Form **990-PF**

Department of the Treasury
Internal Revenue Service

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

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

OMB No 1545 0052

**2012**

**For calendar year 2012, or tax year beginning , 2012, and ending ,**

Name of foundation: RAYNIE FOUNDATION

A Employer identification number: 13-6086825

Number and street (or P O box number if mail is not delivered to street address): 1610 CRABAPPLE LANE | Room/suite:

B Telephone number (see the instructions): (217) 352-4705

City or town: CHAMPAIGN | State: IL | ZIP code: 61822

C If exemption application is pending, check here ► ☐

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

D 1 Foreign organizations, check here ► ☐

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

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

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

I Fair market value of all assets at end of year (*from Part II, column (c), line 16*) ► $ 2,072,805.

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

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

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

| | Line | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|
| REVENUE | 1 Contributions, gifts, grants, etc, received (att sch) | | | | |
| | 2 Ck ► ☒ if the foundn is **not** req to att Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | 188. | 188. | | |
| | 4 Dividends and interest from securities | 66,079. | 66,079. | | |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain/(loss) from sale of assets not on line 10 | 218,172. | L-6a Stmt | | |
| | b Gross sales price for all assets on line 6a 2,113,112. | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 218,172. | | |
| | 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/(loss) (att sch) | | | | |
| | 11 Other income (attach schedule) | | | | |
| | 12 **Total.** Add lines 1 through 11 | 284,439. | 284,439. | | |
| OPERATING AND ADMINISTRATIVE EXPENSES | 13 Compensation of officers, directors, trustees, etc | | | | |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees (attach schedule) | | | | |
| | b Accounting fees (attach sch) L-16b Stmt | 1,200. | 1,200. | | |
| | c Other prof fees (attach sch) L-16c Stmt | 11,638. | 11,638. | | |
| | 17 Interest | | | | |
| | 18 Taxes (attach schedule)(see instrs) See Line 18 Stmt | 514. | 514. | | |
| | 19 Depreciation (attach sch) and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses (attach schedule) See Line 23 Stmt | 176. | 176. | | |
| | 24 **Total operating and administrative expenses.** Add lines 13 through 23 | 13,528. | 13,528. | | |
| | 25 Contributions, gifts, grants paid | 110,000. | | | |
| | 26 **Total expenses and disbursements.** Add lines 24 and 25 | 123,528. | 13,528. | | |
| | 27 Subtract line 26 from line 12 | | | | |
| | a **Excess of revenue over expenses and disbursements** | 160,911. | | | |
| | b **Net investment income** (if negative, enter -0-) | | 270,911. | | |
| | C **Adjusted net income** (if negative, enter -0-) | | | | |

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| **Part II** Balance Sheets — Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions) | | Beginning of year (a) Book Value | End of year (b) Book Value | (c) Fair Market Value |
|---|---|---|---|---|
| ASSETS | 1 Cash — non-interest-bearing | 5,544. | 10,247. | 10,427. |
| | 2 Savings and temporary cash investments | 38,036. | 164,369. | 164,369. |
| | 3 Accounts receivable ► | | | |
| | Less allowance for doubtful accounts ► | | | |
| | 4 Pledges receivable ► | | | |
| | Less allowance for doubtful accounts ► | | | |
| | 5 Grants receivable | | | |
| | 6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) | | | |
| | 7 Other notes and loans receivable (attach sch) ► | | | |
| | Less: allowance for doubtful accounts ► | | | |
| | 8 Inventories for sale or use | | | |
| | 9 Prepaid expenses and deferred charges | 2,531. | 0. | 0. |
| | 10a Investments — U.S and state government obligations (attach schedule) | | | |
| | b Investments — corporate stock (attach schedule) L-10b Stmt | 1,146,790. | 482,951. | 517,498. |
| | c Investments — corporate bonds (attach schedule) | 0. | | |
| | 11 Investments — land, buildings, and equipment basis ► | | | |
| | Less accumulated depreciation (attach schedule) ► | | | |
| | 12 Investments — mortgage loans | | | |
| | 13 Investments — other (attach schedule) L-13 Stmt | 659,839. | 1,356,087. | 1,380,511. |
| | 14 Land, buildings, and equipment basis ► | | | |
| | Less. accumulated depreciation (attach schedule) ► | | | |
| | 15 Other assets (describe ► ) | | | |
| | 16 **Total assets** (to be completed by all filers — see the instructions Also, see page 1, item I) | 1,852,740. | 2,013,654. | 2,072,805. |
| LIABILITIES | 17 Accounts payable and accrued expenses | | | |
| | 18 Grants payable | | | |
| | 19 Deferred revenue | | | |
| | 20 Loans from officers, directors, trustees, & other disqualified persons | | | |
| | 21 Mortgages and other notes payable (attach schedule) | | | |
| | 22 Other liabilities (describe ► ) | | | |
| | 23 **Total liabilities** (add lines 17 through 22) | | | |
| NET ASSETS OR FUND BALANCES | **Foundations that follow SFAS 117, check here ► ☐ and complete lines 24 through 26 and lines 30 and 31.** | | | |
| | 24 Unrestricted | | | |
| | 25 Temporarily restricted | | | |
| | 26 Permanently restricted | | | |
| | **Foundations that do not follow SFAS 117, check here ► X and complete lines 27 through 31.** | | | |
| | 27 Capital stock, trust principal, or current funds | 1,852,740. | 2,013,654. | |
| | 28 Paid-in or capital surplus, or land, building, and equipment fund | | | |
| | 29 Retained earnings, accumulated income, endowment, or other funds | | | |
| | 30 **Total net assets or fund balances** (see instructions) | 1,852,740. | 2,013,654. | |
| | 31 **Total liabilities and net assets/fund balances** (see instructions) | 1,852,740. | 2,013,654. | |

## Part III Analysis of Changes in Net Assets or Fund Balances

| | | | |
|---|---|---|---|
| 1 | Total net assets or fund balances at beginning of year — Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return) | 1 | 1,852,740. |
| 2 | Enter amount from Part I, line 27a | 2 | 160,911. |
| 3 | Other increases not included in line 2 (itemize) ► ROUNDING | 3 | 3. |
| 4 | Add lines 1, 2, and 3 | 4 | 2,013,654. |
| 5 | Decreases not included in line 2 (itemize) ► | 5 | |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30 | 6 | 2,013,654. |

## 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 shares MLC Company) | (b) How acquired P — Purchase D — Donation | (c) Date acquired (month, day, year) | (d) Date sold (month, day, year) |
|---|---|---|---|---|
| 1a | BNY MELLON SCHEDULE ATTACHED | P | 01/01/08 | 03/31/12 |
| b | 1ST REPUBLIC SCHEDULE ATTACHED | P | 01/01/08 | 12/31/12 |
| 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 | 1,333,026. | | 1,222,700. | 110,326. |
| b | 780,086. | | 672,240. | 107,846. |
| c | | | | |
| d | | | | |
| e | | | | |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Column (h) gain minus column (k), but not less than -0-) or Losses (from column (h)) |
|---|---|---|---|---|
| | (i) Fair Market Value as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of column (i) over column (j), if any | |
| a | | | | 110,326. |
| b | | | | 107,846. |
| c | | | | |
| d | | | | |
| e | | | | |

| | | | |
|---|---|---|---|
| 2 | Capital gain net income or (net capital loss) — If gain, also enter in Part I, line 7; If (loss), enter -0- in Part I, line 7 | 2 | 218,172. |
| 3 | Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8 | 3 | |

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

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

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

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

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

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

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (column (b) divided by column (c)) |
|---|---|---|---|
| 2011 | 108,351. | 2,080,658. | 0.052075 |
| 2010 | 97,046. | 1,945,570. | 0.049881 |
| 2009 | 97,500. | 1,631,827. | 0.059749 |
| 2008 | 65,000. | 1,606,964. | 0.040449 |
| 2007 | 47,200. | 1,483,988. | 0.031806 |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d) | 2 | 0.233960 |
| 3 | Average distribution ratio for the 5-year base period — divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years | 3 | 0.046792 |
| 4 | Enter the net value of noncharitable-use assets for 2012 from Part X, line 5 | 4 | 2,062,833. |
| 5 | Multiply line 4 by line 3 | 5 | 96,524. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 2,709. |
| 7 | Add lines 5 and 6 | 7 | 99,233. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 123,528. |

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

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

| | | | | |
|---|---|---|---|---|
| **1 a** 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 instrs)** | | | | |
| **b** Domestic foundations that meet the section 4940(e) requirements in Part V, check here ► ☒ and enter 1% of Part I, line 27b | | | 1 | 2,709. |
| **c** All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, column (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 | 2,709. |
| **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 | 2,709. |
| **6** Credits/Payments | | | | |
| **a** 2012 estimated tax pmts and 2011 overpayment credited to 2012 | 6a | 480. | | |
| **b** Exempt foreign organizations – tax withheld at source | 6b | | | |
| **c** Tax paid with application for extension of time to file (Form 8868) | 6c | | | |
| **d** Backup withholding erroneously withheld | 6d | | | |
| **7** Total credits and payments Add lines 6a through 6d | | | 7 | 480. |
| **8** Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached | | | 8 | |
| **9** **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ► | | | 9 | 2,229. |
| **10** **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ► | | | 10 | 0. |
| **11** Enter the amount of line 10 to be: **Credited to 2013 estimated tax** ► | | 0. **Refunded** ► | 11 | |

## Part VII-A Statements Regarding Activities

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

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

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

Website address ► N/A

14 The books are in care of ► SUSAN LOWRY Telephone no ► (217) 352-4705

Located at ► 1610 CRABAPPLE LANE CHAMPAIGN IL ZIP + 4 ► 61822

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

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

| | | | Yes | No |
|---|---|---|---|---|
| 16 | At any time during calendar year 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? | 16 | | X |
| | See the instructions for exceptions and filing requirements for Form TD F 90-22 1 If 'Yes,' enter the name of the foreign country ► | | | |

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

| | **File Form 4720 if any item is checked in the 'Yes' column, unless an exception applies.** | | | **Yes** | **No** |
|---|---|---|---|---|---|
| 1 a | 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)? | | 1 b | | |
| | Organizations relying on a current notice regarding disaster assistance check here ► ☐ | | | | |
| c | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2012? | | 1 c | | 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? | ☐ Yes ☒ No | | | |
| | If 'Yes,' list the years ► 20__ , 20__ , 20__ , 20__ | | | | |
| b | Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer 'No' and attach statement – see instructions ) | | 2 b | | |
| c | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ► 20__ , 20__ , 20__ , 20__ | | | | |
| 3 a | 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.)* | | 3 b | | |
| 4 a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | | 4 a | | 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? | | 4 b | | X |

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

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

**(1)** Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No

**(2)** Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No

**(3)** Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No

**(4)** Provide a grant to an organization other than a charitable, etc, organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ Yes ☒ No

**(5)** Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

**b** If any answer is 'Yes' to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)? **5 b**

Organizations relying on a current notice regarding disaster assistance check here ► ☐

**c** If the answer is 'Yes' to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No

*If 'Yes,' attach the statement required by Regulations section 53 4945-5(d)*

**6 a** Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No

**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6 b** No: X

*If 'Yes' to 6b, file Form 8870*

**7 a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No

**b** If 'Yes,' did the foundation receive any proceeds or have any net income attributable to the transaction? **7 b**

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

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

| **(a)** Name and address | **(b)** Title, and average hours per week devoted to position | **(c)** Compensation **(If not paid, enter -0-)** | **(d)** Contributions to employee benefit plans and deferred compensation | **(e)** Expense account, other allowances |
|---|---|---|---|---|
| KRISTIN SAFANIE<br>101 COUNTY ROAD 1500 N<br>SEYMOUR IL 61875 | TRUSTEE<br>0.00 | 0. | 0. | 0. |
| SUSAN LOWRY<br>1610 CRABAPPLE LANE<br>CHAMPAIGN IL 61821 | TRUSTEE<br>5.00 | 0. | 0. | 0. |
| LINDA SAFANIE-CRAIN<br>806 WEST CHARLES<br>CHAMPAIGN IL 61820 | DIST. COMMITTEE<br>0.00 | 0. | 0. | 0. |
| DOROTHY SAFANIE<br>2346 N 1450 EAST ROAD<br>WHITE HEATH IL 61884 | DIST. COMMITTEE<br>0.00 | 0. | 0. | 0. |

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

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

**Total** number of other employees paid over $50,000 ► None

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

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

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

## Part IX-A Summary of Direct Charitable Activities

| List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc | Expenses |
|---|---|
| 1 NONE | 0. |
| 2 | |
| 3 | |
| 4 | |

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

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | Amount |
|---|---|
| 1 NONE | 0. |
| 2 | |
| All other program-related investments See instructions<br>3 NONE | 0. |
| **Total.** Add lines 1 through 3 ► | None |

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

| | | | |
|---|---|---|---|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc, purposes | | |
| a | Average monthly fair market value of securities | 1a | 1,914,034. |
| b | Average of monthly cash balances | 1b | 180,213. |
| c | Fair market value of all other assets (see instructions) | 1c | |
| d | **Total** (add lines 1a, b, and c) | 1d | 2,094,247. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | 2 | |
| 3 | Subtract line 2 from line 1d | 3 | 2,094,247. |
| 4 | Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions) | 4 | 31,414. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 2,062,833. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 103,142. |

## 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 | 103,142. |
| 2a | Tax on investment income for 2012 from Part VI, line 5 | 2a | 2,709. | | |
| b | Income tax for 2012 (This does not include the tax from Part VI ) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 2,709. |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1 | | | 3 | 100,433. |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | |
| 5 | Add lines 3 and 4 | | | 5 | 100,433. |
| 6 | Deduction from distributable amount (see instructions) | | | 6 | |
| 7 | **Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1 | | | 7 | 100,433. |

## 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 | 123,528. |
| 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 | 123,528. |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions) | 5 | 2,709. |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 120,819. |

**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 | | | | | 100,433. |
| 2 Undistributed income, if any, as of the end of 2012: | | | | | |
| a Enter amount for 2011 only | | | | 103,563. | |
| b Total for prior years 20 __, 20 __, 20 __ | | | | | |
| 3 Excess distributions carryover, if any, to 2012: | | | | | |
| a From 2007 | 0. | | | | |
| b From 2008 | 120. | | | | |
| c From 2009 | 942. | | | | |
| d From 2010 | 16,337. | | | | |
| e From 2011 | 11,996. | | | | |
| f **Total** of lines 3a through e | | 29,395. | | | |
| 4 Qualifying distributions for 2012 from Part XII, line 4 ► $ 123,528. | | | | | |
| a Applied to 2011, but not more than line 2a | | | | 103,563. | |
| b Applied to undistributed income of prior years (Election required – see instructions) | | | | | |
| c Treated as distributions out of corpus (Election required – see instructions) | | | | | |
| d Applied to 2012 distributable amount | | | | | |
| e Remaining amount distributed out of corpus | | 19,965. | | | |
| 5 Excess distributions carryover applied to 2012 *(If an amount appears in column (d), the same amount must be shown in column (a) )* | | | | | |
| 6 **Enter the net total of each column as indicated below:** | | | | | |
| a Corpus Add lines 3f, 4c, and 4e. Subtract line 5 | | 49,360. | | | |
| 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 | | | | | |
| 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 instructions | | | | 0. | |
| f Undistributed income for 2012 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2013 | | | | | 100,433. |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions) | | | | | |
| 8 Excess distributions carryover from 2007 not applied on line 5 or line 7 (see instructions) | | 0. | | | |
| 9 **Excess distributions carryover to 2013.** Subtract lines 7 and 8 from line 6a | | 49,360. | | | |
| 10 Analysis of line 9: | | | | | |
| a Excess from 2008 | 120. | | | | |
| b Excess from 2009 | 942. | | | | |
| c Excess from 2010 | 16,337. | | | | |
| d Excess from 2011 | 11,996. | | | | |
| e Excess from 2012 | 19,965. | | | | |

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

**1 a** If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2012, enter the date of the ruling ►

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

| | Tax year | Prior 3 years | | | |
|---|---|---|---|---|---|
| | **(a)** 2012 | **(b)** 2011 | **(c)** 2010 | **(d)** 2009 | **(e) Total** |
| **2 a** Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed | | | | | |
| **b** 85% of line 2a | | | | | |
| **c** Qualifying distributions from Part XII, line 4 for each year listed | | | | | |
| **d** Amounts included in line 2c not used directly for active conduct of exempt activities | | | | | |
| **e** Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c | | | | | |
| **3** Complete 3a, b, or c for the alternative test relied upon | | | | | |
| **a** 'Assets' alternative test — enter: **(1)** Value of all assets | | | | | |
| **(2)** Value of assets qualifying under section 4942(j)(3)(B)(i) | | | | | |
| **b** 'Endowment' alternative test — enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed | | | | | |
| **c** 'Support' alternative test — enter **(1)** Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) | | | | | |
| **(2)** Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii) | | | | | |
| **(3)** Largest amount of support from an exempt organization | | | | | |
| **(4)** Gross investment income | | | | | |

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

**1 Information Regarding Foundation Managers:**

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

NONE

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

NONE

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

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

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

RAYNIE FOUNDATION, ATTN: SUSAN LOWRY
1610 CRABAPPLE LANE
CHAMPAIGN IL 61821 (217) 352-4705

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

SPECIAL FORM NOT REQUIRED

**c** Any submission deadlines

NONE

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

ORGANIZATIONS CREATED OR ORGANIZED IN THE UNITED STATES OR ITS POSSESSIONS EXCLUSIVELY FOR RELIGIOUS, SCIENTIFIC, CHARITABLE, LITERARY OR EDUCATIO

**Part XV Supplementary Information** (continued)

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

| Recipient<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| SCHEDULE ATTACHED<br>VARIOUS<br>VARIOUS IL 61820 | NONE | PUBLIC | AID IN CHARITABLE PURPOSE | 110,000. |
| **Total** | | | ► **3a** | 110,000. |
| **b** *Approved for future payment* | | | | |
| **Total** | | | ► **3b** | |

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

| Enter gross amounts unless otherwise indicated | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income (See instructions ) |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | 14 | 188. | |
| 4 Dividends and interest from securities | | | 14 | 66,079. | |
| 5 Net rental income or (loss) from real estate. | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 218,172. | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal Add columns (b), (d), and (e) | | | | 284,439. | |
| 13 Total. Add line 12, columns (b), (d), and (e) | | | | 13 | 284,439. |

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

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

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

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

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

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

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

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

b If 'Yes,' complete the following schedule

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

**Sign Here**

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

Susan L. Lan[illegible] | 4/7/13 | Trustee

Signature of officer or trustee | Date | Title

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

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☐ if self-employed | PTIN |
|---|---|---|---|---|
| MELISSA Y. WALLACE | Melissa Y. Wallace CPA | 04/23/13 | | P00093113 |

Firm's name ► BRAY DRAKE LILES & RICHARDSON LLP — Firm's EIN ► 37-1029808

Firm's address ► 1606 WILLOW VIEW ROAD SUITE 1E, URBANA IL 61802-7446 — Phone no (217) 337-0004

| Form 990-PF Part I, Line 6a | Net Gain or Loss From Sale of Assets | 2012 |
|---|---|---|

| Name | Employer Identification Number |
|---|---|
| RAYNIE FOUNDATION | 13-6086825 |

**Asset Information:**

Description of Property STOCKS
Date Acquired How Acquired
Date Sold Name of Buyer
Sales Price 2,113,112. Cost or other basis (do not reduce by depreciation) 1,894,940.
Sales Expense Valuation Method
Total Gain (Loss). 218,172. Accumulation Depreciation·

Description of Property
Date Acquired How Acquired.
Date Sold Name of Buyer
Sales Price Cost or other basis (do not reduce by depreciation)
Sales Expense Valuation Method
Total Gain (Loss) Accumulation Depreciation

Description of Property
Date Acquired How Acquired
Date Sold Name of Buyer
Sales Price Cost or other basis (do not reduce by depreciation)
Sales Expense Valuation Method:
Total Gain (Loss) Accumulation Depreciation

Description of Property
Date Acquired How Acquired
Date Sold· Name of Buyer
Sales Price· Cost or other basis (do not reduce by depreciation)
Sales Expense Valuation Method:
Total Gain (Loss) Accumulation Depreciation

Description of Property
Date Acquired· How Acquired·
Date Sold. Name of Buyer
Sales Price Cost or other basis (do not reduce by depreciation)
Sales Expense Valuation Method
Total Gain (Loss)· Accumulation Depreciation·

Description of Property
Date Acquired How Acquired
Date Sold Name of Buyer·
Sales Price· Cost or other basis (do not reduce by depreciation)
Sales Expense Valuation Method.
Total Gain (Loss) Accumulation Depreciation

Description of Property
Date Acquired How Acquired·
Date Sold Name of Buyer
Sales Price Cost or other basis (do not reduce by depreciation)
Sales Expense Valuation Method.
Total Gain (Loss) Accumulation Depreciation

Description of Property
Date Acquired How Acquired
Date Sold Name of Buyer·
Sales Price Cost or other basis (do not reduce by depreciation)
Sales Expense Valuation Method
Total Gain (Loss) Accumulation Depreciation

Form 990-PF, Page 1, Part I, Line 18
**Line 18 Stmt**

| Taxes | Rev/Exp Book | Net Inv Inc | Adj Net Inc | Charity Disb |
|---|---|---|---|---|
| FEDERAL EXCISE TAX | 470. | 470. | | |
| STATE FILING FEE | 15. | 15. | | |
| OTHER TAXES | 29. | 29. | | |
| Total | 514. | 514. | | |

Form 990-PF, Page 1, Part I, Line 23
**Line 23 Stmt**

| Other expenses: | Rev/Exp Book | Net Inv Inc | Adj Net Inc | Charity Disb |
|---|---|---|---|---|
| POSTAGE | 54. | 54. | | |
| OTHER FEES | 122. | 122. | | |
| Total | 176. | 176. | | |

Form 990-PF, Page 1, Part I
**Line 16b - Accounting Fees**

| Name of Provider | Type of Service Provided | Amount Paid Per Books | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|---|
| BRAY DRAKE LILES RIC | ACCOUNTING | 1,200. | 1,200. | | |
| Total | | 1,200. | 1,200. | | |

Form 990-PF, Page 1, Part I
**Line 16c - Other Professional Fees**

| Name of Provider | Type of Service Provided | Amount Paid Per Books | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|---|
| BNY MELLON | ACCOUNT MANAGEMENT | 1,796. | 1,796. | | |
| 1ST REPUBLIC | ACCOUNT MANAGEMENT | 9,842. | 9,842. | | |
| Total | | 11,638. | 11,638. | | |

Form 990-PF, Page 2, Part II, Line 10b
**L-10b Stmt**

| Line 10b - Investments - Corporate Stock: | End of Year Book Value | End of Year Fair Market Value |
|---|---|---|
| SCHEDULE ATTACHED | 482,951. | 517,498. |
| Total | 482,951. | 517,498. |

Form 990-PF, Page 2, Part II, Line 13
**L-13 Stmt**

| Line 13 - Investments - Other: | End of Year Book Value | End of Year Fair Market Value |
|---|---|---|
| MUTUAL FUNDS - SCHEDULE ATTACHED | 1,356,087. | 1,380,511. |
| Total | 1,356,087. | 1,380,511. |

**Supporting Statement of:**

Form 990-PF, p2/Line 9(a)

| Description | Amount |
|---|---|
| ACCRUED DIVIDENDS | 2,531. |
| Total | 2,531. |

**Raynie Foundation**
**2012 Charitable Contributions**

| Charity | Amount |
|---|---|
| Food for Seniors | 500.00 |
| American Parkinson Disease Association | 1,000.00 |
| Charity: Water | 1,500 00 |
| Feeding America | 2,000.00 |
| Christopher and Dana Reeve Foundation | 3,000.00 |
| The Carter Center | 1,500.00 |
| Compassion and Choices | 4,000.00 |
| Planned Parenthood East Central Illinois | 3,000.00 |
| Greenpeace | 2,000.00 |
| Yeshiva University | 1,500 00 |
| Muscular Dystrophy Association | 500 00 |
| Oxfam America | 4,000.00 |
| Crisis Nursery in Champaign County | 1,500.00 |
| Braille Institute of America | 1,000.00 |
| Doctors Without Borders USA | 4,000.00 |
| Leukemia & Lymphoma Society | 2,000.00 |
| Arthritis Foundation | 4,000.00 |
| Eastern Illinois Food Bank | 3,000.00 |
| Smile Train | 2,000.00 |
| Salvation Army | 1,000.00 |
| American Red Cross | 3,000.00 |
| Amnesty International | 4,000.00 |
| Alzheimer's Association | 4,000.00 |
| World Wildlife Fund | 2,000.00 |
| Reading Group | 1,000 00 |
| Susan B. Komen Breast Cancer Foundation | 4,000.00 |
| American Foundation for AIDS Research | 2,000.00 |
| National Alliance for the Mentally Ill | 4,000.00 |
| National Organization for Rare Disorders | 2,000.00 |
| Don Moyer Boys and Girls Club | 500.00 |
| Nature Conservancy | 2,000.00 |
| University of Illinois Foundation | 2,000.00 |
| National Disaster Search Dog Foundation | 1,500.00 |
| Natural Resources Defense Council | 1,000.00 |

| | |
|---|---|
| Toys for Tots | 2,500.00 |
| Community Elements | 1,500.00 |
| Project Hope | 2,000.00 |
| Center for Women in Transition | 2,000.00 |
| Champaign Urbana Schools Foundation | 2,000 00 |
| American Cancer Society | 2,000.00 |
| International Rescue Committee | 4,000.00 |
| UIF Friends of WILL | 2,000.00 |
| World Vision | 6,000.00 |
| UNICEF | 500.00 |
| USO | 1,000.00 |
| Illinois Special Olympics | 500.00 |
| Community Elements | 1,500 00 |
| Habitat for Humanity of Champaign County | 1,500 00 |
| Developmental Services Center | 1,000.00 |
| University of Illinois Foundation | 3,000.00 |
| University of Illinois Foundation | 1,000.00 |
| TOTAL | 110,000.00 |

[redacted]

## Client Service Information

| Your Investment Specialist. FRM | Contact Information | Client Service Information |
|---|---|---|
| FIRST REPUBLIC INVESTMENT MGMT<br>111 PINE ST<br>SAN FRANCISCO CA 94111 | **Telephone Number**· (415) 288-1400<br>**Fax Number:** (415) 288-1484<br>**E-Mail Address** investments@firstrepublic com | **Service Hours:** Weekdays 06 30 a m - 04 00 p m (PST)<br>**Client Service Telephone Number:** (877) 348-5576<br>**Web Site** WWW FIRSTREPUBLIC COM |

**Portfolio Manager(s).**
*BILL SLAYNE*

**Investment Objective** GROWTH
**Risk Exposure** MODERATE RISK

If you have any questions concerning your investment objective or wish to make a change, please contact your Investment Specialist

**Related Bank Account Number** 80001005710

**Default Tax Lot Disposition Method for Mutual Funds :** HIGH COST
**Default Tax Lot Disposition Method for Stocks in a Dividend Reinvestment Plan:** HIGH COST
**Default Tax Lot Disposition Method for All Other Securities·** HIGH COST

## Portfolio Holdings

| Quantity | Opening Date | Account Number | Activity Ending | Opening Balance | Closing Balance | Accrued Income | Income This Year | 30-Day Yield | Current Yield |
|---|---|---|---|---|---|---|---|---|---|
| **Cash, Money Funds, and Bank Deposits 8.00% of Portfolio** | | | | | | | | | |
| Cash Balance | | | | 0 00 | 4,415 22 | | | | |
| FDIC Insured Bank Deposits | | | | | | | | | |
| EAGLE BANK SWEEP TIER 2 held at FIRST REPUBLIC BANK | | | | | | | | | |
| 164,368 560 | 12/01/12 | 0000001391 | 12/31/12 | 251,844 05 | 164,368 56 | 0 00 | 154 54 | N/A | N/A |
| Total FDIC Insured Bank Deposits | | | | $251,844.05 | $164,368 56 | $0.00 | $154.54 | | |
| **Total Cash, Money Funds, and Bank Deposits** | | | | $251,844.05 | $168,783 78 | $0 00 | $154 54 | | |

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities 25.00% of Portfolio** | | | | | | | | |
| Common Stocks | | | | | | | | |
| ABBOTT LABS COM | | | Security Identifier ABT | | | | | |
| CUSIP 002824100 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 195 000 | 03/28/12 | 60 9580 | 11,886 82 | 65 5000 | 12,772 50 | 885 68 | 109 20 | 0 85% |

First Republic Securities Company, LLC
Member FINRA/SIPC
111 Pine Street, San Francisco CA 94111-5609
Tel (877)348-5576 Fax (415)362-0888

[redacted]

FIRST REPUBLIC INVESTMENT MANAGEMENT
It's a privilege to serve you®

Statement Period: 12/01/2012 - 12/31/2012

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **ACE LIMITED SHS**<br>ISIN#CH0044328745<br>CUSIP H0023R105<br>Dividend Option Cash | | | **Security Identifier. ACE** | | | | | |
| 220 000 | 03/28/12 | 73 0120 | 16,062 72 | 79 8000 | 17,556 00 | 1,493 28 | 431 20 | 2 45% |
| **AMERICAN EXPRESS COMPANY**<br>CUSIP. 025816109<br>Dividend Option Cash | | | **Security Identifier· AXP** | | | | | |
| 10 000 | 06/21/10 * | 42 2730 | [13]422 73 | 57 4800 | 574 80 | 152 07 | 8 00 | 1 39% |
| 190 000 | 06/21/10 * | 42 4820 | [13]8,071 66 | 57 4800 | 10,921 20 | 2,849 54 | 152 00 | 1 39% |
| 30 000 | 07/07/10 * | 39 9300 | [13]1,197 90 | 57 4800 | 1,724 40 | 526 50 | 24 00 | 1 39% |
| **230 000** | **Total Noncovered** | | **9,692 29** | | **13,220 40** | **3,528.11** | **184 00** | |
| **230 000** | **Total** | | **$9,692 29** | | **$13,220 40** | **$3,528.11** | **$184.00** | |
| **APACHE CORP COM**<br>CUSIP 037411105<br>Dividend Option Cash | | | **Security Identifier APA** | | | | | |
| 100 000 | 06/20/08 * | 137 0600 | [13]13,706 00 | 78 5000 | 7,850 00 | -5,856 00 | 68 00 | 0 86% |
| 20 000 | 03/25/09 * | 67 2110 | [13]1,344 21 | 78 5000 | 1,570 00 | 225 79 | 13 60 | 0 86% |
| **120 000** | **Total Noncovered** | | **15,050 21** | | **9,420.00** | **-5,630 21** | **81 60** | |
| **120 000** | **Total** | | **$15,050 21** | | **$9,420 00** | **-$5,630 21** | **$81 60** | |
| **APPLE INC COM**<br>CUSIP 037833100<br>Dividend Option Cash | | | **Security Identifier. AAPL** | | | | | |
| 20 000 | 09/29/08 * | 109 7300 | [13]2,194 60 | 532 1729 | 10,643 46 | 8,448 86 | 212 00 | 1 99% |
| 10 000 | 03/25/09 * | 107 1600 | [13]1,071 60 | 532 1729 | 5,321 73 | 4,250 13 | 106 00 | 1 99% |
| **30 000** | **Total Noncovered** | | **3,266 20** | | **15,965 19** | **12,698 99** | **318 00** | |
| **30 000** | **Total** | | **$3,266 20** | | **$15,965.19** | **$12,698.99** | **$318 00** | |

[redacted]

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **BANK OF NEW YORK MELLON CORP COM** CUSIP 064058100 Dividend Option Cash | | | **Security Identifier BK** | | | | | |
| 450 000 | 03/28/12 | 23.8270 | 10,722.00 | 25 7000 | 11,565 00 | 843 00 | 234 00 | 2 02% |
| **CATERPILLAR INC** CUSIP 149123101 Dividend Option Cash | | | **Security Identifier CAT** | | | | | |
| 100 000 | 06/16/10 * | 64 3480 | [1,3]6,434 82 | 89 6085 | 8,960 85 | 2,526.03 | 208 00 | 2 32% |
| **100 000** | **Total Noncovered** | | **6,434 82** | | **8,960 85** | **2,526 03** | **208.00** | |
| 10 000 | 03/28/12 | 105 0900 | 1,050 90 | 89 6085 | 896 09 | -154 81 | 20 80 | 2 32% |
| **10 000** | **Total Covered** | | **1,050 90** | | **896 09** | **-154 81** | **20.80** | |
| **110 000** | **Total** | | **$7,485.72** | | **$9,856.94** | **$2,371 22** | **$228 80** | |
| **CELGENE CORP** CUSIP 151020104 Dividend Option Cash | | | **Security Identifier CELG** | | | | | |
| 175 000 | 03/28/12 | 77 6950 | 13,596 64 | 78 4700 | 13,732 25 | 135 61 | | |
| **CHEVRON CORP NEW COM** CUSIP 166764100 Dividend Option Cash | | | **Security Identifier CVX** | | | | | |
| 105 000 | 03/28/12 | 105 4920 | 11,076 69 | 108 1400 | 11,354 70 | 278 01 | 378 00 | 3 32% |
| **CISCO SYSTEMS INC** CUSIP 17275R102 Dividend Option Cash | | | **Security Identifier CSCO** | | | | | |
| 805 000 | 03/28/12 | 20 9130 | 16,834 89 | 19 6494 | 15,817 77 | -1,017 12 | 450 80 | 2 84% |
| **COGNIZANT TECHNOLOGY SOLUTIONS CORP CL A** CUSIP 192446102 Dividend Option Cash | | | **Security Identifier CTSH** | | | | | |
| 40 000 | 10/11/11 * | 67 4800 | [1,3]2,699 21 | 73 8823 | 2,955 29 | 256 08 | | |
| 20 000 | 10/11/11 * | 67 5430 | [1,3]1,350 85 | 73 8823 | 1,477 65 | 126 80 | | |
| 30 000 | 10/12/11 * | 71 8430 | [1,3]2,155 29 | 73 8823 | 2,216 47 | 61 18 | | |
| **90 000** | **Total Noncovered** | | **6,205 35** | | **6,649 41** | **444.06** | | |
| 25 000 | 03/28/12 | 76 6800 | 1,917 00 | 73.8823 | 1,847 06 | -69 94 | | |
| **25 000** | **Total Covered** | | **1,917 00** | | **1,847 06** | **-69.94** | | |
| **115 000** | **Total** | | **$8,122.35** | | **$8,496.47** | **$374 12** | **$0.00** | |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **CVS CAREMARK CORP** | | | **Security Identifier: CVS** | | | | | |
| CUSIP 126650100 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 410 000 | 03/28/12 | 44 6280 | 18,297 59 | 48 3500 | 19,823 50 | 1,525 91 | 369 00 | 1 86% |
| **DEVON ENERGY CORP NEW COM** | | | **Security Identifier: DVN** | | | | | |
| CUSIP 25179M103 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 135 000 | 03/28/12 | 71 0050 | 9,585 66 | 52 0400 | 7,025 40 | -2,560 26 | 108 00 | 1 53% |
| **EXXON MOBIL CORP COM** | | | **Security Identifier: XOM** | | | | | |
| CUSIP 30231G102 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 145 000 | 08/22/01 * | 41 5210 | [13]6,020 51 | 86 5500 | 12,549 75 | 6,529 24 | 330 60 | 2 63% |
| **FEDEX CORP COM** | | | **Security Identifier: FDX** | | | | | |
| CUSIP 31428X106 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 26 000 | 01/26/12 * | 92 6250 | [13]2,408 24 | 91 7200 | 2,384 72 | -23 52 | 14 56 | 0 61% |
| 64 000 | 01/27/12 * | 92 5830 | [13]5,925 28 | 91 7200 | 5,870 08 | -55 20 | 35 84 | 0 61% |
| **90 000** | **Total Noncovered** | | **8,333 52** | | **8,254 80** | **-78 72** | **50 40** | |
| 20 000 | 03/28/12 | 91 4400 | 1,828 80 | 91 7200 | 1,834 40 | 5 60 | 11 20 | 0 61% |
| **20 000** | **Total Covered** | | **1,828 80** | | **1,834.40** | **5.60** | **11 20** | |
| **110 000** | **Total** | | **$10,162 32** | | **$10,089 20** | **-$73 12** | **$61.60** | |
| **FREEPORT-MCMORAN COPPER & GOLD INC CL B** | | | **Security Identifier FCX** | | | | | |
| CUSIP 35671D857 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 340 000 | 03/28/12 | 37 1350 | 12,625 93 | 34 2000 | 11,628 00 | -997 93 | 425 00 | 3 65% |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **GENERAL ELECTRIC CO COM** | | | **Security Identifier: GE** | | | | | |
| CUSIP 369604103 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 500 000 | 06/21/00 * | 50 8330 | [13]25,416 69 | 20 9900 | 10,495 00 | -14,921 69 | 380 00 | 3 62% |
| 110 000 | 06/20/08 * | 27 7260 | [13]3,049 81 | 20 9900 | 2,308 90 | -740 91 | 83 60 | 3 62% |
| 40 000 | 08/26/08 * | 28 1300 | [13]1,125 20 | 20 9900 | 839 60 | -285 60 | 30 40 | 3 62% |
| 70 000 | 03/25/09 * | 10 8300 | [13]758 10 | 20 9900 | 1,469 30 | 711 20 | 53 20 | 3 62% |
| 210 000 | 01/28/11 * | 20 2690 | [13]4,256 49 | 20 9900 | 4,407 90 | 151 41 | 159 60 | 3 62% |
| **930 000** | **Total Noncovered** | | **34,606 29** | | **19,520 70** | **-15,085 59** | **706 80** | |
| 65 000 | 03/28/12 | 20 0050 | 1,300 30 | 20 9900 | 1,364 35 | 64 05 | 49 40 | 3 62% |
| **65 000** | **Total Covered** | | **1,300.30** | | **1,364 35** | **64 05** | **49 40** | |
| **995 000** | **Total** | | **$35,906 59** | | **$20,885.05** | **-$15,021.54** | **$756 20** | |
| **GILEAD SCIENCES INC** | | | **Security Identifier GILD** | | | | | |
| CUSIP 375558103 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 175 000 | 03/28/12 | 47 2290 | 8,265 00 | 73 4500 | 12,853 75 | 4,588 75 | | |
| **GOOGLE INC CL A** | | | **Security Identifier: GOOG** | | | | | |
| CUSIP 38259P508 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 7 000 | 06/05/09 * | 442 5400 | [13]3,097 78 | 707 3800 | 4,951 66 | 1,853 88 | | |
| **7 000** | **Total Noncovered** | | **3,097 78** | | **4,951 66** | **1,853 88** | | |
| 10 000 | 03/28/12 | 655 8100 | 6,558 10 | 707 3800 | 7,073 80 | 515 70 | | |
| **10 000** | **Total Covered** | | **6,558 10** | | **7,073.80** | **515 70** | | |
| **17 000** | **Total** | | **$9,655 88** | | **$12,025 46** | **$2,369 58** | **$0 00** | |
| **HMS HLDGS CORP COM** | | | **Security Identifier: HMSY** | | | | | |
| CUSIP 40425J101 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 310 000 | 06/28/12 | 31 1420 | 9,654 10 | 25 9200 | 8,035 20 | -1,618 90 | | |
| **INTEL CORP COM** | | | **Security Identifier: INTC** | | | | | |
| CUSIP 458140100 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 560 000 | 03/28/12 | 27 9100 | 15,629 39 | 20 6200 | 11,547 20 | -4,082 19 | 504 00 | 4 36% |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **INTERNATIONAL BUSINESS MACHS CORP** COM<br>CUSIP 459200101<br>Dividend Option Cash | | | **Security Identifier: IBM** | | | | | |
| 62 000 | 09/28/04 * | 85 3380 | [1]5,290 97 | 191 5500 | 11,876 10 | 6,585 13 | 210 80 | 1 77% |
| **62 000** | **Total Noncovered** | | **5,290 97** | | **11,876 10** | **6,585.13** | **210.80** | |
| 70 000 | 03/28/12 | 207 1910 | 14,503 40 | 191 5500 | 13,408 50 | -1,094 90 | 238 00 | 1 77% |
| ***70 000*** | **Total Covered** | | **14,503 40** | | ***13,408 50*** | ***-1,094 90*** | ***238 00*** | |
| **132 000** | **Total** | | **$19,794 37** | | **$25,284 60** | **$5,490 23** | **$448 80** | |
| **JP MORGAN CHASE & CO COM**<br>ISIN#US46625H1005<br>CUSIP 46625H100<br>Dividend Option Cash | | | **Security Identifier: JPM** | | | | | |
| 130 000 | 06/20/08 * | 38 5000 | [1]5,005 00 | 43 9691 | 5,715 98 | 710 98 | 156 00 | 2 72% |
| 60 000 | 02/06/09 * | 27 3390 | [1]1,640 31 | 43 9691 | 2,638 15 | 997 84 | 72 00 | 2 72% |
| 70 000 | 03/03/09 * | 21 6600 | [1]1,516 20 | 43 9691 | 3,077 84 | 1,561 64 | 84 00 | 2 72% |
| 40 000 | 03/25/09 * | 27 4100 | [1]1,096 38 | 43 9691 | 1,758 76 | 662 38 | 48 00 | 2 72% |
| **300 000** | **Total Noncovered** | | **9,257 89** | | **13,190 73** | **3,932 84** | **360.00** | |
| **300 000** | **Total** | | **$9,257.89** | | **$13,190 73** | **$3,932 84** | **$360 00** | |
| **LOWES COS INC COM**<br>CUSIP 548661107<br>Dividend Option Cash | | | **Security Identifier: LOW** | | | | | |
| 440 000 | 03/28/12 | 31 0760 | 13,673 52 | 35 5200 | 15,628 80 | 1,955 28 | 281 60 | 1 80% |
| **MCDONALDS CORP**<br>CUSIP 580135101<br>Dividend Option Cash | | | **Security Identifier: MCD** | | | | | |
| 135 000 | 11/09/12 | 84 8870 | 11,459 80 | 88 2100 | 11,908 35 | 448 55 | 415 80 | 3 49% |

[redacted]

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **MICROSOFT CORP COM** | | | Security Identifier MSFT | | | | | |
| CUSIP 594918104 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 650 000 | 03/28/12 | 32 1760 | 20,914 64 | 26 7097 | 17,361 31 | -3,553 33 | 598 00 | 3 44% |
| **MONSANTO CO NEW COM** | | | Security Identifier MON | | | | | |
| CUSIP 61166W101 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 155 000 | 03/28/12 | 78 3260 | 12,140 53 | 94 6500 | 14,670 75 | 2,530 22 | 232 50 | 1 58% |
| **MORGAN STANLEY COM NEW** | | | Security Identifier MS | | | | | |
| CUSIP 617446448 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 375 000 | 03/28/12 | 20 2210 | 7,582 76 | 19 1200 | 7,170 00 | -412 76 | 75 00 | 1 04% |
| **NORFOLK SOUTHERN CORP** | | | Security Identifier: NSC | | | | | |
| CUSIP 655844108 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 125 000 | 03/28/12 | 65 7540 | 8,219 25 | 61 8400 | 7,730 00 | -489 25 | 250 00 | 3 23% |
| **OCCIDENTAL PETE CORP COM** | | | Security Identifier. OXY | | | | | |
| CUSIP 674599105 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 65 000 | 04/23/09 * | 55 5330 | [13]3,609 63 | 76 6100 | 4,979 65 | 1,370 02 | 140 40 | 2 81% |
| 10 000 | 04/23/09 * | 55 4800 | [13]554 80 | 76 6100 | 766 10 | 211 30 | 21 60 | 2 81% |
| **75 000** | **Total Noncovered** | | **4,164 43** | | **5,745 75** | **1,581.32** | **162.00** | |
| **75 000** | **Total** | | **$4,164 43** | | **$5,745.75** | **$1,581 32** | **$162 00** | |
| **PEPSICO INC COM** | | | Security Identifier PEP | | | | | |
| CUSIP 713448108 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 135 000 | 06/20/08 * | 65 2800 | [13]8,812 80 | 68 4300 | 9,238 05 | 425 25 | 290 25 | 3 14% |
| 20 000 | 03/25/09 * | 52 2430 | [13]1,044 86 | 68 4300 | 1,368 60 | 323 74 | 43 00 | 3 14% |
| **155 000** | **Total Noncovered** | | **9,857 66** | | **10,606 65** | **748 99** | **333 25** | |
| **155 000** | **Total** | | **$9,857 66** | | **$10,606 65** | **$748 99** | **$333 25** | |
| **PFIZER INC COM** | | | Security Identifier PFE | | | | | |
| CUSIP 717081103 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 200 000 | 06/20/08 * | 17 5700 | [13]3,514 00 | 25 0793 | 5,015 86 | 1,501 86 | 192 00 | 3 82% |
| 60 000 | 03/25/09 * | 14 0800 | [13]844 80 | 25 0793 | 1,504 76 | 659 96 | 57 60 | 3 82% |
| 26 000 | 07/07/09 * | 14 6730 | [13]381 51 | 25 0793 | 652 06 | 270 55 | 24 96 | 3 82% |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| Common Stocks *(continued)* | | | | | | | | |
| PFIZER INC COM *(continued)* | | | | | | | | |
| 24 000 | 07/07/09 * | 14 6380 | [13]351 31 | 25 0793 | 601 90 | 250 59 | 23 04 | 3 82% |
| 17 000 | 07/07/09 * | 14 6880 | [13]249 70 | 25 0793 | 426 35 | 176 65 | 16 32 | 3 82% |
| 98 000 | 07/07/09 * | 14 7020 | [13]1,440 83 | 25 0793 | 2,457 77 | 1,016 94 | 94 08 | 3 82% |
| 200 000 | 07/07/09 * | 14 6430 | [13]2,928 60 | 25 0793 | 5,015 86 | 2,087 26 | 192 00 | 3 82% |
| 5 000 | 07/08/09 * | 14 7580 | [13]73 79 | 25 0793 | 125 40 | 51 61 | 4 80 | 3 82% |
| 19 000 | 07/08/09 * | 14 7440 | [13]280 13 | 25 0793 | 476 51 | 196 38 | 18 24 | 3 82% |
| 71 000 | 07/08/09 * | 14 7310 | [13]1,045 91 | 25 0793 | 1,780 63 | 734 72 | 68 16 | 3 82% |
| **720 000** | **Total Noncovered** | | **11,110 58** | | **18,057 10** | **6,946 52** | **691 20** | |
| **720 000** | **Total** | | **$11,110 58** | | **$18,057 10** | **$6,946 52** | **$691 20** | |
| **PROCTER & GAMBLE CO COM** | | | **Security Identifier PG** | | | | | |
| CUSIP 742718109 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 140 000 | 06/20/08 * | 63 9500 | [13]8,953 00 | 67 8900 | 9,504 60 | 551 60 | 314 72 | 3 31% |
| 20 000 | 03/25/09 * | 47 7840 | [13]955 68 | 67 8900 | 1,357 80 | 402 12 | 44 96 | 3 31% |
| **160 000** | **Total Noncovered** | | **9,908 68** | | **10,862 40** | **953 72** | **359.68** | |
| 80 000 | 03/28/12 | 67 1700 | 5,373 60 | 67 8900 | 5,431 20 | 57 60 | 179 84 | 3 31% |
| **80.000** | **Total Covered** | | **5,373 60** | | **5,431 20** | **57.60** | **179.84** | |
| **240 000** | **Total** | | **$15,282.28** | | **$16,293.60** | **$1,011 32** | **$539 52** | |
| **QUALCOMM INC** | | | **Security Identifier QCOM** | | | | | |
| CUSIP 747525103 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 35 000 | 01/06/10 * | 48 0570 | [13]1,681 98 | 61 8596 | 2,165 09 | 483 11 | 35 00 | 1 61% |
| 90 000 | 03/03/10 * | 38 9730 | [13]3,507 53 | 61 8596 | 5,567 36 | 2,059 83 | 90 00 | 1 61% |
| 20 000 | 08/11/10 * | 39 2310 | [13]784 62 | 61 8596 | 1,237 19 | 452 57 | 20 00 | 1 61% |
| 10 000 | 08/11/10 * | 39 3450 | [13]393 45 | 61 8596 | 618 60 | 225 15 | 10 00 | 1 61% |
| 20 000 | 08/11/10 * | 39 2550 | [13]785 10 | 61 8596 | 1,237 19 | 452 09 | 20 00 | 1 61% |
| 20 000 | 08/11/10 * | 39 2400 | [13]784 79 | 61 8596 | 1,237 19 | 452 40 | 20 00 | 1 61% |

[redacted]

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **QUALCOMM INC** *(continued)* | | | | | | | | |
| **195 000** | **Total Noncovered** | | **7,937 47** | | **12,062 62** | **4,125.15** | **195 00** | |
| **195 000** | ***Total*** | | **$7,937 47** | | **$12,062 62** | **$4,125 15** | **$195 00** | |
| **SCHLUMBERGER LTD COM ISIN#AN8068571086** | | | **Security Identifier: SLB** | | | | | |
| CUSIP 806857108 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 240 000 | 03/28/12 | 69 3710 | 16,649 11 | 69 2986 | 16,631 66 | -17 45 | 264 00 | 1 58% |
| **TARGET CORP COM** | | | **Security Identifier. TGT** | | | | | |
| CUSIP 87612E106 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 50 000 | 11/18/11 * | 53 0780 | [13]2,653 91 | 59 1700 | 2,958 50 | 304 59 | 72 00 | 2 43% |
| 30 000 | 11/21/11 * | 52 1080 | [13]1,563 25 | 59 1700 | 1,775 10 | 211 85 | 43 20 | 2 43% |
| 40 000 | 12/08/11 * | 53 8310 | [13]2,153 24 | 59 1700 | 2,366 80 | 213 56 | 57 60 | 2 43% |
| **120 000** | **Total Noncovered** | | **6,370 40** | | **7,100.40** | **730 00** | **172 80** | |
| 125 000 | 03/28/12 | 58 2640 | 7,283 00 | 59 1700 | 7,396 25 | 113 25 | 180 00 | 2 43% |
| **125 000** | **Total Covered** | | **7,283.00** | | **7,396 25** | **113 25** | **180 00** | |
| **245 000** | **Total** | | **$13,653 40** | | **$14,496.65** | **$843 25** | **$352 80** | |
| **UNITED PARCEL SVC INC CL B** | | | **Security Identifier: UPS** | | | | | |
| CUSIP 911312106 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 165 000 | 03/28/12 | 79 7030 | 13,150 95 | 73 7300 | 12,165 45 | -985 50 | 376 20 | 3 09% |
| **UNITED TECHNOLOGIES CORP COM** | | | **Security Identifier UTX** | | | | | |
| CUSIP 913017109 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 110 000 | 03/28/12 | 81 3070 | 8,943 78 | 82 0100 | 9,021 10 | 77 32 | 235 40 | 2 60% |
| **WELLS FARGO & CO NEW COM** | | | **Security Identifier WFC** | | | | | |
| CUSIP 949746101 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 220 000 | 06/20/08 * | 24 8600 | [13]5,469 20 | 34 1800 | 7,519 60 | 2,050 40 | 193 60 | 2 57% |
| 30 000 | 03/25/09 * | 16 3990 | [13]491 96 | 34 1800 | 1,025 40 | 533 44 | 26 40 | 2 57% |
| 50 000 | 09/02/10 * | 24 8170 | [13]1,240 87 | 34 1800 | 1,709 00 | 468 13 | 44 00 | 2 57% |
| **300.000** | **Total Noncovered** | | **7,202 03** | | **10,254 00** | **3,051 97** | **264 00** | |
| **300 000** | **Total** | | **$7,202.03** | | **$10,254.00** | **$3,051.97** | **$264 00** | |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **3M CO COM**<br>CUSIP 88579Y101<br>Dividend Option Cash | | | Security Identifier MMM | | | | | |
| 140 000 | 03/28/12 | 88 2640 | 12,356 92 | 92 8500 | 12,999 00 | 642 08 | 330 40 | 2 54% |
| **Total Common Stocks** | | | **$482,950 87** | | **$517,497 85** | **$34,546 98** | **$11,375 47** | |
| **Total Equities** | | | **$482,950.87** | | **$517,497.85** | **$34,546 98** | **$11,375 47** | |

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Mutual Funds 39.00% of Portfolio** | | | | | | | | |
| **Mutual Funds** | | | | | | | | |
| **ARTIO GLOBAL HIGH INCOME FUND CLASS I**<br>CUSIP 04315J860<br>Open End Fund<br>Dividend Option Cash, Capital Gains Option Cash | | | Security Identifier: JHYIX | | | | | |
| 10,384 615 | 03/28/12 | 9 7520 | 101,266 87 | 9 9400 | 103,223 07 | 1,956 20 | 7,796 15 | 7 55% |
| 10,319 917 | 03/30/12 | 9 6920 | 100,025 00 | 9 9400 | 102,579 98 | 2,554 98 | 7,747 57 | 7 55% |
| **20,704 532** | **Total Covered** | | **201,291 87** | | **205,803.05** | **4,511.18** | **15,543 72** | |
| **20,704 532** | **Total** | | **$201,291 87** | | **$205,803.05** | **$4,511 18** | **$15,543 72** | |
| **COHEN & STEERS INFRASTRUCTURE FD INC COM**<br>CUSIP 19248A109<br>Closed End Fund<br>Dividend Option Cash, Capital Gains Option Cash | | | Security Identifier. UTF | | | | | |
| 550 000 | 03/28/12 | 17 3420 | 9,537 84 | 18 7500 | 10,312 50 | 774 66 | 792 00 | 7 68% |

[redacted]

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Mutual Funds** *(continued)* | | | | | | | | |
| **Mutual Funds** *(continued)* | | | | | | | | |
| **COLUMBIA SELECT LARGE CAP GROWTH FUND CLASS Z** CUSIP 19765Y688 Open End Fund Dividend Option Cash, Capital Gains Option Cash | | | **Security Identifier: UMLGX** | | | | | |
| 5,204 719 | 03/28/12 | 14 4100 | 75,000 00 | 13 8600 | 72,137 41 | -2,862 59 | | |
| 1,738 526 | 04/04/12 | 14 3800 | 25,000 00 | 13 8600 | 24,095 97 | -904 03 | | |
| 3,566 334 | 04/10/12 | 14 0200 | 50,000 00 | 13 8600 | 49,429 39 | -570 61 | | |
| **10,509 579** | **Total Covered** | | **150,000 00** | | **145,662 77** | **-4,337 23** | | |
| **10,509 579** | **Total** | | **$150,000 00** | | **$145,662 77** | **-$4,337.23** | **$0.00** | |
| **PIMCO TOTAL RETURN FUND INSTITUTIONAL CLASS** CUSIP 693390700 Open End Fund Dividend Option Cash, Capital Gains Option Cash | | | **Security Identifier: PTTRX** | | | | | |
| 20,288 548 | 03/28/12 | 11 0910 | 225,025 00 | 11 2400 | 228,043 28 | 3,018 28 | 7,391 62 | 3 24% |
| **PIMCO ALL ASSET FUND INSTITUTIONAL CLASS** CUSIP 722005626 Open End Fund Dividend Option Cash, Capital Gains Option Cash | | | **Security Identifier PAAIX** | | | | | |
| 8,230 453 | 03/28/12 | 12 1530 | 100,025 00 | 12 5800 | 103,539 10 | 3,514 10 | 5,296 44 | 5 11% |
| **THE OSTERWEIS STRATEGIC INCOME FUND** CUSIP 742935489 Open End Fund Dividend Option Cash, Capital Gains Option Cash | | | **Security Identifier OSTIX** | | | | | |
| 8,643 042 | 03/28/12 | 11 5730 | 100,025 00 | 11 6500 | 100,691 44 | 666 44 | 5,447 62 | 5 41% |
| **Total Mutual Funds** | | | **$785,904.71** | | **$794,052.14** | **$8,147.43** | **$34,471.40** | |
| **Total Mutual Funds** | | | **$785,904 71** | | **$794,052 14** | **$8,147 43** | **$34,471 40** | |

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**Statement Period: 12/01/2012 - 12/31/2012**

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Exchange-Traded Products 28.00% of Portfolio** | | | | | | | | |
| **Exchange-Traded Products** | | | | | | | | |
| **ISHARES TR S&P U S PFD STK INDEX FD** CUSIP 464288687 Dividend Option Cash, Capital Gains Option Cash | | | **Security Identifier: PFF** | | | | | |
| 1,260 000 | 11/26/12 | 39 7680 | 50,107 71 | 39 6200 | 49,921 20 | -186 51 | 3,002 52 | 6 01% |
| **SPDR SER TR S&P DIVID ETF** CUSIP 78464A763 Dividend Option Cash, Capital Gains Option Cash | | | **Security Identifier: SDY** | | | | | |
| 1,322 000 | 03/28/12 | 56 4880 | 74,677 24 | 58 1600 | 76,887 52 | 2,210 28 | 2,523 93 | 3 28% |
| 1,300 000 | 04/04/12 | 56 5080 | 73,460 70 | 58 1600 | 75,608 00 | 2,147 30 | 2,481 93 | 3 28% |
| **2,622 000** | **Total Covered** | | **148,137.94** | | **152,495.52** | **4,357.58** | **5,005 86** | |
| **2,622 000** | **Total** | | **$148,137.94** | | **$152,495 52** | **$4,357.58** | **$5,005 86** | |
| **VANGUARD TAX-MANAGED INTL FD MSCI EAFE ETF** CUSIP 921943858 Dividend Option Cash, Capital Gains Option Cash | | | **Security Identifier. VEA** | | | | | |
| 1,462 000 | 03/28/12 | 33 9580 | 49,646 90 | 35 2300 | 51,506 26 | 1,859 36 | 2,017 56 | 3 91% |
| 1,462 000 | 04/04/12 | 32 9770 | 48,212 68 | 35 2300 | 51,506 26 | 3,293 58 | 2,017 56 | 3 91% |
| **2,924.000** | **Total Covered** | | **97,859.58** | | **103,012 52** | **5,152 94** | **4,035 12** | |
| **2,924 000** | **Total** | | **$97,859.58** | | **$103,012.52** | **$5,152 94** | **$4,035.12** | |
| **VANGUARD SCOTTSDALE FDS VANGUARD RUSSELL** 2000 INDEX FD ETF SHS CUSIP 92206C664 Dividend Option Cash, Capital Gains Option Cash | | | **Security Identifier. VTWO** | | | | | |
| 749 000 | 03/28/12 | 66 0760 | 49,490 79 | 67 0000 | 50,183 00 | 692 21 | 782 70 | 1 55% |
| 400 000 | 04/10/12 | 62 5000 | 24,999 96 | 67 0000 | 26,800 00 | 1,800 04 | 418 00 | 1 55% |
| **1,149 000** | **Total Covered** | | **74,490 75** | | **76,983.00** | **2,492 25** | **1,200 70** | |
| **1,149.000** | **Total** | | **$74,490 75** | | **$76,983 00** | **$2,492.25** | **$1,200 70** | |

[redacted]

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Exchange-Traded Products** *(continued)* | | | | | | | | |
| **Exchange-Traded Products** *(continued)* | | | | | | | | |
| **VANGUARD INDEX FDS VANGUARD REIT ETF** CUSIP 922908553 Dividend Option Cash, Capital Gains Option Cash | | | **Security Identifier VNQ** | | | | | |
| 790 000 | 03/28/12 | 62.8950 | 49,687 20 | 65 8000 | 51,982 00 | 2,294 80 | 1,850 97 | 3 56% |
| 790 000 | 03/30/12 | 63 6340 | 50,271 25 | 65 8000 | 51,982 00 | 1,710 75 | 1,850 97 | 3 56% |
| **1,580 000** | **Total Covered** | | **99,958.45** | | **103,964.00** | **4,005 55** | **3,701 94** | |
| **1,580 000** | **Total** | | **$99,958 45** | | **$103,964 00** | **$4,005 55** | **$3,701 94** | |
| **WISDOMTREE TR EMERGING MKTS EQUITY** INCOME FD EQUITY CUSIP 97717W315 Dividend Option Cash, Capital Gains Option Cash | | | **Security Identifier DEM** | | | | | |
| 1,310 000 | 03/28/12 | 57 4090 | 75,206 00 | 57 1900 | 74,918 90 | -287 10 | 2,468 30 | 3 29% |
| 440 000 | 04/10/12 | 55 5040 | 24,421 57 | 57 1900 | 25,163 60 | 742 03 | 829 05 | 3 29% |
| **1,750 000** | **Total Covered** | | **99,627 57** | | **100,082.50** | **454.93** | **3,297 35** | |
| **1,750 000** | **Total** | | **$99,627 57** | | **$100,082 50** | **$454 93** | **$3,297 35** | |
| **Total Exchange-Traded Products** | | | **$570,182 00** | | **$586,458 74** | **$16,276 74** | **$20,243 49** | |
| **Total Exchange-Traded Products** | | | **$570,182 00** | | **$586,458.74** | **$16,276.74** | **$20,243 49** | |

| | Cost Basis | Market Value | Unrealized Gain/Loss | Accrued Interest | Estimated Annual Income |
|---|---|---|---|---|---|
| **Total Portfolio Holdings** | **$2,007,821.36** | **$2,066,792.51** | **$58,971 15** | **$0 00** | **$66,244 90** |

* Noncovered under the cost basis rules as defined below

Securities acquired before 2011 are generally not subject to the new cost basis reporting rules set forth in the Internal Revenue Code of 1986, as amended ("IRC") (incorporating amendments enacted by P L 110-343, the Emergency Economic Stabilization Act of 2008) and are, therefore, considered " noncovered," under the new cost basis reporting rules, and marked or denoted as such All other securities in this section are securities which are "covered" under the new cost basis reporting rules Securities which are "covered" under the new cost basis reporting rules are defined as securities which have been acquired on or after their "applicable date(s)" at which they are subject to the cost basis reporting rules and the adjusted basis will be reported to the IRS on form 1099-B for the applicable tax year in which the security is disposed

Reporting requirements generally will be phased in over a three-year period, as follows

- Stock in a corporation acquired on or after January 1, 2011
- Mutual funds and dividend reinvestment plan (DRP) shares acquired on or after January 1, 2012
- Other securities, principally debt securities and options, acquired on or after January 1, 2013, or later, as determined by the Secretary of the Treasury

[13] The cost basis of this security has been provided to us by the delivering firm or transferring agent and Pershing makes no representation as to the accuracy of this information

**Disclosures and Other Information**

**Pricing**

This section includes the net market value of the securities in your account on a settlement date basis, including short positions, at the close of the statement period The market prices have been obtained from

[redacted]

## Income and Expense Summary *(continued)*

| | Current Period Taxable | Current Period Non Taxable | Year-to-Date Taxable | Year-to-Date Non Taxable |
|---|---|---|---|---|
| **Expenses** | | | | |
| Withholding Taxes | 0 00 | 0 00 | -18 82 | 0 00 |
| ***Total Dividends, Interest, Income and Expenses*** | **$16,614 83** | **$0 00** | **$53,219.49** | **$0 00** |
| **Distributions** | | | | |
| Long - Term Capital Gain Distributions | 2,305 85 | 0 00 | 2,305 85 | 0 00 |
| Short - Term Capital Gain Distributions | 3,141 50 | 0 00 | 3,141 50 | 0 00 |
| **Total Distributions** | **$5,447 35** | **$0.00** | **$5,447.35** | **$0.00** |

## Schedule of Realized Gains and Losses Year-to-Date

| Disposition Date | Acquisition Date | Disposition Transaction | Description | Security Identifier | Quantity | Cost Basis | Proceeds | Realized Gain/Loss/ Disallowance |
|---|---|---|---|---|---|---|---|---|
| **Short Term** | | | | | | | | |
| 03/28/12 | 05/02/11 * | SELL High Cost | [13]AMAZON COM INC | AMZN | 44 000 | 8,844 97 | 8,844 56 | -0 41 |
| 03/28/12 | 01/27/12 * | SELL High Cost | [13]ANADARKO PETE CORP COM | APC | 20 000 | 1,589 85 | 1,534 36 | -55 49 |
| 03/28/12 | 01/26/12 * | SELL High Cost | [13]ANADARKO PETE CORP COM | APC | 30 000 | 2,381 66 | 2,301 54 | -80 12 |
| 03/28/12 | 01/23/12 * | SELL High Cost | [13]AUTOLIV INC COM | ALV | 26 000 | 1,661 74 | 1,704 34 | 42 60 |
| 03/28/12 | 01/24/12 * | SELL High Cost | [13]AUTOLIV INC COM | ALV | 5 000 | 317 68 | 327 76 | 10 08 |
| 03/28/12 | 01/24/12 * | SELL High Cost | [13]AUTOLIV INC COM | ALV | 4 000 | 253 11 | 262 21 | 9 10 |
| 03/28/12 | 01/20/12 * | SELL High Cost | [13]AUTOLIV INC COM | ALV | 10 000 | 626 22 | 655 51 | 29 29 |
| 03/28/12 | 01/24/12 * | SELL High Cost | [13]AUTOLIV INC COM | ALV | 5 000 | 312 98 | 327 76 | 14 78 |
| 03/28/12 | 11/02/11 * | SELL High Cost | [13]BAXTER INTL INC COM | BAX | 40 000 | 2,182 92 | 2,376 67 | 193 75 |
| 03/28/12 | 08/17/11 * | SELL High Cost | [13]BAXTER INTL INC COM | BAX | 60 000 | 3,212 81 | 3,565 01 | 352 20 |
| 03/28/12 | 08/18/11 * | SELL High Cost | [13]BAXTER INTL INC COM | BAX | 70 000 | 3,672 75 | 4,159 17 | 486 42 |
| 03/28/12 | 08/10/11 * | SELL High Cost | [13]BAXTER INTL INC COM | BAX | 60 000 | 3,080 02 | 3,565 01 | 484 99 |
| 03/28/12 | 01/27/12 * | SELL High Cost | [13]CBS CORP CL B COM | CBS | 10 000 | 288 66 | 323 82 | 35 16 |
| 03/28/12 | 01/26/12 * | SELL High Cost | [13]CBS CORP CL B COM | CBS | 30 000 | 861 78 | 971 47 | 109 69 |

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## Schedule of Realized Gains and Losses Year-to-Date *(continued)*

| Disposition Date | Acquisition Date | Disposition Transaction | Description | Security Identifier | Quantity | Cost Basis | Proceeds | Realized Gain/Loss/ Disallowance |
|---|---|---|---|---|---|---|---|---|
| **Short Term** *(continued)* | | | | | | | | |
| 03/28/12 | 01/27/12* | SELL High Cost | [13]CBS CORP CL B COM | CBS | 20 000 | 574 31 | 647 65 | 73 34 |
| 03/28/12 | 05/05/11* | SELL High Cost | [13]CBS CORP CL B COM | CBS | 240 000 | 6,441 34 | 7,771 74 | 1,330 40 |
| 03/28/12 | 01/23/12* | SELL High Cost | [13]CBRE GROUP INC CL A | CBG | 80 000 | 1,441 21 | 1,577 72 | 136 51 |
| 03/28/12 | 01/24/12* | SELL High Cost | [13]CBRE GROUP INC CL A | CBG | 44 000 | 786 34 | 867 75 | 81 41 |
| 03/28/12 | 01/23/12* | SELL High Cost | [13]CBRE GROUP INC CL A | CBG | 30 000 | 535 69 | 591 65 | 55 96 |
| 03/28/12 | 01/24/12* | SELL High Cost | [13]CBRE GROUP INC CL A | CBG | 6 000 | 106 52 | 118 33 | 11 81 |
| 03/28/12 | 01/20/12* | SELL High Cost | [13]CBRE GROUP INC CL A | CBG | 40 000 | 709 14 | 788 86 | 79 72 |
| 03/28/12 | 02/17/12* | SELL High Cost | [13]COCA COLA ENTERPRISES INC NEW | CCE | 213 000 | 6,144 77 | 5,947 40 | -197 37 |
| 03/28/12 | 02/16/12* | SELL High Cost | [13]COCA COLA ENTERPRISES INC NEW | CCE | 77 000 | 2,200 99 | 2,150 00 | -50 99 |
| 03/28/12 | 01/20/12* | SELL High Cost | [13]DIRECTV COM CL A C/A EFF 8/28/12 1 | 25490A101 | 210 000 | 9,046 19 | 10,237 89 | 1,191 70 |
| 03/28/12 | 05/02/11* | SELL High Cost | [13]EMC CORP COM | EMC | 130 000 | 3,691 05 | 3,835 79 | 144 74 |
| 03/28/12 | 10/18/11* | SELL High Cost | [13]EMC CORP COM | EMC | 80 000 | 1,921 71 | 2,360 48 | 438 77 |
| 03/28/12 | 11/11/11* | SELL High Cost | [13]EOG RES INC COM | EOG | 19 000 | 1,971 42 | 2,068 74 | 97 32 |
| 03/28/12 | 11/14/11* | SELL High Cost | [13]EOG RES INC COM | EOG | 34 000 | 3,498 33 | 3,701 96 | 203 63 |
| 03/28/12 | 08/12/11* | SELL High Cost | [13]ELECTRONIC ARTS INC COM | EA | 370 000 | 7,302 95 | 6,140 96 | -1,161 99 |
| 03/28/12 | 10/18/11* | SELL High Cost | [13]INTERCONTINENTAL EXCH ANGE INC COM | ICE | 8 000 | 994 40 | 1,081 57 | 87 17 |
| 03/28/12 | 10/19/11* | SELL High Cost | [13]INTERCONTINENTAL EXCH ANGE INC COM | ICE | 25 000 | 3,100 54 | 3,379 90 | 279 36 |

[redacted]

## Schedule of Realized Gains and Losses Year-to-Date *(continued)*

| Disposition Date | Acquisition Date | Disposition Transaction | Description | Security Identifier | Quantity | Cost Basis | Proceeds | Realized Gain/Loss/ Disallowance |
|---|---|---|---|---|---|---|---|---|
| **Short Term** *(continued)* | | | | | | | | |
| 03/28/12 | 10/18/11 * | SELL High Cost | 13INTERCONTINENTAL EXCH ANGE INC COM | ICE | 3 000 | 371 26 | 405 59 | 34 33 |
| 03/28/12 | 10/19/11 * | SELL High Cost | 13INTERCONTINENTAL EXCH ANGE INC COM | ICE | 10 000 | 1,235 18 | 1,351 96 | 116 78 |
| 03/28/12 | 10/12/11 * | SELL High Cost | 13INTUIT INCORPORATED COM | INTU | 30 000 | 1,562 81 | 1,768 23 | 205 42 |
| 03/28/12 | 10/12/11 * | SELL High Cost | 13INTUIT INCORPORATED COM | INTU | 30 000 | 1,560 89 | 1,768 23 | 207 34 |
| 03/28/12 | 10/12/11 * | SELL High Cost | 13INTUIT INCORPORATED COM | INTU | 20 000 | 1,035 30 | 1,178 82 | 143 52 |
| 03/28/12 | 10/11/11 * | SELL High Cost | 13INTUIT INCORPORATED COM | INTU | 20 000 | 1,022 94 | 1,178 83 | 155 89 |
| 03/28/12 | 02/16/12 * | SELL High Cost | 13LORILLARD INC COM | LO | 14 000 | 1,768 56 | 1,817 24 | 48 68 |
| 03/28/12 | 08/22/11 * | SELL High Cost | 13LORILLARD INC COM | LO | 56 000 | 6,095 91 | 7,268 95 | 1,173 04 |
| 03/28/12 | 08/22/11 * | SELL High Cost | 13LORILLARD INC COM | LO | 3 000 | 325 61 | 389 40 | 63 79 |
| 03/28/12 | 12/09/11 * | SELL High Cost | 13NATIONAL OILWELL VARCO INC | NOV | 40 000 | 2,902 47 | 3,105 80 | 203 33 |
| 03/28/12 | 12/08/11 * | SELL High Cost | 13NATIONAL OILWELL VARCO INC | NOV | 70 000 | 4,980 67 | 5,435 15 | 454 48 |
| 03/28/12 | 11/02/11 * | SELL High Cost | 13NATIONAL OILWELL VARCO INC | NOV | 80 000 | 5,518 07 | 6,211 61 | 693 54 |
| 03/28/12 | 10/18/11 * | SELL High Cost | 13NETAPP INC COM | NTAP | 50 000 | 1,977.75 | 2,259 46 | 281 71 |
| 03/28/12 | 10/19/11 * | SELL High Cost | 13NETAPP INC COM | NTAP | 20 000 | 781 46 | 903 79 | 122 33 |
| 03/28/12 | 08/23/11 * | SELL High Cost | 13NETAPP INC COM | NTAP | 30 000 | 1,106 75 | 1,355 68 | 248 93 |
| 03/28/12 | 08/19/11 * | SELL High Cost | 13NETAPP INC COM | NTAP | 9 000 | 324 54 | 406 70 | 82 16 |
| 03/28/12 | 08/22/11 * | SELL High Cost | 13NETAPP INC COM | NTAP | 80 000 | 2,850 00 | 3,615 14 | 765 14 |
| 03/28/12 | 04/06/11 * | SELL High Cost | 13NEXTERA ENERGY INC COM | NEE | 35 000 | 1,977 45 | 2,108 92 | 131 47 |
| 03/28/12 | 04/05/11 * | SELL High Cost | 13NEXTERA ENERGY INC COM | NEE | 72 000 | 4,047 52 | 4,338 36 | 290 84 |
| 03/28/12 | 04/04/11 * | SELL High Cost | 13NEXTERA ENERGY INC COM | NEE | 33 000 | 1,849 09 | 1,988 41 | 139 32 |
| 03/28/12 | 11/02/11 * | SELL High Cost | 13PVH CORP COM | PVH | 6 000 | 453 43 | 531 17 | 77 74 |

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## Schedule of Realized Gains and Losses Year-to-Date *(continued)*

| Disposition Date | Acquisition Date | Disposition Transaction | Description | Security Identifier | Quantity | Cost Basis | Proceeds | Realized Gain/Loss/ Disallowance |
|---|---|---|---|---|---|---|---|---|
| **Short Term** *(continued)* | | | | | | | | |
| 03/28/12 | 11/02/11 * | SELL High Cost | 13PVH CORP COM | PVH | 16 000 | 1,199 45 | 1,416 45 | 217 00 |
| 03/28/12 | 11/03/11 * | SELL High Cost | 13PVH CORP COM | PVH | 7 000 | 518 50 | 619 70 | 101 20 |
| 03/28/12 | 11/03/11 * | SELL High Cost | 13PVH CORP COM | PVH | 49 000 | 3,610 30 | 4,337 87 | 727 57 |
| 03/28/12 | 11/03/11 * | SELL High Cost | 13PVH CORP COM | PVH | 2 000 | 145 00 | 177 05 | 32 05 |
| 03/28/12 | 05/13/11 * | SELL High Cost | 13PEPSICO INC COM | PEP | 80 000 | 5,644 14 | 5,259 56 | -384 58 |
| 03/28/12 | 10/31/11 * | SELL High Cost | 13PHILIP MORRIS INTL INC COM | PM | 60 000 | 4,265 89 | 5,208 71 | 942 82 |
| 03/28/12 | 12/05/11 * | SELL High Cost | 13ROBERT HALF INTL INC | RHI | 32 000 | 894 51 | 961 22 | 66 71 |
| 03/28/12 | 12/02/11 * | SELL High Cost | 13ROBERT HALF INTL INC | RHI | 148 000 | 4,011 64 | 4,445 66 | 434 02 |
| 03/28/12 | 04/27/11 * | SELL High Cost | 13ST JUDE MED INC COM | STJ | 81 000 | 4,285 26 | 3,559 30 | -725 96 |
| 03/28/12 | 04/26/11 * | SELL High Cost | 13ST JUDE MED INC COM | STJ | 19 000 | 989 53 | 834 90 | 154 63 |
| 03/28/12 | 10/18/11 * | SELL High Cost | 13TRANSCANADA CORP COM ISIN#CA89353D1078 | TRP | 40 000 | 1,717 36 | 1,723 76 | 6 40 |
| 03/28/12 | 10/19/11 * | SELL High Cost | 13TRANSCANADA CORP COM ISIN#CA89353D1078 | TRP | 120 000 | 5,122 50 | 5,171 28 | 48 78 |
| 03/28/12 | 05/13/11 * | SELL High Cost | 13UNILEVER PLC SPON ADR NEW | UL | 20 000 | 645 06 | 652 11 | 7 05 |
| 03/28/12 | 05/16/11 * | SELL High Cost | 13UNILEVER PLC SPON ADR NEW | UL | 80 000 | 2,569 74 | 2,608 43 | 38 69 |
| 03/28/12 | 10/18/11 * | SELL High Cost | 13VMWARE INC CL A COM | VMW | 10 000 | 966 09 | 1,075 64 | 109 55 |
| 03/28/12 | 10/11/11 * | SELL High Cost | 13VMWARE INC CL A COM | VMW | 40 000 | 3,609 50 | 4,302 57 | 693 07 |
| 03/28/12 | 09/09/11 * | SELL High Cost | 13VMWARE INC CL A COM | VMW | 25 000 | 2,197 19 | 2,689 11 | 491 92 |

[redacted]

## Schedule of Realized Gains and Losses Year-to-Date *(continued)*

| Disposition Date | Acquisition Date | Disposition Transaction | Description | Security Identifier | Quantity | Cost Basis | Proceeds | Realized Gain/Loss/ Disallowance |
|---|---|---|---|---|---|---|---|---|
| **Short Term** *(continued)* | | | | | | | | |
| 03/28/12 | 09/09/11 * | SELL High Cost | [13]VMWARE INC CL A COM | VMW | 15 000 | 1,313 48 | 1,613 46 | 299 98 |
| 03/28/12 | 05/11/11 * | SELL High Cost | [13]ZIMMER HLDGS INC COM | ZMH | 10 000 | 692 24 | 634 81 | -57 43 |
| 03/28/12 | 05/11/11 * | SELL High Cost | [13]ZIMMER HLDGS INC COM | ZMH | 50 000 | 3,459 12 | 3,174 07 | -285 05 |
| 03/28/12 | 05/10/11 * | SELL High Cost | [13]ZIMMER HLDGS INC COM | ZMH | 30 000 | 2,071 13 | 1,904 44 | -166 69 |
| 03/28/12 | 05/09/11 * | SELL High Cost | [13]ZIMMER HLDGS INC COM | ZMH | 20 000 | 1,360 41 | 1,269 64 | -90 77 |
| 06/28/12 | 03/28/12 | SELL High Cost | TEVA PHARMACEUTICAL INDUSTRIES LTD ADR | TEVA | 125 000 | 5,504 19 | 4,843 34 | -660 85 |
| 09/24/12 | 03/28/12 | SELL High Cost | HEWLETT PACKARD CO COM | HPQ | 200 000 | 4,721 60 | 3,456 62 | -1,264 98 |
| 09/24/12 | 03/28/12 | SELL High Cost | POWERSHARES QQQ TR UNIT SER 1 | QQQ | 520 000 | 35,220 58 | 36,176 58 | 956 00 |
| 09/25/12 | 03/28/12 | SELL High Cost | ARTIO GLOBAL HIGH INCOME FUND CLASS I | JHYIX | 5,000 000 | 48,758 13 | 49,375 00 | 616 87 |
| 10/05/12 | 03/28/12 | SELL High Cost | JP MORGAN HIGHBRIDGE DYNAMIC COMMODITIES | HDCSX | 2,771 619 | 50,025 00 | 43,695 94 | -6,329 06 |
| 10/05/12 | 03/30/12 | SELL High Cost | JP MORGAN HIGHBRIDGE DYNAMIC COMMODITIES | HDCSX | 2,776 235 | 50,025 00 | 43,768 72 | -6,256 28 |
| 11/09/12 | 03/28/12 | SELL High Cost | PRICE T ROWE GROUP INC COM | TROW | 120 000 | 7,679 65 | 7,605 87 | -73 78 |
| 11/09/12 | 01/20/12 * | SELL High Cost | [13]PRICE T ROWE GROUP INC COM | TROW | 90 000 | 5,405 67 | 5,704 40 | 298 73 |
| 11/09/12 | 01/20/12 * | SELL High Cost | [13]PRICE T ROWE GROUP INC COM | TROW | 30 000 | 1,800 59 | 1,901 47 | 100 88 |
| **Total Short Term** | | | | | | **$383,930 16** | **$383,742.70** | **-$187 46** |
| **Long Term** | | | | | | | | |
| 03/28/12 | 01/04/11 * | SELL High Cost | [13]COVIDIEN PLC SHS NEW | COV | 60 000 | 2,854 99 | 3,219 65 | 364 66 |
| 03/28/12 | 01/03/11 * | SELL High Cost | [13]COVIDIEN PLC SHS NEW | COV | 120 000 | 5,664 97 | 6,439 29 | 774 32 |
| 03/28/12 | 01/03/11 * | SELL High Cost | [13]COVIDIEN PLC SHS NEW | COV | 20 000 | 943 97 | 1,073 21 | 129 24 |
| 03/28/12 | 08/26/08 * | SELL High Cost | [13]TYCO INTL LTD SHS | TYC | 50 000 | 2,131 00 | 2,779 71 | 648 71 |
| 03/28/12 | 03/25/09 * | SELL High Cost | [13]TYCO INTL LTD SHS | TYC | 30 000 | 598 35 | 1,667 83 | 1,069 48 |

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**Statement Period. 12/01/2012 - 12/31/2012**

## Schedule of Realized Gains and Losses Year-to-Date *(continued)*

| Disposition Date | Acquisition Date | Disposition Transaction | Description | Security Identifier | Quantity | Cost Basis | Proceeds | Realized Gain/Loss/ Disallowance |
|---|---|---|---|---|---|---|---|---|
| **Long Term** *(continued)* | | | | | | | | |
| 03/28/12 | 03/16/09 * | SELL High Cost | [13]TYCO INTL LTD SHS | TYC | 140 000 | 2,725 70 | 7,783 18 | 5,057 48 |
| 03/28/12 | 06/20/08 * | SELL High Cost | [13]AT&T INC COM | T | 390 000 | 13,544 70 | 12,185 25 | -1,359.45 |
| 03/28/12 | 09/29/08 * | SELL High Cost | [13]AT&T INC COM | T | 20 000 | 580 15 | 624 88 | 44 73 |
| 03/28/12 | 03/25/09 * | SELL High Cost | [13]AT&T INC COM | T | 40 000 | 1,048 80 | 1,249 77 | 200 97 |
| 03/28/12 | 08/26/08 * | SELL High Cost | [13]ALLIANCE DATA SYS CORP COM | ADS | 50 000 | 3,177 00 | 6,204.05 | 3,027 05 |
| 03/28/12 | 06/20/08 * | SELL High Cost | [13]ALLIANCE DATA SYS CORP COM | ADS | 50 000 | 3,043 50 | 6,204 05 | 3,160 55 |
| 03/28/12 | 03/25/09 * | SELL High Cost | [13]ALLIANCE DATA SYS CORP COM | ADS | 10 000 | 360 66 | 1,240 81 | 880 15 |
| 03/28/12 | 08/17/10 * | SELL High Cost | [13]ALLSCRIPTS HEALTHCARE SOLUTIONS | MDRX | 110 000 | 1,900 77 | 1,887 07 | -13 70 |
| 03/28/12 | 08/10/10 * | SELL High Cost | [13]ALLSCRIPTS HEALTHCARE SOLUTIONS | MDRX | 64 000 | 1,092 03 | 1,097 93 | 5 90 |
| 03/28/12 | 08/10/10 * | SELL High Cost | [13]ALLSCRIPTS HEALTHCARE SOLUTIONS | MDRX | 8 000 | 136 39 | 137 24 | 0 85 |
| 03/28/12 | 08/12/10 * | SELL High Cost | [13]ALLSCRIPTS HEALTHCARE SOLUTIONS | MDRX | 19 000 | 322 37 | 325 95 | 3 58 |
| 03/28/12 | 08/11/10 * | SELL High Cost | [13]ALLSCRIPTS HEALTHCARE SOLUTIONS | MDRX | 56 000 | 942 66 | 960 69 | 18 03 |
| 03/28/12 | 08/11/10 * | SELL High Cost | [13]ALLSCRIPTS HEALTHCARE SOLUTIONS | MDRX | 13 000 | 218 35 | 223 01 | 4 66 |
| 03/28/12 | 01/06/11 * | SELL High Cost | [13]AMERIPRISE FINL INC COM | AMP | 25 000 | 1,502 85 | 1,428 95 | -73 90 |
| 03/28/12 | 01/05/11 * | SELL High Cost | [13]AMERIPRISE FINL INC COM | AMP | 10 000 | 598 22 | 571 58 | -26 64 |
| 03/28/12 | 01/05/11 * | SELL High Cost | [13]AMERIPRISE FINL INC COM | AMP | 5 000 | 298 61 | 285 79 | -12 82 |
| 03/28/12 | 03/25/09 * | SELL High Cost | [13]AMERIPRISE FINL INC COM | AMP | 10 000 | 209 76 | 571 58 | 361 82 |

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## Schedule of Realized Gains and Losses Year-to-Date *(continued)*

| Disposition Date | Acquisition Date | Disposition Transaction | Description | Security Identifier | Quantity | Cost Basis | Proceeds | Realized Gain/Loss/ Disallowance |
|---|---|---|---|---|---|---|---|---|
| **Long Term** *(continued)* | | | | | | | | |
| 03/28/12 | 01/21/09 * | SELL High Cost | 13AMERIPRISE FINL INC COM | AMP | 120 000 | 2,300 14 | 6,858 98 | 4,558 84 |
| 03/28/12 | 06/18/10 * | SELL High Cost | 13ANADARKO PETE CORP COM | APC | 80 000 | 3,402 89 | 6,137 43 | 2,734 54 |
| 03/28/12 | 06/20/08 * | SELL High Cost | 13APACHE CORP COM | APA | 20 000 | 2,741 20 | 1,963 55 | -777 65 |
| 03/28/12 | 04/23/10 * | SELL High Cost | 13APPLE INC COM | AAPL | 10.000 | 2,706 13 | 6,152 72 | 3,446 59 |
| 03/28/12 | 08/26/08 * | SELL High Cost | 13APPLE INC COM | AAPL | 6 000 | 1,043 88 | 3,691 63 | 2,647 75 |
| 03/28/12 | 09/04/09 * | SELL High Cost | 13APPLE INC COM | AAPL | 10 000 | 1,679 70 | 6,152 72 | 4,473 02 |
| 03/28/12 | 06/05/09 * | SELL High Cost | 13APPLE INC COM | AAPL | 10 000 | 1,446 56 | 6,152 72 | 4,706 16 |
| 03/28/12 | 09/29/08 * | SELL High Cost | 13APPLE INC COM | AAPL | 20 000 | 2,194 60 | 12,305 43 | 10,110 83 |
| 03/28/12 | 05/29/09 * | SELL High Cost | 13AUTOLIV INC COM | ALV | 20 000 | 549 22 | 1,311 03 | 761 81 |
| 03/28/12 | 05/28/09 * | SELL High Cost | 13AUTOLIV INC COM | ALV | 50 000 | 1,296 13 | 3,277 56 | 1,981 43 |
| 03/28/12 | 05/07/09 * | SELL High Cost | 13BANK AMER CORP COM | BAC | 160 000 | 2,167 30 | 1,541 00 | -626 30 |
| 03/28/12 | 06/15/09 * | SELL High Cost | 13BANK AMER CORP COM | BAC | 50 000 | 676 79 | 481 56 | -195 23 |
| 03/28/12 | 06/15/09 * | SELL High Cost | 13BANK AMER CORP COM | BAC | 120 000 | 1,619 90 | 1,155 75 | -464 15 |
| 03/28/12 | 06/15/09 * | SELL High Cost | 13BANK AMER CORP COM | BAC | 60 000 | 796 96 | 577 87 | -219 09 |
| 03/28/12 | 05/21/09 * | SELL High Cost | 13BANK AMER CORP COM | BAC | 250 000 | 2,880 33 | 2,407 81 | -472 52 |
| 03/28/12 | 06/19/09 * | SELL High Cost | 13CIGNA CORP COM | CI | 70 000 | 1,746 91 | 3,251 87 | 1,504 96 |
| 03/28/12 | 06/19/09 * | SELL High Cost | 13CIGNA CORP COM | CI | 10 000 | 248 25 | 464 55 | 216 30 |
| 03/28/12 | 06/22/09 * | SELL High Cost | 13CIGNA CORP COM | CI | 60 000 | 1,464 66 | 2,787 31 | 1,322 65 |
| 03/28/12 | 09/30/10 * | SELL High Cost | 13CAPITAL ONE FINL CORP COM | COF | 100 000 | 3,959 02 | 5,626 07 | 1,667 05 |
| 03/28/12 | 07/01/10 * | SELL High Cost | 13CARNIVAL CORP PAIRED CTF 1 COM CARNIVAL | CCL | 150 000 | 4,684 47 | 4,803 39 | 118 92 |
| 03/28/12 | 06/20/08 * | SELL High Cost | 13CHUBB CORP | CB | 70 000 | 3,637 90 | 4,803 43 | 1,165 53 |

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**Statement Period: 12/01/2012 - 12/31/2012**

## Schedule of Realized Gains and Losses Year-to-Date *(continued)*

| Disposition Date | Acquisition Date | Disposition Transaction | Description | Security Identifier | Quantity | Cost Basis | Proceeds | Realized Gain/Loss/ Disallowance |
|---|---|---|---|---|---|---|---|---|
| **Long Term** *(continued)* | | | | | | | | |
| 03/28/12 | 09/29/08* | SELL High Cost | 13CHUBB CORP | CB | 10 000 | 503 64 | 686 20 | 182 56 |
| 03/28/12 | 03/25/09* | SELL High Cost | 13CHUBB CORP | CB | 20 000 | 829 83 | 1,372 41 | 542 58 |
| 03/28/12 | 01/31/11* | SELL High Cost | 13CITIGROUP INC COM NEW | C | 6 000 | 291 60 | 219 77 | -71 83 |
| 03/28/12 | 01/31/11* | SELL High Cost | 13CITIGROUP INC COM NEW | C | 5 000 | 242 93 | 183 14 | -59 79 |
| 03/28/12 | 01/31/11* | SELL High Cost | 13CITIGROUP INC COM NEW | C | 16 000 | 775 41 | 586 06 | -189 35 |
| 03/28/12 | 01/31/11* | SELL High Cost | 13CITIGROUP INC COM NEW | C | 30 000 | 1,452 42 | 1,098 87 | -353 55 |
| 03/28/12 | 01/31/11* | SELL High Cost | 13CITIGROUP INC COM NEW | C | 15 000 | 725 70 | 549 43 | -176 27 |
| 03/28/12 | 01/31/11* | SELL High Cost | 13CITIGROUP INC COM NEW | C | 4 000 | 193 49 | 146 52 | -46 97 |
| 03/28/12 | 01/31/11* | SELL High Cost | 13CITIGROUP INC COM NEW | C | 3 000 | 144 90 | 109 89 | -35 01 |
| 03/28/12 | 01/31/11* | SELL High Cost | 13CITIGROUP INC COM NEW | C | 8 000 | 386 40 | 293 03 | -93 37 |
| 03/28/12 | 01/31/11* | SELL High Cost | 13CITIGROUP INC COM NEW | C | 5 000 | 241 49 | 183 14 | -58 35 |
| 03/28/12 | 01/31/11* | SELL High Cost | 13CITIGROUP INC COM NEW | C | 18 000 | 869 20 | 659 32 | -209 88 |
| 03/28/12 | 01/31/11* | SELL High Cost | 13CITIGROUP INC COM NEW | C | 9 000 | 434 55 | 329 66 | -104 89 |
| 03/28/12 | 01/31/11* | SELL High Cost | 13CITIGROUP INC COM NEW | C | 2 000 | 96 52 | 73 26 | -23 26 |
| 03/28/12 | 01/31/11* | SELL High Cost | 13CITIGROUP INC COM NEW | C | 8 000 | 383 82 | 293 05 | -90 77 |
| 03/28/12 | 06/20/08* | SELL High Cost | 13CONOCOPHILLIPS COM | COP | 80 000 | 7,420 80 | 6,054 42 | -1,366 38 |
| 03/28/12 | 09/29/08* | SELL High Cost | 13CONOCOPHILLIPS COM | COP | 20 000 | 1,425 84 | 1,513 61 | 87 77 |

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## Schedule of Realized Gains and Losses Year-to-Date *(continued)*

| Disposition Date | Acquisition Date | Disposition Transaction | Description | Security Identifier | Quantity | Cost Basis | Proceeds | Realized Gain/Loss/ Disallowance |
|---|---|---|---|---|---|---|---|---|
| Long Term *(continued)* | | | | | | | | |
| 03/28/12 | 03/25/09* | SELL High Cost | [13]CONOCOPHILLIPS COM | COP | 20 000 | 793 16 | 1,513 60 | 720 44 |
| 03/28/12 | 05/01/09* | SELL High Cost | [13]CUMMINS INC | CMI | 50 000 | 1,706 60 | 5,874 86 | 4,168 26 |
| 03/28/12 | 05/01/09* | SELL High Cost | [13]CUMMINS INC | CMI | 30 000 | 1,021 35 | 3,524 92 | 2,503 57 |
| 03/28/12 | 06/20/08* | SELL High Cost | [13]DANAHER CORP COM | DHR | 100 000 | 4,023 00 | 5,443 07 | 1,420 07 |
| 03/28/12 | 09/29/08* | SELL High Cost | [13]DANAHER CORP COM | DHR | 20 000 | 697 75 | 1,088 62 | 390 87 |
| 03/28/12 | 04/14/09* | SELL High Cost | [13]DU PONT E I DE NEMOURS & CO COM | DD | 30 000 | 804 24 | 1,582 25 | 778 01 |
| 03/28/12 | 04/14/09* | SELL High Cost | [13]DU PONT E I DE NEMOURS & CO COM | DD | 30 000 | 799 68 | 1,582 25 | 782 57 |
| 03/28/12 | 04/14/09* | SELL High Cost | [13]DU PONT E I DE NEMOURS & CO COM | DD | 50 000 | 1,330 05 | 2,637 08 | 1,307 03 |
| 03/28/12 | 07/29/09* | SELL High Cost | [13]EMC CORP COM | EMC | 20 000 | 306 87 | 590 12 | 283 25 |
| 03/28/12 | 07/16/09* | SELL High Cost | [13]EMC CORP COM | EMC | 60 000 | 825 00 | 1,770 36 | 945 36 |
| 03/28/12 | 07/16/09* | SELL High Cost | [13]EMC CORP COM | EMC | 50 000 | 687 32 | 1,475 30 | 787 98 |
| 03/28/12 | 07/17/09* | SELL High Cost | [13]EMC CORP COM | EMC | 130 000 | 1,783 02 | 3,835 79 | 2,052 77 |
| 03/28/12 | 07/17/09* | SELL High Cost | [13]EMC CORP COM | EMC | 20.000 | 273 59 | 590 12 | 316 53 |
| 03/28/12 | 11/15/10* | SELL High Cost | [13]ENERGIZER HLDGS INC COM | ENR | 31 000 | 2,199 14 | 2,266 67 | 67 53 |
| 03/28/12 | 11/15/10* | SELL High Cost | [13]ENERGIZER HLDGS INC COM | ENR | 27 000 | 1,908 82 | 1,974 19 | 65 37 |
| 03/28/12 | 11/12/10* | SELL High Cost | [13]ENERGIZER HLDGS INC COM | ENR | 20 000 | 1,389 64 | 1,462 37 | 72 73 |
| 03/28/12 | 11/12/10* | SELL High Cost | [13]ENERGIZER HLDGS INC COM | ENR | 2 000 | 138 16 | 146 23 | 8 07 |
| 03/28/12 | 03/24/11* | SELL High Cost | [13]ENSCO PLC SPONSORED ADR C/A | 29358Q109 | 180 000 | 10,370 72 | 9,419 71 | -951 01 |
| 03/28/12 | 03/23/11* | SELL High Cost | [13]ENSCO PLC SPONSORED ADR C/A | 29358Q109 | 20 000 | 1,138 35 | 1,046 63 | -91 72 |
| 03/28/12 | 08/22/01* | SELL High Cost | [13]EXXON MOBIL CORP COM | XOM | 95 000 | 3,944 47 | 8,092 26 | 4,147 79 |
| 03/28/12 | 01/06/11* | SELL High Cost | [13]FORD MOTOR CO DEL COM PAR | F | 114 000 | 2,078 12 | 1,393 25 | -684 87 |

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## Schedule of Realized Gains and Losses Year-to-Date *(continued)*

| Disposition Date | Acquisition Date | Disposition Transaction | Description | Security Identifier | Quantity | Cost Basis | Proceeds | Realized Gain/Loss/ Disallowance |
|---|---|---|---|---|---|---|---|---|
| **Long Term** *(continued)* | | | | | | | | |
| 03/28/12 | 01/06/11* | SELL High Cost | 13FORD MOTOR CO DEL COM PAR | F | 64 000 | 1,166 50 | 782.17 | -384 33 |
| 03/28/12 | 01/06/11* | SELL High Cost | 13FORD MOTOR CO DEL COM PAR | F | 62 000 | 1,125 07 | 757 73 | -367 34 |
| 03/28/12 | 11/22/10* | SELL High Cost | 13FORD MOTOR CO DEL COM PAR | F | 36 000 | 595 50 | 439 97 | -155 53 |
| 03/28/12 | 11/22/10* | SELL High Cost | 13FORD MOTOR CO DEL COM PAR | F | 185 000 | 3,050 59 | 2,260 97 | -789 62 |
| 03/28/12 | 11/22/10* | SELL High Cost | 13FORD MOTOR CO DEL COM PAR | F | 49 000 | 806 36 | 598 85 | -207 51 |
| 03/28/12 | 11/22/10* | SELL High Cost | 13FORD MOTOR CO DEL COM PAR | F | 110 000 | 1,807 32 | 1,344 36 | -462 96 |
| 03/28/12 | 11/22/10* | SELL High Cost | 13FORD MOTOR CO DEL COM PAR | F | 30 000 | 491 18 | 366 65 | -124 53 |
| 03/28/12 | 06/20/08* | SELL High Cost | 13HONEYWELL INTL INC COM | HON | 170 000 | 9,283 70 | 10,269 08 | 985 38 |
| 03/28/12 | 09/29/08* | SELL High Cost | 13HONEYWELL INTL INC COM | HON | 10 000 | 415 45 | 604 06 | 188 61 |
| 03/28/12 | 03/25/09* | SELL High Cost | 13HONEYWELL INTL INC COM | HON | 10 000 | 294 06 | 604 07 | 310 01 |
| 03/28/12 | 08/16/10* | SELL High Cost | 13INFORMATICA CORP | INFA | 43 000 | 1,354 02 | 2,216 62 | 862 60 |
| 03/28/12 | 08/16/10* | SELL High Cost | 13INFORMATICA CORP | INFA | 2 000 | 61 92 | 103 10 | 41 18 |
| 03/28/12 | 08/13/10* | SELL High Cost | 13INFORMATICA CORP | INFA | 13 000 | 397 32 | 670 14 | 272 82 |
| 03/28/12 | 08/13/10* | SELL High Cost | 13INFORMATICA CORP | INFA | 15 000 | 457 29 | 773 24 | 315 95 |
| 03/28/12 | 08/13/10* | SELL High Cost | 13INFORMATICA CORP | INFA | 3 000 | 91 36 | 154 65 | 63 29 |
| 03/28/12 | 08/13/10* | SELL High Cost | 13INFORMATICA CORP | INFA | 1 000 | 30 29 | 51 55 | 21 26 |
| 03/28/12 | 08/12/10* | SELL High Cost | 13INFORMATICA CORP | INFA | 23 000 | 681 17 | 1,185 64 | 504 47 |

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## Schedule of Realized Gains and Losses Year-to-Date *(continued)*

| Disposition Date | Acquisition Date | Disposition Transaction | Description | Security Identifier | Quantity | Cost Basis | Proceeds | Realized Gain/Loss/ Disallowance |
|---|---|---|---|---|---|---|---|---|
| **Long Term** *(continued)* | | | | | | | | |
| 03/28/12 | 08/12/10* | SELL High Cost | 13INFORMATICA CORP | INFA | 3 000 | 88 69 | 154 65 | 65 96 |
| 03/28/12 | 08/12/10* | SELL High Cost | 13INFORMATICA CORP | INFA | 1 000 | 29 43 | 51 55 | 22 12 |
| 03/28/12 | 08/11/10* | SELL High Cost | 13INFORMATICA CORP | INFA | 23 000 | 676 52 | 1,185 64 | 509 12 |
| 03/28/12 | 08/11/10* | SELL High Cost | 13INFORMATICA CORP | INFA | 3 000 | 88 14 | 154 64 | 66 50 |
| 03/28/12 | 06/20/08* | SELL High Cost | 13JP MORGAN CHASE & CO COM | JPM | 100 000 | 3,850 00 | 4,576 09 | 726 09 |
| 03/28/12 | 10/06/09* | SELL High Cost | 13LIMITED BRANDS INC | LTD | 100 000 | 1,805 77 | 4,840 47 | 3,034 70 |
| 03/28/12 | 10/05/09* | SELL High Cost | 13LIMITED BRANDS INC | LTD | 20 000 | 346 63 | 968 09 | 621 46 |
| 03/28/12 | 10/05/09* | SELL High Cost | 13LIMITED BRANDS INC | LTD | 40 000 | 689 49 | 1,936 19 | 1,246 70 |
| 03/28/12 | 01/05/10* | SELL High Cost | 13MCKESSON CORP COM | MCK | 50 000 | 3,175 18 | 4,384 50 | 1,209 32 |
| 03/28/12 | 01/04/10* | SELL High Cost | 13MCKESSON CORP COM | MCK | 20 000 | 1,263 54 | 1,753 80 | 490 26 |
| 03/28/12 | 10/07/09* | SELL High Cost | 13MCKESSON CORP COM | MCK | 30 000 | 1,773 70 | 2,630 70 | 857 00 |
| 03/28/12 | 10/07/09* | SELL High Cost | 13MCKESSON CORP COM | MCK | 10 000 | 590 13 | 876 90 | 286 77 |
| 03/28/12 | 02/04/09* | SELL High Cost | 13MCKESSON CORP COM | MCK | 50 000 | 2,278 48 | 4,384 50 | 2,106 02 |
| 03/28/12 | 03/25/09* | SELL High Cost | 13MCKESSON CORP COM | MCK | 10 000 | 360 61 | 876 90 | 516 29 |
| 03/28/12 | 03/13/09* | SELL High Cost | 13MERCK & CO INC NEW COM | MRK | 9 650 | 264 84 | 370 45 | 105 61 |
| 03/28/12 | 03/25/09* | SELL High Cost | 13MERCK & CO INC NEW COM | MRK | 28 835 | 700 11 | 1,106 94 | 406 83 |
| 03/28/12 | 06/20/08* | SELL High Cost | 13MERCK & CO INC NEW COM | MRK | 247 981 | 4,624 85 | 9,519 71 | 4,894 86 |
| 03/28/12 | 09/29/08* | SELL High Cost | 13MERCK & CO INC NEW COM | MRK | 11.534 | 208 86 | 442 78 | 233 92 |
| 03/28/12 | 06/20/08* | SELL High Cost | 13NEWS CORP CL B | NWS | 490 000 | 8,266 30 | 9,808 96 | 1,542 66 |
| 03/28/12 | 09/29/08* | SELL High Cost | 13NEWS CORP CL B | NWS | 50 000 | 620 99 | 1,000 91 | 379 92 |
| 03/28/12 | 03/25/09* | SELL High Cost | 13NEWS CORP CL B | NWS | 80 000 | 628 00 | 1,601 47 | 973 47 |

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## Schedule of Realized Gains and Losses Year-to-Date *(continued)*

| Disposition Date | Acquisition Date | Disposition Transaction | Description | Security Identifier | Quantity | Cost Basis | Proceeds | Realized Gain/Loss/ Disallowance |
|---|---|---|---|---|---|---|---|---|
| **Long Term** *(continued)* | | | | | | | | |
| 03/28/12 | 08/24/10 * | SELL High Cost | 13NEXTERA ENERGY INC COM | NEE | 60 000 | 3,282 89 | 3,615 30 | 332 41 |
| 03/28/12 | 08/24/10 * | SELL High Cost | 13NEXTERA ENERGY INC COM | NEE | 60 000 | 3,274 49 | 3,615 30 | 340 81 |
| 03/28/12 | 06/11/10 * | SELL High Cost | 13OCCIDENTAL PETE CORP COM | OXY | 47 000 | 3,968 87 | 4,449 47 | 480 60 |
| 03/28/12 | 06/11/10 * | SELL High Cost | 13OCCIDENTAL PETE CORP COM | OXY | 3 000 | 250 70 | 284 01 | 33 31 |
| 03/28/12 | 04/23/09 * | SELL High Cost | 13OCCIDENTAL PETE CORP COM | OXY | 5 000 | 277 66 | 473 35 | 195 69 |
| 03/28/12 | 09/30/10 * | SELL High Cost | 13ORACLE CORP COM | ORCL | 150 000 | 4,058 28 | 4,381 45 | 323 17 |
| 03/28/12 | 06/20/08 * | SELL High Cost | 13ORACLE CORP COM | ORCL | 390 000 | 8,661 90 | 11,391 77 | 2,729 87 |
| 03/28/12 | 09/29/08 * | SELL High Cost | 13ORACLE CORP COM | ORCL | 30 000 | 598 74 | 876 29 | 277 55 |
| 03/28/12 | 03/25/09 * | SELL High Cost | 13ORACLE CORP COM | ORCL | 40 000 | 729 29 | 1,168 39 | 439 10 |
| 03/28/12 | 09/29/08 * | SELL High Cost | 13PEPSICO INC COM | PEP | 10 000 | 716 70 | 657 44 | -59 26 |
| 03/28/12 | 06/20/08 * | SELL High Cost | 13PEPSICO INC COM | PEP | 35 000 | 2,284 80 | 2,301 06 | 16 26 |
| 03/28/12 | 06/20/08 * | SELL High Cost | 13PFIZER INC COM | PFE | 120 000 | 2,108 40 | 2,666 57 | 558 17 |
| 03/28/12 | 09/29/08 * | SELL High Cost | 13PHILIP MORRIS INTL INC COM | PM | 120 000 | 5,999 65 | 10,417 43 | 4,417 78 |
| 03/28/12 | 03/25/09 * | SELL High Cost | 13PHILIP MORRIS INTL INC COM | PM | 30 000 | 1,165 00 | 2,604 36 | 1,439 36 |
| 03/28/12 | 06/20/08 * | SELL High Cost | 13PRAXAIR INC | PX | 70 000 | 6,820 80 | 7,925 22 | 1,104 42 |
| 03/28/12 | 03/25/09 * | SELL High Cost | 13PRAXAIR INC | PX | 10 000 | 668 33 | 1,132 17 | 463 84 |
| 03/28/12 | 01/06/10 * | SELL High Cost | 13QUALCOMM INC | QCOM | 75 000 | 3,604 24 | 5,068 38 | 1,464 14 |

[redacted]

## Schedule of Realized Gains and Losses Year-to-Date *(continued)*

| Disposition Date | Acquisition Date | Disposition Transaction | Description | Security Identifier | Quantity | Cost Basis | Proceeds | Realized Gain/Loss/ Disallowance |
|---|---|---|---|---|---|---|---|---|
| **Long Term** *(continued)* | | | | | | | | |
| 03/28/12 | 03/22/11 * | SELL High Cost | [13]ST JUDE MED INC COM | STJ | 10 000 | 517 90 | 439 42 | -78 48 |
| 03/28/12 | 03/22/11 * | SELL High Cost | [13]ST JUDE MED INC COM | STJ | 100 000 | 5,147 04 | 4,394 19 | -752 85 |
| 03/28/12 | 03/03/11 * | SELL High Cost | [13]TERADATA CORP DEL COM | TDC | 33 000 | 1,650 31 | 2,233 40 | 583 09 |
| 03/28/12 | 03/03/11 * | SELL High Cost | [13]TERADATA CORP DEL COM | TDC | 38 000 | 1,897 90 | 2,571 79 | 673 89 |
| 03/28/12 | 03/03/11 * | SELL High Cost | [13]TERADATA CORP DEL COM | TDC | 23 000 | 1,146 64 | 1,556 61 | 409 97 |
| 03/28/12 | 03/02/11 * | SELL High Cost | [13]TERADATA CORP DEL COM | TDC | 46 000 | 2,182 91 | 3,113 22 | 930 31 |
| 03/28/12 | 12/14/09 * | SELL High Cost | [13]UNILEVER PLC SPON ADR NEW | UL | 130 000 | 4,017 98 | 4,238 70 | 220 72 |
| 03/28/12 | 12/11/09 * | SELL High Cost | [13]UNILEVER PLC SPON ADR NEW | UL | 20 000 | 613 88 | 652 11 | 38 23 |
| 03/28/12 | 12/11/09 * | SELL High Cost | [13]UNILEVER PLC SPON ADR NEW | UL | 50 000 | 1,533 43 | 1,630 27 | 96 84 |
| 03/28/12 | 05/27/10 * | SELL High Cost | [13]UNILEVER PLC SPON ADR NEW | UL | 90 000 | 2,446 46 | 2,934 48 | 488 02 |
| 03/28/12 | 05/27/10 * | SELL High Cost | [13]UNILEVER PLC SPON ADR NEW | UL | 90 000 | 2,442 65 | 2,934 47 | 491 82 |
| 03/28/12 | 06/20/08 * | SELL High Cost | [13]VALE SA ADR | VALE | 260 000 | 9,136 40 | 5,904 80 | -3,231 60 |
| 03/28/12 | 09/29/08 * | SELL High Cost | [13]VALE SA ADR | VALE | 10 000 | 183 48 | 227 11 | 43 63 |
| 03/28/12 | 03/25/09 * | SELL High Cost | [13]VALE SA ADR | VALE | 30 000 | 432 80 | 681 32 | 248 52 |
| 03/28/12 | 09/29/08 * | SELL High Cost | [13]WELLS FARGO & CO NEW COM | WFC | 20 000 | 751 60 | 681 54 | -70 06 |
| 03/28/12 | 03/03/11 * | SELL High Cost | [13]WELLS FARGO & CO NEW COM | WFC | 80 000 | 2,590 74 | 2,726 14 | 135 40 |
| 03/28/12 | 08/10/10 * | SELL High Cost | [13]WELLS FARGO & CO NEW COM | WFC | 120 000 | 3,355 06 | 4,089 21 | 734 15 |
| 03/28/12 | 09/13/10 * | SELL High Cost | [13]WELLS FARGO & CO NEW COM | WFC | 60 000 | 1,581 50 | 2,044 61 | 463 11 |
| 03/28/12 | 09/02/10 * | SELL High Cost | [13]WELLS FARGO & CO NEW COM | WFC | 30 000 | 749 22 | 1,022 30 | 273 08 |
| 03/28/12 | 09/02/10 * | SELL High Cost | [13]WELLS FARGO & CO NEW COM | WFC | 10 000 | 249 28 | 340 77 | 91 49 |
| 03/28/12 | 09/02/10 * | SELL High Cost | [13]WELLS FARGO & CO NEW COM | WFC | 20 000 | 498 47 | 681 54 | 183 07 |

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[redacted]

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**Statement Period: 12/01/2012 - 12/31/2012**

## Schedule of Realized Gains and Losses Year-to-Date *(continued)*

| Disposition Date | Acquisition Date | Disposition Transaction | Description | Security Identifier | Quantity | Cost Basis | Proceeds | Realized Gain/Loss/ Disallowance |
|---|---|---|---|---|---|---|---|---|
| **Long Term** *(continued)* | | | | | | | | |
| 03/28/12 | 09/02/10* | SELL High Cost | [13]WELLS FARGO & CO NEW COM | WFC | 20 000 | 498 05 | 681 53 | 183 48 |
| **Total Long Term** | | | | | | **$288,310 13** | **$396,343 46** | **$108,033 33** |
| **Total Short Term and Long Term** | | | | | | **$672,240 29** | **$780,086 16** | **$107,845 87** |

* Noncovered under the cost basis rules as defined below

Securities acquired before 2011 are generally not subject to the new cost basis reporting rules set forth in the Internal Revenue Code of 1986, as amended ("IRC") (incorporating amendments enacted by P L 110-343, the Emergency Economic Stabilization Act of 2008) and are, therefore, considered "noncovered," under the new cost basis reporting rules, and marked or denoted as such All other securities in this section are securities which are "covered" under the new cost basis reporting rules Securities which are "covered" under the new cost basis reporting rules are defined as securities which have been acquired on or after their "applicable date(s)" at which they are subject to the cost basis reporting rules and the adjusted basis will be reported to the IRS on form 1099-B for the applicable tax year in which the security is disposed

Reporting requirements generally will be phased in over a three-year period, as follows

- Stock in a corporation acquired on or after January 1, 2011
- Mutual funds and dividend reinvestment plan (DRP) shares acquired on or after January 1, 2012
- Other securities, principally debt securities and options, acquired on or after January 1, 2013, or later, as determined by the Secretary of the Treasury

This Schedule may not reflect all cost basis adjustments necessary for tax reporting purposes, especially for noncovered securities Adjustments to cost basis may have been made for prior income received and subsequently reclassified by the issuer as a return of capital In addition, corporate action events may require adjustments to your original cost basis Return of capital information and cost basis information, as it relates to corporate actions, has been obtained from sources we believe to be reliable

Adjustments to cost basis can be made after year-end, in particular, for return of capital adjustments, but may also include adjustments for corporate action events Therefore there may be differences in cost basis reflected on your monthly client brokerage statement at year end versus any subsequent reports, including your 1099-B or online displays you may have available to you

When you report your cost basis on your tax return, it should be verified using all of your own records In particular, there may be other adjustments which you need to make, but are not required to be made by Pershing as it relates to H R 1424 You should consult with your tax advisor in order to properly report your gain or loss for tax purposes Pershing shall not be responsible for and makes no representations or warranties with respect to the accuracy of any information that you report to the IRS or other taxing authorities, and, accordingly, disclaims any and all liability that may arise with respect to your use and reliance on the information provided herein for such reporting

[13] The cost basis of this security has been provided to us by the delivering firm or transferring agent and Pershing makes no representation as to the accuracy of this information

Please refer to the Client Service Information Section in your brokerage account statement for your account's existing tax-lot disposition method The disposition method is the method which you have selected to use in the disposal of each tax lot of the securities held in your account. If you do not select a method, your account will be defaulted to First In, First Out (FIFO) Your account's selected tax lot method will be used to determine the cost basis for calculating gain and/or loss, unless another method was selected at the time of the security disposal, and this may be reported on the IRS Form 1099-B

# Income for 2012

This section reports your proceeds from sales during the year We are not required nor do we report your net gains and losses to the Internal Revenue Service An asterisk symbol (*) next to the tax cost indicates that the tax cost has been adjusted for the current year's return of capital A schedule of your net gains and losses is shown below Please note that if you have sold an asset for which we do not have cost basis information, it is either shown separately in the section entitled Cost Not Available or it may appear with a zero tax cost Please review these carefully before preparing your tax return

Additionally, to provide you with complete information for your tax returns, we have shown IRC Section 988 translation gains and losses separately within the sales sections Please note these gains or losses are not entitled to capital gains treatment Rather, under IRC Section 988, they are either ordinary income or loss

## Short term transactions

This category includes sales of assets held 12 months or less

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| PPL CORP | PPL | 69351T106 | 50 | 04/05/11 | 01/20/12 | $1,374 88 | $1,288 68 | $86 20 |
| PPL CORP | PPL | 69351T106 | 190 | 04/04/11 | 01/20/12 | $5,224 53 | $4,914 01 | $310 52 |
| CHUBB CORPORATION COM | CB | 171232101 | 20 | 10/18/11 | 01/20/12 | $1,415 31 | $1,273 25 | $142 06 |
| LINCOLN NATIONAL CORP | LNC | 534187109 | 41 | 08/12/11 | 01/26/12 | $847 16 | $922 61 | $-75 45 |
| LINCOLN NATIONAL CORP | LNC | 534187109 | 163 | 08/12/11 | 01/27/12 | $3,410 12 | $3,667 94 | $-257 82 |
| LINCOLN NATIONAL CORP | LNC | 534187109 | 106 | 08/12/11 | 01/30/12 | $2,216 42 | $2,385 29 | $-168 87 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 33 92 | 03/31/11 | 03/08/12 | $475 57 | $440 64 | $34 93 |
| TCW EMERGING MARKETS INCOME | TGEIX | 87234N765 | 6150 06 | 10/13/11 | 03/08/12 | $54,305 05 | $49,986 33 | $4,318 72 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 49 26 | 05/31/11 | 03/08/12 | $690 61 | $650 71 | $39 90 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 46 21 | 06/30/11 | 03/08/12 | $647 85 | $611 34 | $36 51 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 39 59 | 07/29/11 | 03/08/12 | $555 07 | $541 61 | $13 46 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 33 89 | 08/31/11 | 03/08/12 | $475 15 | $466 00 | $9 15 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 28 29 | 09/30/11 | 03/08/12 | $396 56 | $387 51 | $9 05 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 27 26 | 10/31/11 | 03/08/12 | $382 23 | $378 69 | $3 54 |

## Short term transactions

This category includes sales of assets held 12 months or less

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 22 6 | 11/30/11 | 03/08/12 | $316 85 | $315 27 | $1 58 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 76 05 | 12/20/11 | 03/08/12 | $1,066 25 | $1,059 40 | $6 85 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 3 16 | 12/30/11 | 03/08/12 | $44 26 | $43 72 | $0 54 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 3 83 | 01/31/12 | 03/08/12 | $53 68 | $54 10 | $-0 42 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 3 75 | 02/29/12 | 03/08/12 | $52 52 | $52 78 | $-0 26 |
| DREYFUS PREM STRAT GLBL ST-I | DGLRX | 86271F818 | 177 91 | 12/30/11 | 03/08/12 | $2,600 99 | $2,350 15 | $250 84 |
| DREYFUS DIVERSIFIED INTL-I | DFPIX | 261986632 | 332 19 | 12/30/11 | 03/08/12 | $3,228 84 | $2,886 69 | $342 15 |
| DREYFUS SELECT MANAGERS S/C \ | DMVIX | 86271F677 | 178 92 | 12/30/11 | 03/08/12 | $3,388 69 | $3,107 79 | $280 90 |
| BNY MELLON BOND FD CL M | MPBFX | 05569M830 | 51 69 | 12/15/11 | 03/08/12 | $697 23 | $686 89 | $10 34 |
| BNY MELLON INTERMEDIATE BOND | MPIBX | 05569M814 | 1 | 12/15/11 | 03/08/12 | $13 19 | $13 03 | $0 16 |
| BNY MELLON INCOME STK FD CL M | MPISX | 05569M301 | 4032 26 | 10/13/11 | 03/08/12 | $27,822 58 | $25,000 00 | $2,822 58 |
| BNY MELLON MID CAP STK FD CL M | MPMCX | 05569M509 | 347 53 | 12/08/11 | 03/08/12 | $4,153 03 | $3,742 95 | $410 08 |
| BNY MELLON SMALL CAP STK FD CL | MPSSX | 05569M806 | 105 57 | 12/07/11 | 03/08/12 | $1,207 70 | $1,109 52 | $98 18 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 33 3 | 04/29/11 | 03/08/12 | $466 91 | $440 93 | $25 98 |
| **Total short term gain/loss from sales.** | | | | | | $117,529 23 | $108,777 83 | $8,751 40 |

## Long term transactions

This category includes sales of assets held more than 12 months.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| OMNICOM GROUP INC COM | OMC | 681919106 | 7 | 01/07/11 | 01/20/12 | $328 49 | $332 07 | $-3 58 |
| OMNICOM GROUP INC COM | OMC | 681919106 | 28 | 01/07/11 | 01/20/12 | $1,311 01 | $1,315 82 | $-4 81 |
| OMNICOM GROUP INC COM | OMC | 681919106 | 18 | 01/06/11 | 01/20/12 | $842 80 | $852 66 | $-9 86 |
| OMNICOM GROUP INC COM | OMC | 681919106 | 2 | 01/06/11 | 01/20/12 | $93 85 | $94 74 | $-0 89 |
| CHUBB CORPORATION COM | CB | 171232101 | 20 | 06/20/08 | 01/20/12 | $1,416 09 | $1,039 40 | $376 69 |
| CHUBB CORPORATION COM | CB | 171232101 | 20 | 06/20/08 | 01/20/12 | $1,415 31 | $1,039 40 | $375 91 |
| OMNICOM GROUP INC COM | OMC | 681919106 | 25 | 01/07/11 | 01/23/12 | $1,154 13 | $1,174 83 | $-20 70 |
| OMNICOM GROUP INC COM | OMC | 681919106 | 42 | 06/20/08 | 01/23/12 | $1,938 93 | $1,949 22 | $-10 29 |

## *Long term transactions*

This category includes sales of assets held more than 12 months

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| OMNICOM GROUP INC COM | OMC | 681919106 | 79 | 06/20/08 | 01/24/12 | $3,640 49 | $3,666 39 | $-25 90 |
| OMNICOM GROUP INC COM | OMC | 681919106 | 39 | 06/20/08 | 01/25/12 | $1,801 08 | $1,809 99 | $-8 91 |
| OMNICOM GROUP INC COM | OMC | 681919106 | 10 | 03/25/09 | 01/25/12 | $461 81 | $248 60 | $213 21 |
| HESS CORP | HES | 42809H107 | 40 | 06/20/08 | 01/26/12 | $2,198 16 | $4,949 00 | $-2,750 84 |
| HESS CORP | HES | 42809H107 | 9 | 03/25/09 | 01/26/12 | $494 59 | $567 81 | $-73 22 |
| HESS CORP | HES | 42809H107 | 7 | 01/23/09 | 01/27/12 | $386 44 | $386 07 | $0 37 |
| HESS CORP | HES | 42809H107 | 20 | 01/23/09 | 01/27/12 | $1,100 73 | $1,103 06 | $-2 33 |
| HESS CORP | HES | 42809H107 | 13 | 01/23/09 | 01/27/12 | $716 95 | $716 99 | $-0 04 |
| HESS CORP | HES | 42809H107 | 11 | 03/25/09 | 01/27/12 | $606 65 | $694 00 | $-87 35 |
| HESS CORP | HES | 42809H107 | 30 | 03/17/09 | 01/27/12 | $1,654 49 | $1,844 26 | $-189 77 |
| NORFOLK SOUTHERN CORP | NSC | 655844108 | 100 | 11/04/09 | 02/16/12 | $6,849 80 | $4,984 76 | $1,865 04 |
| NORFOLK SOUTHERN CORP | NSC | 655844108 | 22 | 11/03/09 | 02/16/12 | $1,508 10 | $1,081 18 | $426 92 |
| NORFOLK SOUTHERN CORP | NSC | 655844108 | 12 | 11/03/09 | 02/16/12 | $822 60 | $589 78 | $232 82 |
| NORFOLK SOUTHERN CORP | NSC | 655844108 | 16 | 11/04/09 | 02/16/12 | $1,096 80 | $797 56 | $299 24 |
| BNY MELLON SMALL CAP STK FD CL | MPSSX | 05569M806 | 1388 42 | 06/26/08 | 03/08/12 | $15,883 48 | $15,661 33 | $222 15 |
| BNY MELLON SMALL CAP STK FD CL | MPSSX | 05569M806 | 56 68 | 12/03/08 | 03/08/12 | $648 38 | $421 11 | $227 27 |
| BNY MELLON SMALL CAP STK FD CL | MPSSX | 05569M806 | 1 24 | 03/27/09 | 03/08/12 | $14 19 | $8 53 | $5 66 |
| BNY MELLON SMALL CAP STK FD CL | MPSSX | 05569M806 | 5 73 | 12/08/09 | 03/08/12 | $65 57 | $51 19 | $14 38 |
| BNY MELLON SMALL CAP STK FD CL | MPSSX | 05569M806 | 2360 72 | 04/16/10 | 03/08/12 | $27,006 62 | $25,000 00 | $2,006 62 |
| BNY MELLON MID CAP STK FD CL M | MPMCX | 05569M509 | 8568 98 | 06/26/08 | 03/08/12 | $102,399 32 | $100,000 00 | $2,399 32 |
| BNY MELLON MID CAP STK FD CL M | MPMCX | 05569M509 | 90 2 | 12/04/08 | 03/08/12 | $1,077 89 | $582 69 | $495 20 |
| BNY MELLON MID CAP STK FD CL M | MPMCX | 05569M509 | 9 61 | 03/27/09 | 03/08/12 | $114 82 | $66 68 | $48 14 |
| BNY MELLON MID CAP STK FD CL M | MPMCX | 05569M509 | 1245 33 | 06/04/09 | 03/08/12 | $14,881 69 | $10,000 00 | $4,881 69 |
| BNY MELLON MID CAP STK FD CL M | MPMCX | 05569M509 | 67 25 | 12/09/09 | 03/08/12 | $803 66 | $614 68 | $188 98 |
| BNY MELLON MID CAP STK FD CL M | MPMCX | 05569M509 | 2 5 | 12/09/10 | 03/08/12 | $29 91 | $29 94 | $-0 03 |
| BNY MELLON INTERMEDIATE BOND | MPIBX | 05569M814 | 16286 65 | 06/17/08 | 03/08/12 | $214,332 25 | $200,000 00 | $14,332 25 |
| BNY MELLON BOND FD CL M | MPBFX | 05569M830 | 24410 09 | 06/17/08 | 03/08/12 | $329,292 11 | $300,000 00 | $29,292 11 |
| BNY MELLON BOND FD CL M | MPBFX | 05569M830 | 34 28 | 12/16/10 | 03/08/12 | $462 42 | $444 26 | $18 16 |

## Long term transactions

This category includes sales of assets held more than 12 months

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| BNY MELLON SMALL/MID CAP FUND | MMCMX | 05569M442 | 2793 3 | 01/27/10 | 03/08/12 | $37,765 36 | $30,000 00 | $7,765 36 |
| BNY MELLON SMALL/MID CAP FUND | MMCMX | 05569M442 | 807 1 | 04/16/10 | 03/08/12 | $10,912 03 | $10,000 00 | $912 03 |
| BNY MELLON SMALL/MID CAP FUND | MMCMX | 05569M442 | 22 65 | 12/13/10 | 03/08/12 | $306 27 | $316 47 | $-10 20 |
| DREYFUS SELECT MANAGERS S/C V | DMVIX | 86271F677 | 1812 69 | 01/27/10 | 03/08/12 | $34,332 33 | $30,000 00 | $4,332 33 |
| DREYFUS SELECT MANAGERS S/C V | DMVIX | 86271F677 | 105 47 | 12/31/10 | 03/08/12 | $1,997 53 | $2,111 42 | $-113 89 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 4240 88 | 06/04/09 | 03/08/12 | $59,457 17 | $50,000 00 | $9,457 17 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 0 63 | 06/30/09 | 03/08/12 | $8 83 | $7 54 | $1 29 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 0 83 | 07/31/09 | 03/08/12 | $11 59 | $9 90 | $1 69 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 4 72 | 08/31/09 | 03/08/12 | $66 13 | $56 98 | $9 15 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 4 81 | 09/30/09 | 03/08/12 | $67 45 | $59 22 | $8 23 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 5 47 | 10/30/09 | 03/08/12 | $76 68 | $68 20 | $8 48 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 7 8 | 11/30/09 | 03/08/12 | $109 40 | $99 65 | $9 75 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 16 37 | 12/31/09 | 03/08/12 | $229 44 | $203 74 | $25 70 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 11 21 | 01/29/10 | 03/08/12 | $157 16 | $141 25 | $15 91 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 2 2 | 02/26/10 | 03/08/12 | $30 82 | $27 41 | $3 41 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 4 26 | 03/31/10 | 03/08/12 | $59 70 | $53 01 | $6 69 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 3971 41 | 04/16/10 | 03/08/12 | $55,679 11 | $50,000 00 | $5,679 11 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 6 47 | 04/30/10 | 03/08/12 | $90 65 | $82 44 | $8 21 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 27 11 | 05/28/10 | 03/08/12 | $380 04 | $344 26 | $35 78 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 23 64 | 06/30/10 | 03/08/12 | $331 45 | $303 79 | $27 66 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 13 21 | 07/30/10 | 03/08/12 | $185 26 | $169 54 | $15 72 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 7 5 | 08/31/10 | 03/08/12 | $105 19 | $97 91 | $7 28 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 11 96 | 09/30/10 | 03/08/12 | $167 62 | $157 10 | $10 52 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 22 76 | 10/29/10 | 03/08/12 | $319 08 | $305 42 | $13 66 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 20 81 | 11/30/10 | 03/08/12 | $291 81 | $273 50 | $18 31 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 19 65 | 12/23/10 | 03/08/12 | $275 44 | $251 28 | $24 16 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 22 67 | 12/31/10 | 03/08/12 | $317 89 | $291 36 | $26 53 |
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 11 32 | 01/31/11 | 03/08/12 | $158 71 | $145 23 | $13 48 |

## Long term transactions

This category includes sales of assets held more than 12 months

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| DREYFUS INFLATION ADJUSTED SE( | DIASX | 261967830 | 19 66 | 02/28/11 | 03/08/12 | $275 68 | $254 04 | $21 64 |
| DREYFUS PREM STRAT GLBL ST-I | DGLRX | 86271F818 | 4633 92 | 06/04/09 | 03/08/12 | $67,747 91 | $50,000 00 | $17,747 91 |
| DREYFUS PREM STRAT GLBL ST-I | DGLRX | 86271F818 | 31 64 | 12/31/09 | 03/08/12 | $462 64 | $397 13 | $65 51 |
| DREYFUS PREM STRAT GLBL ST-I | DGLRX | 86271F818 | 4042 04 | 01/27/10 | 03/08/12 | $59,094 58 | $50,000 00 | $9,094 58 |
| DREYFUS PREM STRAT GLBL ST-I | DGLRX | 86271F818 | 87 84 | 12/31/10 | 03/08/12 | $1,284 16 | $1,206 87 | $77 29 |
| DREYFUS DIVERSIFIED INTL-I | DFPIX | 261986632 | 14577 26 | 11/19/10 | 03/08/12 | $141,690 94 | $150,000 00 | $-8,309 06 |
| DREYFUS DIVERSIFIED INTL-I | DFPIX | 261986632 | 226 29 | 12/31/10 | 03/08/12 | $2,199 55 | $2,355 69 | $-156 14 |
| **Total long term gain/loss from sales** | | | | | | $1,215,497 21 | $1,113,908 35 | $101,588 86 |