0.00	(34.12)	
7.0000	Sale	09/21/12	11/09/12	280.00	274.89	0.00	5.11	
	Security Subtotal			2,759.94	2,788.95	0.00	(29.01)	
GENERAL MARITIME CORP								
		CUSIP Number	Y2693R101					
828.0000	Sale	06/03/11	01/13/12	14.26	1,457.28	0.00	(1,443.02)	
HALLIBURTON COMPANY								
		CUSIP Number	406216101					
48.0000	Sale	02/22/12	04/16/12	1,532.13	1,828.77	0.00	(296.64)	
112.0000	Sale	02/22/12	04/17/12	3,670.18	4,267.12	0.00	(596.94)	
59.0000	Sale	03/09/12	04/17/12	1,933.41	2,073.89	0.00	(140.48)	
115.0000	Sale	03/09/12	04/20/12	3,910.36	4,042.33	0.00	(131.97)	
78.0000	Sale	03/13/12	04/20/12	2,652.26	2,738.58	0.00	(86.32)	
	Security Subtotal			13,698.34	14,950.69	0.00	(1,252.35)	
HUNTSMAN CORP								
		CUSIP Number	447011107					
103.0000	Sale	02/02/12	09/14/12	1,678.86	1,380.19	0.00	298.67	
88.0000	Sale	02/02/12	11/19/12	1,466.94	1,179.19	0.00	287.75	
	Security Subtotal			3,145.80	2,559.38	0.00	586.42	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
NEWPARK RES INC \$0.01 NEW								
181 0000	Sale	02/17/12	05/01/12	1,153.17	1,516.42	0.00	(363.25)	
222 0000	Sale	02/21/12	05/01/12	1,414.40	1,725.32	0.00	(310.92)	
	Security Subtotal			2,567.57	3,241.74	0.00	(674.17)	
NABORS INDUSTRIES LTD								
103 0000	Sale	02/15/12	10/08/12	1,448.03	1,956.77	0.00	(508.74)	
NEWMONT MINING CORP								
75 0000	Sale	09/06/12	12/04/12	3,381.67	3,789.75	0.00	(408.08)	
44 0000	Sale	09/19/12	12/04/12	1,983.92	2,518.53	0.00	(534.61)	
	Security Subtotal			5,365.59	6,308.28	0.00	(942.69)	
NUCOR CORPORATION								
83 0000	Sale	04/20/12	06/01/12	2,977.18	3,286.62	0.00	(309.44)	
PLAINS EXPL AND PRODCTN								
37 0000	Sale	04/17/12	12/05/12	1,668.26	1,517.00	0.00	151.26	
97 0000	Sale	04/18/12	12/05/12	4,373.58	3,970.57	0.00	403.01	
	Security Subtotal			6,041.84	5,487.57	0.00	554.27	
PATRIOT COAL CORP								
80 0000	Sale	06/02/11	05/22/12	121.43	1,800.68	0.00	(1,679.25)	
PACIFIC RUBIALES ENERGY								
136 0000	Sale	05/25/11	02/10/12	3,525.70	3,581.41	0.00	(55.71)	
58 0000	Sale	09/01/11	02/10/12	1,503.61	1,443.02	0.00	60.59	
116 0000	Sale	09/01/11	03/05/12	3,553.55	2,886.03	0.00	667.52	
68 0000	Sale	09/01/11	03/05/12	2,080.89	1,691.81	0.00	389.08	
48 0000	Sale	12/07/11	03/05/12	1,468.87	939.19	0.00	529.68	
	Security Subtotal			12,132.62	10,541.46	0.00	1,591.16	
RIO TINTO PLC SPNSRD ADR								
45 0000	Sale	05/01/12	07/27/12	2,044.75	2,563.68	0.00	(518.93)	
53 0000	Sale	05/01/12	08/01/12	2,496.91	3,019.44	0.00	(522.53)	
	Security Subtotal			4,541.66	5,583.12	0.00	(1,041.46)	



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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
ROWAN COMPANIES PLC								
67 0000	Sale	02/01/12	08/16/12	2,412.14	2,326.71	0.00	85.43	
106 0000	Sale	02/01/12	09/10/12	3,881.57	3,681.06	0.00	200.51	
36 0000	Sale	03/01/12	09/10/12	1,318.28	1,322.28	0.00	(4.00)	
Security Subtotal				7,611.99	7,330.05	0.00	281.94	
SCHLUMBERGER LTD								
31 0000	Sale	01/05/12	09/06/12	2,273.20	2,115.75	0.00	157.45	
MECHEL OAO ADR								
17 0000	Sale	07/07/11	03/08/12	172.92	417.86	0.00	(244.94)	
30 0000	Sale	08/24/11	03/08/12	305.17	532.80	0.00	(227.63)	
54 0000	Sale	09/15/11	03/08/12	549.30	860.85	0.00	(311.55)	
64 0000	Sale	12/07/11	03/08/12	651.04	648.96	0.00	2.08	
Security Subtotal				1,678.43	2,460.47	0.00	(782.04)	
TESORO CORP								
134 0000	Sale	10/10/12	08/16/12	5,351.93	5,159.00	0.00	192.93	
THE MOSAIC COMPANY								
14 0000	Sale	06/06/11	06/05/12	652.59	965.99	0.00	(313.40)	
ULTRA PETROLEUM CORP								
60 0000	Sale	01/11/12	06/15/12	1,201.86	1,623.00	0.00	(421.14)	
71 0000	Sale	02/06/12	06/15/12	1,422.20	1,739.36	0.00	(317.16)	
45 0000	Sale	02/14/12	06/15/12	901.41	1,112.40	0.00	(210.99)	
Security Subtotal				3,525.47	4,474.76	0.00	(949.29)	
UNITED STS STL CORP NEW								
114 0000	Sale	04/20/12	06/01/12	2,233.22	3,295.06	0.00	(1,061.84)	
VALE SA								
69 0000	Sale	03/17/11	03/07/12	1,583.37	2,194.20	0.00	(610.83)	
42 0000	Sale	03/21/11	03/07/12	963.79	1,367.10	0.00	(403.31)	
27 0000	Sale	04/11/11	03/07/12	619.58	925.29	0.00	(305.71)	
Security Subtotal				3,166.74	4,486.59	0.00	(1,319.85)	



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1099-B

1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
<i>WEATHERFORD INTL LTD</i>								
382 0000	Sale	01/03/12	02/22/12	6,017.41	5,690.04	0.00	327.37	
342 0000	Sale	01/03/12	02/22/12	5,387.33	5,142.14	0.00	245.19	
	<i>Security Subtotal</i>			11,404.74	10,832.18	0.00	572.56	
<i>XSTRATA PLC-ADR</i>								
460 0000	Sale	02/08/12	11/30/12	1,502.98	1,752.60	0.00	(249.62)	
<i>YPF SOCIEDAD ANON SPN</i>								
147 0000	Sale	01/26/12	02/01/12	5,101.46	6,061.62	0.00	(960.16)	
<i>YANZHOU COAL MNG SPD ADR</i>								
48 0000	Sale	09/15/11	09/11/12	670.59	1,249.44	0.00	(578.85)	
Covered Short Term Capital Gains and Losses Subtotal				130,819.19	146,389.52	0.00	(15,570.33)	
NET SHORT TERM CAPITAL GAINS AND LOSSES				130,819.19	146,389.52	0.00	(15,570.33)	

LONG TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.

COVERED TRANSACTIONS - 1099-B Line 6b. (cost basis reported to the IRS)

<i>ASHLAND INC NEW</i>								
37 0000	Sale	01/03/11	05/01/12	2,468.35	1,954.11	0.00	514.24	
32 0000	Sale	01/03/11	05/09/12	2,122.72	1,690.05	0.00	432.67	
4 0000	Sale	01/05/11	05/09/12	265.35	211.33	0.00	54.02	
65 0000	Sale	01/05/11	10/10/12	4,537.34	3,434.04	0.00	1,103.30	
55 0000	Sale	01/10/11	10/10/12	3,839.29	2,983.48	0.00	855.81	
	<i>Security Subtotal</i>			13,233.05	10,273.01	0.00	2,960.04	
<i>CELANESE CORP DEL SER A</i>								
75 0000	Sale	01/10/11	05/01/12	3,640.28	3,184.57	0.00	455.71	
10 0000	Sale	01/10/11	07/03/12	343.99	424.61	0.00	(80.62)	
62 0000	Sale	01/14/11	07/03/12	2,132.75	2,691.41	0.00	(558.66)	
	<i>Security Subtotal</i>			6,117.02	6,300.59	0.00	(183.57)	
<i>CAMERON INTL CORP</i>				1,551.12	1,452.33	0.00	98.79	
27 0000	Sale	02/01/11	12/19/12					



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
	DOW CHEMICAL CO	CUSIP Number	260543103					
66 0000	Sale	01/10/11	02/03/12	2,252.54	2,333.54	0.00	(81.00)	
32 0000	Sale	01/10/11	02/06/12	1,080.07	1,131.42	0.00	(51.35)	
	Security Subtotal			3,332.61	3,464.96	0.00	(132.35)	
	DU PONT E I DE NEMOURS	CUSIP Number	263534109					
54 0000	Sale	01/14/11	02/14/12	2,697.57	2,690.82	0.00	6.75	
	FREEMPT-MCMRAN CPR & GLD	CUSIP Number	35671D857					
18 0000	Sale	05/25/11	12/17/12	606.77	898.92	0.00	(292.15)	
	GREAT BASIN GOLD LTD	CUSIP Number	390124105					
108 0000	Sale	01/27/11	09/05/12	27.04	291.44	0.00	(264.40)	
1321 0000	Sale	01/27/11	09/13/12	114.13	3,564.72	0.00	(3,450.59)	
1352 0000	Sale	02/04/11	09/13/12	116.81	3,677.44	0.00	(3,560.63)	
226 0000	Sale	03/04/11	09/13/12	19.52	594.38	0.00	(574.86)	
1318 0000	Sale	04/06/11	09/13/12	113.87	3,641.11	0.00	(3,527.24)	
522 0000	Sale	04/13/11	09/13/12	45.10	1,327.19	0.00	(1,282.09)	
203 0000	Sale	05/27/11	09/13/12	17.55	389.76	0.00	(372.21)	
	Security Subtotal			454.02	13,486.04	0.00	(13,032.02)	
	MCDERMOTT INTL INC	CUSIP Number	580037109					
95 0000	Sale	01/04/11	09/27/12	1,165.43	1,909.50	0.00	(744.07)	
43 0000	Sale	02/23/11	09/27/12	527.52	946.00	0.00	(418.48)	
	Security Subtotal			1,692.95	2,855.50	0.00	(1,162.55)	
	NABORS INDUSTRIES LTD	CUSIP Number	G6359F103					
400 0000	Sale	08/12/11	10/08/12	5,623.39	7,673.80	0.00	(2,050.41)	
288 0000	Sale	09/08/11	10/08/12	4,048.84	5,216.49	0.00	(1,167.65)	
	Security Subtotal			9,672.23	12,890.29	0.00	(3,218.06)	
	PATRIOT COAL CORP	CUSIP Number	70336T104					
190 0000	Sale	02/03/11	05/22/12	288.37	4,944.97	0.00	(4,656.60)	
306 0000	Sale	02/04/11	05/22/12	464.43	7,764.29	0.00	(7,299.86)	
113 0000	Sale	05/18/11	05/22/12	171.51	2,528.43	0.00	(2,356.92)	
	Security Subtotal			924.31	15,237.69	0.00	(14,313.38)	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
ROWAN COMPANIES INC								
173 0000	Sale	02/01/12	05/04/12	5,887.19	5,887.19	0.00	0.00	
36 0000	Sale	03/01/12	05/04/12	1,225.08	1,225.08	0.00	0.00	
	Security Subtotal			7,112.27	7,112.27	0.00	0.00	
SCHLUMBERGER LTD								
33 0000	Sale	03/01/11	06/06/12	2,126.81	3,118.41	0.00	(991.60)	
11 0000	Sale	03/01/11	07/30/12	795.72	1,039.47	0.00	(243.75)	
18 0000	Sale	03/01/11	08/20/12	1,339.30	1,700.96	0.00	(361.66)	
15 0000	Sale	03/14/11	08/20/12	1,116.10	1,262.55	0.00	(146.45)	
1 0000	Sale	03/14/11	08/21/12	74.70	84.17	0.00	(9.47)	
21 0000	Sale	04/20/11	08/21/12	1,568.87	1,838.66	0.00	(269.79)	
11 0000	Sale	06/21/11	08/21/12	821.80	923.56	0.00	(101.76)	
4 0000	Sale	06/21/11	09/06/12	293.31	335.84	0.00	(42.53)	
	Security Subtotal			8,136.61	10,303.62	0.00	(2,167.01)	
YANZHOU COAL MNG SPD ADR								
47 0000	Sale	02/16/11	08/21/12	720.01	1,418.46	0.00	(698.45)	
22 0000	Sale	03/04/11	08/21/12	337.04	686.41	0.00	(349.37)	
84 0000	Sale	03/04/11	09/11/12	1,173.52	2,620.85	0.00	(1,447.33)	
	Security Subtotal			2,230.57	4,725.72	0.00	(2,495.15)	
Covered Long Term Capital Gains and Losses Subtotal				57,761.10	91,691.76	0.00	(33,930.66)	

NONCOVERED TRANSACTIONS - 1099-B Line 6a. (cost basis not reported to the IRS)

ALBEMARLE CORP COM								
31 0000	Sale	12/20/10	05/01/12	2,062.31	1,753.01	0.00	309.30	
AGRIUM INC								
48 0000	Sale	08/02/07	02/15/12	3,860.64	1,994.23	0.00	1,866.41	
2 0000	Sale	09/25/07	02/15/12	160.86	106.58	0.00	54.28	
11 0000	Sale	11/04/08	02/15/12	884.74	444.73	0.00	440.01	
13 0000	Sale	11/04/08	05/01/12	1,150.54	525.59	0.00	624.95	
6 0000	Sale	11/18/08	05/01/12	531.02	191.58	0.00	339.44	
2 0000	Sale	05/28/09	05/01/12	177.01	101.18	0.00	75.83	



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1e. Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
AGRIUM INC								
25.0000	Sale	05/28/09	008916108	2,061.85	1,264.77	0.00	797.08	
8.0000	Sale	02/16/10	05/09/12	659.80	525.04	0.00	134.76	
	Security Subtotal			9,486.46	5,153.70	0.00	4,332.76	
ANDERSONS INC (THE)								
38.0000	Sale	11/08/10	034164103	1,633.96	1,380.92	0.00	253.04	
44.0000	Sale	11/11/10	01/05/12	1,891.97	1,513.46	0.00	378.51	
	Security Subtotal			3,525.93	2,894.38	0.00	631.55	
APACHE CORP								
4.0000	Sale	10/13/09	037411105	342.06	390.04	0.00	(47.98)	
3.0000	Sale	04/14/10	10/15/12	256.55	322.46	0.00	(65.91)	
25.0000	Sale	09/14/10	10/15/12	2,137.92	2,386.75	0.00	(248.83)	
	Security Subtotal			2,736.53	3,099.25	0.00	(362.72)	
COSAN LTD								
161.0000	Sale	09/30/09	G25343107	2,347.89	1,263.64	0.00	1,084.25	
6.0000	Sale	10/27/09	02/24/12	87.50	43.80	0.00	43.70	
108.0000	Sale	10/27/09	02/29/12	1,620.87	788.31	0.00	832.56	
92.0000	Sale	10/27/09	03/08/12	1,321.79	671.53	0.00	650.26	
94.0000	Sale	10/27/09	03/09/12	1,339.47	686.12	0.00	653.35	
147.0000	Sale	10/29/09	03/09/12	2,094.72	1,027.34	0.00	1,067.38	
94.0000	Sale	10/29/09	03/13/12	1,372.43	656.94	0.00	715.49	
114.0000	Sale	12/16/09	03/13/12	1,664.44	927.55	0.00	736.89	
4.0000	Sale	12/16/09	03/15/12	59.64	32.55	0.00	27.09	
98.0000	Sale	01/28/10	03/15/12	1,461.18	791.90	0.00	669.28	
97.0000	Sale	05/26/10	03/15/12	1,446.28	809.95	0.00	636.33	
	Security Subtotal			14,816.21	7,699.63	0.00	7,116.58	
DRYSHIPS INC								
353.0000	Sale	12/22/09	Y2109Q101	783.78	2,089.76	0.00	(1,305.98)	
10.0000	Sale	12/29/09	01/25/12	22.20	59.38	0.00	(37.18)	
245.0000	Sale	12/29/09	01/25/12	543.99	1,454.69	0.00	(910.70)	
118.0000	Sale	01/05/10	01/25/12	262.01	759.57	0.00	(497.56)	
97.0000	Sale	01/05/10	01/26/12	215.41	624.39	0.00	(408.98)	
251.0000	Sale	01/06/10	01/26/12	557.40	1,603.89	0.00	(1,046.49)	
410.0000	Sale	02/22/10	01/26/12	910.51	2,332.90	0.00	(1,422.39)	
331.0000	Sale	03/26/10	01/26/12	735.08	1,896.63	0.00	(1,161.55)	
474.0000	Sale	03/26/10	02/03/12	1,057.05	2,716.02	0.00	(1,658.97)	



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1e. Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
DRYSHIPS INC								
88 0000	Sale	CUSIP Number 06/08/10	Y2109Q101 02/03/12	196.25	346.19	0.00	(149.94)	
519.0000	Sale	06/08/10	02/03/12	1,240.69	2,041.75	0.00	(801.06)	
	Security Subtotal			6,524.37	15,925.17	0.00	(9,400.80)	
DOW CHEMICAL CO								
87 0000	Sale	CUSIP Number 11/08/10	260543103 01/19/12	2,877.49	2,806.62	0.00	70.87	
14 0000	Sale	11/08/10	02/02/12	470.11	451.64	0.00	18.47	
51 0000	Sale	12/20/10	02/02/12	1,712.54	1,739.00	0.00	(26.46)	
31 0000	Sale	12/22/10	02/02/12	1,040.97	1,058.87	0.00	(17.90)	
23 0000	Sale	12/22/10	02/03/12	784.97	785.62	0.00	(0.65)	
	Security Subtotal			6,886.08	6,841.75	0.00	44.33	
DU PONT E I DE NEMOURS								
68 0000	Sale	CUSIP Number 10/29/10	263534109 02/13/12	3,469.29	3,196.68	0.00	272.61	
62 0000	Sale	10/29/10	02/14/12	3,097.21	2,914.62	0.00	182.59	
8 0000	Sale	11/11/10	02/14/12	399.64	377.20	0.00	22.44	
69 0000	Sale	12/16/10	02/14/12	3,446.90	3,402.39	0.00	44.51	
	Security Subtotal			10,413.04	9,890.89	0.00	522.15	
FREEMPT-MCMRAN CPR & GLD								
118 0000	Sale	CUSIP Number 07/26/10	35671D857 12/05/12	3,890.37	4,215.26	0.00	(324.89)	
32 0000	Sale	07/26/10	12/17/12	1,078.69	1,143.12	0.00	(64.43)	
28 0000	Sale	09/14/10	12/17/12	943.86	1,140.58	0.00	(196.72)	
	Security Subtotal			5,912.92	6,498.96	0.00	(586.04)	
FOSTER WHEELER AG								
91 0000	Sale	CUSIP Number 12/08/10	H27178104 08/29/12	1,964.07	2,820.09	0.00	(856.02)	
GREAT BASIN GOLD LTD								
1396 0000	Sale	CUSIP Number 10/13/09	390124105 08/16/12	349.41	2,317.64	0.00	(1,968.23)	
12 0000	Sale	10/13/09	09/05/12	3.00	19.92	0.00	(16.92)	
1085 0000	Sale	10/30/09	09/05/12	271.57	1,562.40	0.00	(1,290.83)	
849 0000	Sale	11/24/09	09/05/12	212.50	1,313.15	0.00	(1,100.65)	
232 0000	Sale	12/22/09	09/05/12	58.06	382.80	0.00	(324.74)	
707 0000	Sale	06/14/10	09/05/12	176.96	1,237.25	0.00	(1,060.29)	
	Security Subtotal			1,071.50	6,833.16	0.00	(5,761.66)	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a Amount	3 Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
GENERAL MARITIME CORP								
		CUSIP Number	Y2693R101					
412 0000	Sale	04/01/10	01/13/12	7 08	3,005 79	0.00	(2,998 71)	
375 0000	Sale	04/12/10	01/13/12	6 44	2,945 29	0.00	(2,938 85)	
327 0000	Sale	06/15/10	01/13/12	5 62	2,428 63	0.00	(2,423 01)	
238 0000	Sale	06/21/10	01/13/12	4 09	1,658 86	0.00	(1,654 77)	
345 0000	Sale	07/14/10	01/13/12	5 93	2,069 93	0.00	(2,064 00)	
262 0000	Sale	09/27/10	01/13/12	4 50	1,179 86	0.00	(1,175 36)	
241 0000	Sale	09/30/10	01/13/12	4 14	1,144 75	0.00	(1,140 61)	
652 0000	Sale	10/13/10	01/13/12	11 22	2,868 80	0.00	(2,857 58)	
394 0000	Sale	12/17/10	01/13/12	6 78	1,240 47	0.00	(1,233 69)	
	Security Subtotal			55 80	18,542.38	0.00	(18,486.58)	
HESS CORP								
		CUSIP Number	42809H107					
53 0000	Sale	12/16/08	01/26/12	3,008 78	2,621 20	0.00	387 58	
25 0000	Sale	12/31/08	01/26/12	1,419 24	1,374 84	0.00	44 40	
33 0000	Sale	12/31/08	02/06/12	1,971 48	1,814 80	0.00	156 68	
4 0000	Sale	03/11/09	02/06/12	238 96	232 95	0.00	6 01	
8 0000	Sale	04/14/09	02/06/12	477 93	462 48	0.00	15 45	
10 0000	Sale	05/01/09	02/06/12	597 42	557 94	0.00	39 48	
15 0000	Sale	05/14/09	02/06/12	896 13	876 81	0.00	19 32	
36 0000	Sale	10/13/10	02/06/12	2,150 74	2,283 48	0.00	(132 74)	
	Security Subtotal			10,760.68	10,224.50	0.00	536.18	
LYONDELLBASELL INDUSTRIE								
		CUSIP Number	N53745100					
64 0000	Sale	11/08/10	07/30/12	2,846 66	1,801 59	0.00	1,045 07	
51 0000	Sale	11/08/10	09/13/12	2,575 94	1,430 28	0.00	1,145 66	
7 0000	Sale	11/18/10	09/13/12	353 57	193 39	0.00	160 18	
	Security Subtotal			5,776.17	3,425.26	0.00	2,350.91	
MCDERMOTT INTL INC								
		CUSIP Number	580037109					
33 0000	Sale	11/24/10	02/17/12	452 21	605 42	0.00	(153 21)	
74 0000	Sale	12/08/10	02/17/12	1,014 06	1,435 51	0.00	(421 45)	
101 0000	Sale	12/08/10	09/27/12	1,239 03	1,959 28	0.00	(720 25)	
	Security Subtotal			2,705.30	4,000.21	0.00	(1,294.91)	
NATIONAL-OILWELL VARCO								
		CUSIP Number	637071101					
2 0000	Sale	11/04/08	08/09/12	153 43	64 18	0.00	89 25	
13 0000	Sale	11/21/08	08/09/12	997 35	244 41	0.00	752 94	
	Security Subtotal			1,150.78	308.59	0.00	842.19	



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DAVE RICKEY & DAUGHTERS

1099-B **2012 ANNUAL STATEMENT SUMMARY**
2012 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
NOBLE CORP NAMEN-AKT								
136 0000	Sale	CUSIP Number 12/13/10	H5833N103 12/19/12	4,896.07	4,784.82	0.00	111.25	
OCCIDENTAL PETE CORP CAL								
3 0000	Sale	CUSIP Number 05/20/09	674599105 06/05/12	242.51	195.06	0.00	47.45	
34 0000	Sale	CUSIP Number 12/16/09	674599105 06/05/12	2,748.52	2,720.81	0.00	27.71	
17 0000	Sale	CUSIP Number 02/01/10	674599105 06/05/12	1,374.27	1,357.44	0.00	16.83	
17 0000	Sale	CUSIP Number 02/01/10	674599105 10/15/12	1,392.44	1,357.43	0.00	35.01	
11 0000	Sale	CUSIP Number 04/01/10	674599105 10/15/12	900.99	947.25	0.00	(46.26)	
6 0000	Sale	CUSIP Number 11/10/10	674599105 10/15/12	491.45	500.94	0.00	(9.49)	
Security Subtotal				7,150.18	7,078.93	0.00	71.25	
QUADRA FMX MINING LTD								
165 0000	Sale	CUSIP Number 10/18/10	74733X106 02/17/12	2,465.05	2,521.20	0.00	(56.15)	
209 0000	Sale	CUSIP Number 11/18/10	74733X106 02/17/12	3,122.41	3,022.14	0.00	100.27	
Security Subtotal				5,587.46	5,543.34	0.00	44.12	
SCHLUMBERGER LTD								
41 0000	Sale	CUSIP Number 08/04/10	806857108 02/23/12	3,247.96	2,597.31	0.00	650.65	
1 0000	Sale	CUSIP Number 08/27/10	806857108 02/23/12	79.22	55.23	0.00	23.99	
44 0000	Sale	CUSIP Number 08/27/10	806857108 03/14/12	3,254.51	2,430.29	0.00	824.22	
45 0000	Sale	CUSIP Number 08/27/10	806857108 05/18/12	2,949.17	2,485.52	0.00	463.65	
14 0000	Sale	CUSIP Number 08/30/10	806857108 05/18/12	917.52	776.16	0.00	141.36	
4 0000	Sale	CUSIP Number 10/21/10	806857108 05/18/12	262.14	257.80	0.00	4.34	
26 0000	Sale	CUSIP Number 11/09/10	806857108 05/18/12	1,703.98	1,971.52	0.00	(267.54)	
19 0000	Sale	CUSIP Number 11/09/10	806857108 06/05/12	1,175.90	1,440.73	0.00	(264.83)	
13 0000	Sale	CUSIP Number 11/12/10	806857108 06/05/12	804.57	956.53	0.00	(151.96)	
5 0000	Sale	CUSIP Number 11/12/10	806857108 06/06/12	322.24	367.89	0.00	(45.65)	
Security Subtotal				14,717.21	13,338.98	0.00	1,378.23	
MECHEL OAO ADR								
104 0000	Sale	CUSIP Number 07/08/10	583840103 03/08/12	1,057.91	1,964.56	0.00	(906.65)	
19 0000	Sale	CUSIP Number 09/08/10	583840103 03/08/12	193.27	463.02	0.00	(269.75)	
51 0000	Sale	CUSIP Number 09/29/10	583840103 03/08/12	518.78	1,231.73	0.00	(712.95)	
110 0000	Sale	CUSIP Number 10/21/10	583840103 03/08/12	1,118.94	2,546.43	0.00	(1,427.49)	
Security Subtotal				2,888.90	6,205.74	0.00	(3,316.84)	



Merrill Lynch
Bank of America Corporation

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DAVE RICKEY & DAUGHTERS

2012 ANNUAL STATEMENT SUMMARY
2012 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3 Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
THE MOSAIC COMPANY								
		CUSIP Number	61945C103					
28 0000	Sale	04/06/10	06/05/12	1,305.16	1,626.09	0.00	(320.93)	
26 0000	Sale	07/23/10	06/05/12	1,211.94	1,212.38	0.00	(0.44)	
45 0000	Sale	11/15/10	06/05/12	2,097.59	3,020.85	0.00	(923.26)	
51 0000	Sale	11/18/10	06/05/12	2,377.28	3,508.80	0.00	(1,131.52)	
	Security Subtotal			6,991.97	9,368.12	0.00	(2,376.15)	
ULTRA PETROLEUM CORP								
		CUSIP Number	903914109					
121 0000	Sale	06/30/09	06/13/12	2,238.37	4,718.85	0.00	(2,480.48)	
35 0000	Sale	10/19/09	06/13/12	647.47	1,949.50	0.00	(1,302.03)	
13 0000	Sale	12/15/09	06/13/12	240.49	628.33	0.00	(387.84)	
20 0000	Sale	12/15/09	06/15/12	400.61	966.66	0.00	(566.05)	
22 0000	Sale	06/10/10	06/15/12	440.68	1,058.64	0.00	(617.96)	
38 0000	Sale	09/10/10	06/15/12	761.17	1,508.60	0.00	(747.43)	
	Security Subtotal			4,728.79	10,830.58	0.00	(6,101.79)	
VALE SA								
		CUSIP Number	91912E105					
187 0000	Sale	08/19/10	03/07/12	4,291.14	5,437.36	0.00	(1,146.22)	
52 0000	Sale	08/23/10	03/07/12	1,193.25	1,435.72	0.00	(242.47)	
65 0000	Sale	11/18/10	03/07/12	1,491.57	2,087.15	0.00	(595.58)	
	Security Subtotal			6,975.96	8,960.23	0.00	(1,984.27)	
XSTRATA PLC-ADR								
		CUSIP Number	98418K105					
396 0000	Sale	07/16/10	09/20/12	1,325.78	1,104.84	0.00	220.94	
934 0000	Sale	07/16/10	11/30/12	3,051.68	2,605.86	0.00	445.82	
279 0000	Sale	08/09/10	11/30/12	911.58	965.34	0.00	(53.76)	
459 0000	Sale	08/10/10	11/30/12	1,499.70	1,505.52	0.00	(5.82)	
815 0000	Sale	08/18/10	11/30/12	2,662.87	2,726.91	0.00	(64.04)	
297 0000	Sale	08/20/10	11/30/12	970.40	941.49	0.00	28.91	
	Security Subtotal			10,422.01	9,849.96	0.00	572.05	
YANZHOU COAL MNG SPD ADR								
		CUSIP Number	984846105					
2 0000	Sale	07/28/10	08/09/12	34.45	43.50	0.00	(9.05)	
40 0000	Sale	08/16/10	08/09/12	689.00	845.98	0.00	(156.98)	
49 0000	Sale	11/17/10	08/09/12	844.03	1,369.68	0.00	(525.65)	
41 0000	Sale	11/23/10	08/09/12	706.24	1,133.23	0.00	(426.99)	
91 0000	Sale	11/23/10	08/21/12	1,394.07	2,515.22	0.00	(1,121.15)	
	Security Subtotal			3,667.79	5,907.61	0.00	(2,239.82)	



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DAVE RICKEY & DAUGHTERS

2012 ANNUAL STATEMENT SUMMARY
2012 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
Noncovered Long Term Capital Gains and Losses Subtotal								
				153,874.49	187,779.24	0.00	(33,904.75)	
NET LONG TERM CAPITAL GAINS AND LOSSES								
				211,635.59	279,471.00	0.00	(67,835.41)	
TOTAL SALES PROCEEDS FOR CAPITAL GAINS AND LOSSES								
				342,454.78				
TOTAL REPORTED SALES PROCEEDS								
				342,454.78				

2012 REALIZED CAPITAL GAIN AND LOSS SUMMARY

COVERED SHORT TERM GAINS/LOSSES	NONCOVERED SHORT TERM GAINS/LOSSES	COVERED LONG TERM GAINS/LOSSES	NONCOVERED LONG TERM GAINS/LOSSES
(15,570.33)	0.00	(33,930.66)	(33,904.75)

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	AMOUNT
FROM ENERGY TRANSFER EQUITY, L.P	51.
FROM ENERGY TRANSFER PARTNERS K-1	363.
FROM ENTERPRISE PRODUCTS PARTNERS K-1	10.
FROM FRANCISCO PARTNERS III CAYMAN, L.P.	25.
FROM KINDER MORGAN ENERGY PARTNERS K-1	218.
FROM NUSTAR ENERGY K-1	4.
FROM ONEOK PARTNERS K-1	2.
FROM PLAINS ALL AMERICAN PIPELINE K-1	7.
MERRILL LYNCH (6YJ-04323)	343.
MERRILL LYNCH (6YJ-04324)	266.
MERRILL LYNCH (6YJ-04324) EXMT. INT. DIV.	3,278.
MERRILL LYNCH (6YJ-04327)	14.
MERRILL LYNCH (6YJ-04328)	2.
MERRILL LYNCH (6YJ-04330)	108.
MERRILL LYNCH (6YJ-04333)	11.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	4,702.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
FROM ENERGY TRANSFER EQUITY, L.P	393.	0.	393.
FROM ENERGY TRANSFER PARTNERS K-1	866.	0.	866.
FROM ENTERPRISE PRODUCTS	3.	0.	3.
FROM KINDER MORGAN ENERGY PARTNERS K-1	114.	0.	114.
FROM NUSTAR ENERGY K-1	1.	0.	1.
FROM PLAINS ALL AMERICAN PIPELINE K-1	18.	0.	18.
MERRILL LYNCH (6YJ-04323)	5,810.	0.	5,810.
MERRILL LYNCH (6YJ-04324)	167,929.	1,112.	166,817.
MERRILL LYNCH (6YJ-04327)	8,458.	0.	8,458.
MERRILL LYNCH (6YJ-04330)	101,678.	83.	101,595.
TOTAL TO FM 990-PF, PART I, LN 4	285,270.	1,195.	284,075.

FORM 990-PF

OTHER INCOME

STATEMENT

3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
PROCEEDS FROM LITIGATION	303.	303.	
FROM ONEOK PARTNERS K-1	<2,005.>	<2,005.>	
FROM ENERGY TRANSFER PARTNERS K-1	<6,301.>	<6,301.>	
FROM KINDER MORGAN ENERGY PARTNERS K-1	<5,763.>	<5,763.>	
FROM ENTERPRISE PRODUCTS PARTNERS K-1	<4,015.>	<4,015.>	
FROM ML SYSTEMATIC MOMENTUM K-1	<79,157.>	<79,157.>	
FROM PLAINS ALL AMERICAN PIPELINE K-1	<913.>	<913.>	
FROM NUSTAR ENERGY K-1	<198.>	<198.>	
FROM NUSTAR ENERGY K-1	4,723.	4,723.	
FROM IVP CIPHEROPTICS, LLC K-1	<29.>	<29.>	
FROM IVP EASIC, LLC	<32.>	<32.>	
FROM FRANCISCO III CAYMAN	728.	728.	
FROM FRANCISCO III, L.P	<44.>	<44.>	
FROM INTUITIVE BENECHHILL, LLC	<28.>	<28.>	
FROM IVP CALIENT, LLC	<9.>	<9.>	
FROM INTUITIVE VIOLIN, LLC	<21.>	<21.>	
FROM INTUITIVE CALIENT II, LLC	<10.>	<10.>	
FROM FRANCISCO PARTNERS III (DOMESTIC AIV), LP	731.	731.	
FROM ENERGY TRANSFER EQUITY, L.P	<1,985.>	<1,985.>	
FROM INTUITIVE QUANTIAMD, LLC.	<6.>	<6.>	
TOTAL TO FORM 990-PF, PART I, LINE 11	<94,031.>	<94,031.>	

FORM 990-PF

LEGAL FEES

STATEMENT

4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEES	9,068.	0.		9,068.
TO FM 990-PF, PG 1, LN 16A	9,068.	0.		9,068.

FORM 990-PF	ACCOUNTING FEES	STATEMENT	5
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	16,200.	12,150.		4,050.
TO FORM 990-PF, PG 1, LN 16B	16,200.	12,150.		4,050.

FORM 990-PF	OTHER PROFESSIONAL FEES	STATEMENT	6
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT FEES	121,070.	121,070.		0.
TO FORM 990-PF, PG 1, LN 16C	121,070.	121,070.		0.

FORM 990-PF	TAXES	STATEMENT	7
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FRANCHISE TAX	85.	0.		85.
FOREIGN TAX PAID	9,155.	0.		9,155.
TO FORM 990-PF, PG 1, LN 18	9,240.	0.		9,240.

FORM 990-PF	OTHER EXPENSES	STATEMENT	8
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
MISCELLANEOUS	91.	0.		91.
TO FORM 990-PF, PG 1, LN 23	91.	0.		91.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	9
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
MERRILL LYNCH SECURITIES	FMV	9,171,210.	10,432,891.
ADVANCED EQUITIES INVESTMENTS	FMV	210,120.	210,120.
IVP CIPHEROPTICS, LLC	FMV	18,554.	18,554.
ECOATM	FMV	80,002.	80,002.
IVP EASIC, LLC	FMV	9,955.	9,955.
IVP CALIENT, LLC	FMV	7,488.	7,488.
FRANCISCO PARTNERS INVESTMENTS	FMV	96,226.	96,226.
INTUITIVE BENECHILL, LLC	FMV	9,972.	9,972.
INTUITIVE VIOLIN LLC	FMV	24,979.	24,979.
INTUITIVE QUANTIAMD, LLC.	FMV	9,994.	9,994.
INTUITIVE CALIENT II, LLC	FMV	12,490.	12,490.
CYTORI OFFERING	FMV	57,000.	57,000.
TOTAL TO FORM 990-PF, PART II, LINE 13		9,707,990.	10,969,671.

- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** and check this box ☒ **X**

Note. Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868.

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** (on page 1)

Part II **Additional (Not Automatic) 3-Month Extension of Time.** Only file the original (no copies needed).

Enter filer's identifying number, see instructions

Type or print File by the due date for filing your return. See instructions.	Name of exempt organization or other filer, see instructions	Employer identification number (EIN) or
	DAVE RICKEY & DAUGHTERS FOUNDATION	11-6574096
	Number, street, and room or suite no. If a P.O. box, see instructions.	Social security number (SSN)
	15629 BOULDER MOUNTAIN ROAD	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions.	
	POWAY, CA 92064	

Enter the Return code for the return that this application is for (file a separate application for each return)

04

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01		
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

STOP! Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.

LATTIMORE, BLACK, MORGAN, & CAIN PC

- The books are in the care of ☒ PO BOX 1869 5250 VIRGINIA WAY - BRENTWOOD, TN 37024-1869
Telephone No ☒ (615) 377-4600 FAX No ☐

- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ☐ If this is for the whole group, check this box ☐ If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.

4 I request an additional 3-month extension of time until NOVEMBER 15, 2013.

5 For calendar year 2012, or other tax year beginning , and ending .

6 If the tax year entered in line 5 is for less than 12 months, check reason: ☐ Initial return ☐ Final return
☐ Change in accounting period

7 State in detail why you need the extension

TAXPAYER REQUESTS ADDITIONAL TIME TO GATHER INFORMATION NECESSARY TO PREPARE A COMPLETE AND ACCURATE TAX RETURN.

8a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	8a	\$	8,223.
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868.	8b	\$	8,223.
c Balance due. Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	8c	\$	0.

Signature and Verification must be completed for Part II only.

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form.

Signature ☐

Title ☐ **PRESIDENT/DIRECTOR**

Date ☐

Form 8868 (Rev. 1-2013)