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Form **990-PF**

Department of the Treasury
Internal Revenue Service

# Return of Private Foundation

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

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

OMB No 1545-0052

**2012**

**Open to Public Inspection**

**For calendar year 2012, or tax year beginning 01-01-2012 , and ending 12-31-2012**

Name of foundation
DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

**A Employer identification number**
22-2914177

Number and street (or P O box number if mail is not delivered to street address) RICHARDSON RD | Room/suite

**B** Telephone number (see instructions)
(716) 337-0223

City or town, state, and ZIP code
COLLINS, NY 14034

**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, col. (c), line 16)* ▶$ 2,932,715

**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 | Description | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|---|
| Revenue | 1 | Contributions, gifts, grants, etc , received (attach schedule) | | | | |
| | 2 | Check ▶ ☑ if the foundation is **not** required to attach Sch B | | | | |
| | 3 | Interest on savings and temporary cash investments | 7,902 | 7,902 | 7,902 | |
| | 4 | Dividends and interest from securities | 67,800 | 67,800 | 67,800 | |
| | 5a | Gross rents | | | | |
| | b | Net rental income or (loss) | | | | |
| | 6a | Net gain or (loss) from sale of assets not on line 10 | | | | |
| | b | Gross sales price for all assets on line 6a | | | | |
| | 7 | Capital gain net income (from Part IV, line 2) | | 21,385 | | |
| | 8 | Net short-term capital gain | | | | |
| | 9 | Income modifications | | | | |
| | 10a | Gross sales less returns and allowances | | | | |
| | b | Less Cost of goods sold | | | | |
| | c | Gross profit or (loss) (attach schedule) | | | | |
| | 11 | Other income (attach schedule) | 9,071 | 9,071 | | |
| | 12 | **Total.** Add lines 1 through 11 | 84,773 | 106,158 | 75,702 | |
| 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 schedule) | 3,075 | 1,537 | | 1,538 |
| | c | Other professional fees (attach schedule) | | | | |
| | 17 | Interest | | | | |
| | 18 | Taxes (attach schedule) (see instructions) | 3,856 | | | |
| | 19 | Depreciation (attach schedule) and depletion | | | | |
| | 20 | Occupancy | | | | |
| | 21 | Travel, conferences, and meetings | | | | |
| | 22 | Printing and publications | | | | |
| | 23 | Other expenses (attach schedule) | 22,856 | 22,715 | | 141 |
| | 24 | **Total operating and administrative expenses.** Add lines 13 through 23 | 29,787 | 24,252 | | 1,679 |
| | 25 | Contributions, gifts, grants paid | 148,450 | | | 148,450 |
| | 26 | **Total expenses and disbursements.** Add lines 24 and 25 | 178,237 | 24,252 | | 150,129 |
| | 27 | Subtract line 26 from line 12 | | | | |
| | a | **Excess of revenue over expenses and disbursements** | -93,464 | | | |
| | b | **Net investment income** (if negative, enter -0-) | | 81,906 | | |
| | c | **Adjusted net income** (if negative, enter -0-) | | | 75,702 | |

**Part II** **Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions )

| | Line | Description | Beginning of year (a) Book Value | End of year (b) Book Value | End of year (c) Fair Market Value |
|---|---|---|---|---|---|
| Assets | 1 | Cash—non-interest-bearing | 6,866 | 11,843 | 11,843 |
| | 2 | Savings and temporary cash investments | 193,645 | 174,516 | 174,516 |
| | 3 | Accounts receivable ▶ | | | |
| | | Less allowance for doubtful accounts ▶ | | | |
| | 4 | Pledges receivable ▶ | | | |
| | | Less allowance for doubtful accounts ▶ | | | |
| | 5 | Grants receivable | | | |
| | 6 | Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 15 of the instructions) | | | |
| | 7 | Other notes and loans receivable (attach schedule) ▶ | | | |
| | | Less allowance for doubtful accounts ▶ | 40,508 | 36,373 | 36,373 |
| | 8 | Inventories for sale or use | | | |
| | 9 | Prepaid expenses and deferred charges | 1,444 | 5,300 | 5,300 |
| | 10a | Investments—U S and state government obligations (attach schedule) | 41,548 | 40,979 | 48,463 |
| | b | Investments—corporate stock (attach schedule) | 2,148,317 | 2,060,837 | 2,181,423 |
| | c | Investments—corporate bonds (attach schedule) | | 30,399 | 30,863 |
| | 11 | Investments—land, buildings, and equipment basis ▶ | | | |
| | | Less accumulated depreciation (attach schedule) ▶ | | | |
| | 12 | Investments—mortgage loans | | | |
| | 13 | Investments—other (attach schedule) | | | |
| | 14 | Land, buildings, and equipment basis ▶ | | | |
| | | Less accumulated depreciation (attach schedule) ▶ | | | |
| | 15 | Other assets (describe ▶ ) | 471,429 | 443,934 | 443,934 |
| | 16 | **Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I) | 2,903,757 | 2,804,181 | 2,932,715 |
| Liabilities | 17 | Accounts payable and accrued expenses | | | |
| | 18 | Grants payable | | | |
| | 19 | Deferred revenue | | | |
| | 20 | Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 | Mortgages and other notes payable (attach schedule) | | | |
| | 22 | Other liabilities (describe ▶ ) | | | |
| | 23 | **Total liabilities** (add lines 17 through 22) | | 0 | |
| Net Assets or Fund Balances | | **Foundations that follow SFAS 117, check here** ▶ ☐ **and complete lines 24 through 26 and lines 30 and 31.** | | | |
| | 24 | Unrestricted | | | |
| | 25 | Temporarily restricted | | | |
| | 26 | Permanently restricted | | | |
| | | **Foundations that do not follow SFAS 117, check here** ▶ ☑ **and complete lines 27 through 31.** | | | |
| | 27 | Capital stock, trust principal, or current funds | 2,903,757 | 2,804,181 | |
| | 28 | Paid-in or capital surplus, or land, bldg , and equipment fund | | | |
| | 29 | Retained earnings, accumulated income, endowment, or other funds | | | |
| | 30 | **Total net assets or fund balances** (see page 17 of the instructions) | 2,903,757 | 2,804,181 | |
| | 31 | **Total liabilities and net assets/fund balances** (see page 17 of the instructions) | 2,903,757 | 2,804,181 | |

**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 | 2,903,757 |
| 2 | Enter amount from Part I, line 27a | 2 | -93,464 |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | 21,383 |
| 4 | Add lines 1, 2, and 3 | 4 | 2,831,676 |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | 27,495 |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 | 6 | 2,804,181 |

## Part IV Capital Gains and Losses for Tax on Investment Income

| | (a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b) How acquired P—Purchase D—Donation | (c) Date acquired (mo , day, yr ) | (d) Date sold (mo , day, yr ) |
|---|---|---|---|---|
| 1a | See Additional Data Table | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | See Additional Data Table | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

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

| | (i) F M V as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col (i) over col (j), if any | (l) Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h)) |
|---|---|---|---|---|
| a | See Additional Data Table | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

| | | | |
|---|---|---|---|
| 2 | Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 } | 2 | 21,385 |
| 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 | -334 |

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☑ No
If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

**1** Enter the appropriate amount in each column for each year, see page 18 of the instructions before making any entries

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col (b) divided by col (c)) |
|---|---|---|---|
| 2011 | 113,133 | 2,930,576 | 0 038604 |
| 2010 | 127,648 | 2,839,897 | 0 044948 |
| 2009 | 140,156 | 2,642,091 | 0 053047 |
| 2008 | 121,812 | 2,798,877 | 0 043522 |
| 2007 | 126,649 | 3,344,808 | 0 037864 |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d). | 2 | 0 217985 |
| 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 043597 |
| 4 | Enter the net value of noncharitable-use assets for 2012 from Part X, line 5. | 4 | 2,924,483 |
| 5 | Multiply line 4 by line 3. | 5 | 127,499 |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b). | 6 | 819 |
| 7 | Add lines 5 and 6. | 7 | 128,318 |
| 8 | Enter qualifying distributions from Part XII, line 4. | 8 | 150,129 |

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 page 18 of the instructions)

| | | | | | |
|---|---|---|---|---|---|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1<br>Date of ruling or determination letter ____________ **(attach copy of letter if necessary–see instructions)** | | | | |
| b | Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☑ and enter 1% of Part I, line 27b | | | 1 | 819 |
| c | All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b) | | | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | | | 2 | 0 |
| 3 | Add lines 1 and 2 | | | 3 | 819 |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | | | 4 | |
| 5 | **Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0- | | | 5 | 819 |
| 6 | Credits/Payments | | | | |
| a | 2012 estimated tax payments and 2011 overpayment credited to 2012 | 6a | 5,300 | | |
| 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 | 5,300 |
| 8 | Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached | | | 8 | |
| 9 | **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶ | | | 9 | |
| 10 | **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | | | 10 | 4,481 |
| 11 | Enter the amount of line 10 to be **Credited to 2013 estimated tax** ▶ 4,481 | **Refunded** ▶ | | 11 | |

## Part VII-A Statements Regarding Activities

| | | | Yes | No |
|---|---|---|---|---|
| 1a | During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | 1a | | No |
| b | Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? | 1b | | No |
| | *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 | | No |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year **(1)** On the foundation ▶ $ ________ **(2)** On foundation managers ▶ $ ________ | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ________ | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.* | 2 | | No |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes* | 3 | | No |
| 4a | Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | | No |
| b | If "Yes," has it filed a tax return on **Form 990-T** for this year? | 4b | | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.* | 5 | | No |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either<br>• By language in the governing instrument, or<br>• By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | 6 | | No |
| 7 | Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV* | 7 | Yes | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ ________ | | | |
| b | If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? *If "No," attach explanation* | 8b | Yes | |
| 9 | Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? *If "Yes," complete Part XIV* | 9 | | No |
| 10 | Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses* | 10 | | No |

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

| | | | 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** | | **No** |
| **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** | | **No** |
| **13** | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | **13** | **Yes** | |

Website address ▶N/A

**14** The books are in care of ▶PATRICIA REBMANN Telephone no ▶(716) 532-4531

Located at ▶RICHARDSON RD COLLINS NY ZIP+4 ▶14034

**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** | | **No** |

See 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

| | | | Yes | No |
|---|---|---|---|---|
| | **File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.** | | **Yes** | **No** |
| **1a** | During the year did the foundation (either directly or indirectly) | | | |
| | **(1)** Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☑ No | | | |
| | **(2)** Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☑ No | | | |
| | **(3)** Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☑ No | | | |
| | **(4)** Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☑ No | | | |
| | **(5)** Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☑ No | | | |
| | **(6)** Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days ). ☐ Yes ☑ No | | | |
| **b** | If any answer is "Yes" to 1a(1)–(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? | **1b** | | |
| | 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? | **1c** | | **No** |
| **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 ). | **2b** | | |
| **c** | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ 20____ , 20____ , 20____ , 20____ | | | |
| **3a** | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ 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.)*. | **3b** | | |
| **4a** | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | **4a** | | **No** |
| **b** | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2012? | **4b** | | **No** |

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

| | | | | |
|---|---|---|---|---|
| **5a** | During the year did the foundation pay or incur any amount to | | | |
| | **(1)** Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☑ No | | | |
| | **(2)** Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☑ No | | | |
| | **(3)** Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☑ No | | | |
| | **(4)** Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ Yes ☑ No | | | |
| | **(5)** Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☑ No | | | |
| **b** | If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)? | **5b** | | |
| | Organizations relying on a current notice regarding disaster assistance check here ▶ ☐ | | | |
| **c** | If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No | | | |
| | *If "Yes," attach the statement required by Regulations section 53.4945–5(d).* | | | |
| **6a** | Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☑ No | | | |
| **b** | Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | **6b** | | No |
| | *If "Yes" to 6b, file Form 8870.* | | | |
| **7a** | At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☑ No | | | |
| **b** | If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? | **7b** | | |

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

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

| **(a)** Name and address | **(b)** Title, and average hours per week devoted to position | **(c)** Compensation **(If not paid, enter -0-)** | **(d)** Contributions to employee benefit plans and deferred compensation | **(e)** Expense account, other allowances |
|---|---|---|---|---|
| See Additional Data Table | | | | |
| | | | | |
| | | | | |
| | | | | |

**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 ▶ | 0 |

**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 . . . . . . . . . . . . . ▶ | | 0 |

**Part IX-A** **Summary of Direct Charitable Activities**

| List the foundation's four largest direct charitable activities during the tax year Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc | Expenses |
|---|---|
| **1** | |
| **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** | |
| **2** | |
| All other program-related investments See page 24 of the instructions | |
| **3** | |
| **Total.** Add lines 1 through 3 . . . . . . . . . . . . . . . . . . . . . . . . ▶ | |

**Part X** **Minimum Investment Return** (All domestic foundations must complete this part. Foreign foundations, see 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 | 2,273,446 |
| b | Average of monthly cash balances | 1b | 196,078 |
| c | Fair market value of all other assets (see instructions) | 1c | 499,494 |
| d | **Total** (add lines 1a, b, and c) | 1d | 2,969,018 |
| 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 | 2,969,018 |
| 4 | Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 44,535 |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 2,924,483 |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 146,224 |

**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 | 146,224 |
| 2a | Tax on investment income for 2012 from Part VI, line 5 | 2a | 819 | | |
| b | Income tax for 2012 (This does not include the tax from Part VI ) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 819 |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1 | | | 3 | 145,405 |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | |
| 5 | Add lines 3 and 4 | | | 5 | 145,405 |
| 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 | 145,405 |

**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 | 150,129 |
| b | Program-related investments—total from Part IX-B | 1b | |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes | 2 | |
| 3 | Amounts set aside for specific charitable projects that satisfy the | | |
| a | Suitability test (prior IRS approval required) | 3a | |
| b | Cash distribution test (attach the required schedule) | 3b | |
| 4 | **Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 150,129 |
| 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 | 819 |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 149,310 |

**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 | | | | 145,405 |
| **2** Undistributed income, if any, as of the end of 2012 | | | | |
| **a** Enter amount for 2011 only. . . . . . . | | | | |
| **b** Total for prior years 20___ , 20___ , 20___ | | | | |
| **3** Excess distributions carryover, if any, to 2012 | | | | |
| **a** From 2007. . . . . . . | | | | |
| **b** From 2008. . . . . . . | | | | |
| **c** From 2009. . . . . . . | | | | |
| **d** From 2010. . . . . . . | | | | |
| **e** From 2011. . . . . . . 22,730 | | | | |
| **f** **Total** of lines 3a through e. . . . . . . . . . | 22,730 | | | |
| **4** Qualifying distributions for 2012 from Part XII, line 4 ▶ $ 150,129 | | | | |
| **a** Applied to 2011, but not more than line 2a | | | | |
| **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. . . . . | | | | 122,675 |
| **e** Remaining amount distributed out of corpus | 27,454 | | | |
| **5** Excess distributions carryover applied to 2012 *(If an amount appears in column (d), the same amount must be shown in column (a).)* | 22,730 | | | 22,730 |
| **6** **Enter the net total of each column as indicated below:** | | | | |
| **a** Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 27,454 | | | |
| **b** Prior years' undistributed income Subtract line 4b from line 2b . . . . . . . . . . . . | | | | |
| **c** Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed. . . . . . | | | | |
| **d** Subtract line 6c from line 6b Taxable amount —see instructions . . . . . . . . . . . . | | | | |
| **e** Undistributed income for 2011 Subtract line 4a from line 2a Taxable amount—see instructions . . . . . . . . . . . . . . . | | | | |
| **f** Undistributed income for 2012 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2013 . . . . . . . . . . . | | | | 0 |
| **7** Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions) . . . . . . . . . . . . . | | | | |
| **8** Excess distributions carryover from 2007 not applied on line 5 or line 7 (see instructions) . . . | | | | |
| **9** **Excess distributions carryover to 2013.** Subtract lines 7 and 8 from line 6a . . . . . . | 27,454 | | | |
| **10** Analysis of line 9 | | | | |
| **a** Excess from 2008. . . . | | | | |
| **b** Excess from 2009. . . . | | | | |
| **c** Excess from 2010. . . . | | | | |
| **d** Excess from 2011. . . . | | | | |
| **e** Excess from 2012. . . . 27,454 | | | | |

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

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

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

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

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

DANIEL GERNATT SR

**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 of the person to whom applications should be addressed

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

**c** Any submission deadlines

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

**Part XV Supplementary Information** (continued)

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

| Recipient<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| See Additional Data Table | | | | |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 148,450 |
| **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 ) |
|---|---|---|---|---|---|
| 1 Program service revenue | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 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 | 7,902 | |
| 4 Dividends and interest from securities. . . . | | | 14 | 67,800 | |
| 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 | | | | | |
| 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). . | | | | 75,702 | |

13 **Total.** Add line 12, columns (b), (d), and (e). . . . . . . . . . . . . . . . . . . . . 13 75,702

(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 | 1a(1) | | No |
| | (2) Other assets | 1a(2) | | No |
| b | Other transactions | | | |
| | (1) Sales of assets to a noncharitable exempt organization | 1b(1) | | No |
| | (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | | No |
| | (3) Rental of facilities, equipment, or other assets | 1b(3) | | No |
| | (4) Reimbursement arrangements | 1b(4) | | No |
| | (5) Loans or loan guarantees | 1b(5) | | No |
| | (6) Performance of services or membership or fundraising solicitations | 1b(6) | | No |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | | No |

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

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

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

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

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

**Sign Here**

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

| ****** | 2013-05-07 | ****** |
|---|---|---|
| Signature of officer or trustee | Date | Title |

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

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's Signature | Date | Check if self-employed ☐ | PTIN |
|---|---|---|---|---|
| KENNETH S FRANK CPA | KENNETH S FRANK CPA | 2013-05-10 | | |

| | | |
|---|---|---|
| Firm's name ▶ | RA MERCER & CO PC | Firm's EIN ▶ |
| Firm's address ▶ | 12250 OLEAN ROAD PO BOX 218<br>SARDINIA, NY 14134 | Phone no (716) 496-5028 |

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

| **(a)** List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co ) | **(b)** How acquired P—Purchase D—Donation | **(c)** Date acquired (mo , day, yr ) | **(d)** Date sold (mo , day, yr ) |
|---|---|---|---|
| MORGAN STANLEY CP TR A/C 475-80578-16 | P | 2012-04-03 | 2012-05-07 |
| MORGAN STANLEY A/C 475-09880-18 ST | P | 2012-01-24 | 2012-03-19 |
| MORGAN STANLEY A/C 475-09887-11 ST | P | 2011-08-10 | 2012-02-28 |
| MORGAN STANLEY A/C 475-09887-11 LT | P | 2009-12-10 | 2012-04-24 |
| MORGAN STANLEY A/C 803-107607-507 ST | P | 2011-09-16 | 2012-08-13 |
| MORGAN STANLEY A/C 803-107607-507 LT | P | 2011-02-08 | 2012-09-25 |
| MORGAN STANLEY A/C 803-111039-009 ST | P | 2012-02-16 | 2012-05-18 |
| MORGAN STANLEY A/C 803-111039-009 LT | P | 2011-05-17 | 2012-05-18 |
| MORGAN STANLEY A/C 803-107614-009 ST | P | 2012-05-02 | 2012-12-18 |
| MORGAN STANLEY A/C 803-107614-009 LT | P | 2006-08-30 | 2012-09-20 |

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

| **(e)** Gross sales price | **(f)** Depreciation allowed (or allowable) | **(g)** Cost or other basis plus expense of sale | **(h)** Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|
| 9 | 0 | 9 | 0 |
| 46,324 | 0 | 56,212 | -9,888 |
| 4,082 | 0 | 3,555 | 527 |
| 17,736 | 0 | 14,323 | 3,413 |
| 53,480 | 0 | 43,098 | 10,382 |
| 146,258 | 0 | 120,238 | 26,020 |
| 1,636 | 0 | 1,504 | 132 |
| 17,392 | 0 | 10,494 | 6,898 |
| 45,686 | 0 | 47,173 | -1,487 |
| 664,571 | 0 | 679,183 | -14,612 |

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

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | **(l)** Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h)) |
|---|---|---|---|
| **(i)** F M V as of 12/31/69 | **(j)** Adjusted basis as of 12/31/69 | **(k)** Excess of col (i) over col (j), if any | |
| 0 | 0 | 0 | 0 |
| 0 | 0 | 0 | -9,888 |
| 0 | 0 | 0 | 527 |
| 0 | 0 | 0 | 3,413 |
| 0 | 0 | 0 | 10,382 |
| 0 | 0 | 0 | 26,020 |
| 0 | 0 | 0 | 132 |
| 0 | 0 | 0 | 6,898 |
| 0 | 0 | 0 | -1,487 |
| 0 | 0 | 0 | -14,612 |

**Form 990PF Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation**

| **(a)** Name and address | **(b)** Title, and average hours per week devoted to position | **(c)** Compensation **(If not paid, enter -0-)** | **(d)** Contributions to employee benefit plans and deferred compensation | **(e)** Expense account, other allowances |
|---|---|---|---|---|
| DANIEL GERNATT SR<br>RICHARDSON RD<br>COLLINS,NY 14034 | TRUSTEE<br>1 00 | 0 | 0 | 0 |
| DANIEL GERNATT JR<br>RICHARDSON RD<br>COLLINS,NY 14034 | TRUSTEE<br>1 00 | 0 | 0 | 0 |
| PATRICIA REBMANN<br>RICHARDSON RD<br>COLLINS,NY 14034 | TRUSTEE<br>5 00 | 0 | 0 | 0 |
| PHYLLIS ULMER<br>RICHARDSON RD<br>COLLINS,NY 14034 | TRUSTEE<br>1 00 | 0 | 0 | 0 |
| CYNTHIA PEGLOWSKI<br>RICHARDSON RD<br>COLLINS,NY 14034 | TRUSTEE<br>1 00 | 0 | 0 | 0 |

**Form 990PF Part XV Line 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* | | | | |
| ST JOSEPHS SCHOOL MAIN STREET<br>GOWANDA, NY 14070 | | PUBLICCHARITY | TUITIONEDUCATIONALASSISTANCE | 15,000 |
| HEALTHY COMMUNITY ALLIANCE INC 1 SCHOOL STREET<br>GOWANDA, NY 14070 | | PUBLICCHARITY | BUILDINGACADEMY PLACEPROJECT | 1,500 |
| LOVE INC 100 MEMORIAL DRIVE<br>GOWANDA, NY 14070 | | PUBLICCHARITY | ASSISTANCE FORCHARITABLE-NEEDY FAMILIES | 20,000 |
| LOVE INC OF SPRINGVILLE NY PO BOX 156<br>SPRINGVILLE, NY 14141 | | PUBLICCHARITY | ASSISTANCE FORCHARITABLE-NEEDY FAMILIES | 25,000 |
| CATHOLIC CHARITIES OF BUFFALO NY 525 WASHINGTON ST<br>BUFFALO, NY 14203 | | PUBLICCHARITY | NEEDYCHARITABLE-FAMILIES | 15,000 |
| TRI-COUNTY CRISIS PREGNANCY CENTER 17 S WATER STREET<br>GOWANDA, NY 14070 | | PUBLICCHARITY | TO PREGNANTASSISTANCEWOMEN | 4,000 |
| ST VINCENT DEPAUL SOCIETY 8462 LAKESHORE RD<br>ANGOLA, NY 14006 | | PUBLICCHARITY | TO POOR ANDASSISTANCEHOMELESS | 30,000 |
| FRANCISCAN CENTER 1910 SENECA ST<br>BUFFALO, NY 14210 | | PUBLICCHARITY | HOMELESS YOUNGASSISTANCE TOMEN | 3,500 |
| CANISIUS COLLEGE 2001 MAIN STREET<br>BUFFALO, NY 14208 | | PUBLICCHARITY | TUITIONASSISTANCE | 4,000 |
| LITTLE PORTION FRIARY 1305 MAIN STREET<br>BUFFALO, NY 14209 | | PUBLICCHARITY | ASSISTANCE TOHOMELESS | 2,000 |
| KNIGHTS OF COLUMBUS 26 ERIE AVENUE<br>GOWANDA, NY 14070 | | PUBLICCHARITY | ASSISTANCE TONEEDY | 3,500 |
| CHRIST THE KING SEMINARY 795 MAIN STREET<br>BUFFALO, NY 14203 | | PUBLICCHARITY | ASSISTANCE TONEEDY | 4,000 |
| CHERRY CREEK COMMUNITY ASSOCIATION MAIN STREET<br>CHERRY CREEK, NY 14723 | | PUBLICCHARITY | COMMUNITYIMPROVEMENT | 950 |
| GOWANDA AREA SPORTS MAIN STREET<br>GOWANDA, NY 14070 | | PUBLICCHARITY | COMMUNITYIMPROVEMENT | 2,000 |
| IMMACULATA ACADEMY 5138 SOUTH PARK AVENUE<br>HAMBURG, NY 14075 | | PUBLICCHARITY | TUITIONASSISTANCE | 18,000 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ 3a | | | | 148,450 |

# TY 2012 Accounting Fees Schedule

**Name:** DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

**EIN:** 22-2914177

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| R A MERCER & CO TAX PREPARATION | 3,075 | 1,537 | | 1,538 |

# TY 2012 Investments Corporate Bonds Schedule

**Name:** DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

**EIN:** 22-2914177

| Name of Bond | End of Year Book Value | End of Year Fair Market Value |
|---|---|---|
| see attached statement | 30,399 | 30,863 |

| efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93491130001303 |
|---|---|---|

# TY 2012 Investments Corporate Stock Schedule

**Name:** DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

**EIN:** 22-2914177

| Name of Stock | End of Year Book Value | End of Year Fair Market Value |
|---|---|---|
| see attached statement | 2,060,837 | 2,181,423 |

# TY 2012 Investments Government Obligations Schedule

| | |
|---|---|
| **Name:** | DANIEL & FLAVIA GERNATT FAMILY FOUNDATION |
| **EIN:** | 22-2914177 |
| **US Government Securities - End of Year Book Value:** | 40,979 |
| **US Government Securities - End of Year Fair Market Value:** | 48,463 |
| **State & Local Government Securities - End of Year Book Value:** | |
| **State & Local Government Securities - End of Year Fair Market Value:** | |

# TY 2012 Other Assets Schedule

**Name:** DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

**EIN:** 22-2914177

| Description | Beginning of Year - Book Value | End of Year - Book Value | End of Year - Fair Market Value |
|---|---|---|---|
| CASH SURRENDER VALUE LIFE INSURANCE | 471,429 | 443,934 | 443,934 |

# TY 2012 Other Assets Schedule

**Name:** DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

**EIN:** 22-2914177

| Description | Beginning of Year - Book Value | End of Year - Book Value | End of Year - Fair Market Value |
|---|---|---|---|
| CASH SURRENDER VALUE LIFE INSURANCE | 471,429 | 443,934 | 443,934 |

# TY 2012 Other Assets Schedule

**Name:** DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

**EIN:** 22-2914177

| Description | Beginning of Year - Book Value | End of Year - Book Value | End of Year - Fair Market Value |
|---|---|---|---|
| CASH SURRENDER VALUE LIFE INSURANCE | 471,429 | 443,934 | 443,934 |

# TY 2012 Other Decreases Schedule

**Name:** DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

**EIN:** 22-2914177

| Description | Amount |
| --- | --- |
| DECREASE LIFE INSURANCE CASH VALUE | 27,495 |

# TY 2012 Other Expenses Schedule

**Name:** DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

**EIN:** 22-2914177

| Description | Revenue and Expenses per Books | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| ADVERTISING | 16 | | | 16 |
| NYS FILING FEES | 250 | 125 | | 125 |
| FOREIGN TAXES PAID | 843 | 843 | | |
| INVESTMENT ADVISORY FEES | 21,747 | 21,747 | | |

# TY 2012 Other Income Schedule

**Name:** DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

**EIN:** 22-2914177

| Description | Revenue And Expenses Per Books | Net Investment Income | Adjusted Net Income |
|---|---|---|---|
| MISCELLANEOUS REBATES | 178 | 178 | |
| CAPITAL GAIN DISTRIBUTIONS | 8,893 | 8,893 | |

# TY 2012 Other Increases Schedule

**Name:** DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

**EIN:** 22-2914177

| Description | Amount |
|---|---|
| CAPITAL GAINS ON STOCK SALES | 21,383 |

# TY 2012 Taxes Schedule

**Name:** DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

**EIN:** 22-2914177

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| FEDERAL TAXES | 3,856 | | | |

*THE DANIEL & FLAVIA GERNATT*
*Account Number 475-09880-18 507*

## Details of Earnings 2012 - *continued*

***Dividends and Distributions, Section 1***

| Reference number | Description | Total dividends | Qualified dividends | Short term capital gains | Total capital gain distributions | Unrecaptured Sec 1250 gain | Section 1202 gain | Alternative minimum tax |
|---|---|---|---|---|---|---|---|---|
| 160001500 | 742718109000 PROCTER & GAMBLE CO | $ 210.00 | $ 210.00 | | | | | |
| 160001600 | 88579Y101000 3M COMPANY | 236.00 | 236.00 | | | | | |
| 160001700 | 92343V104000 VERIZON COMMUNICATIONS | 700.00 | 700 00 | | | | | |
| **Totals** | | **$ 5,073 03** | **$ 5,073.00** | | | | | |

## Details of Short Term Gain (Loss) 2012

*This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than $20 is not included on Form 1099-B (if applicable), it is included in this section Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor*

| Reference number | Quantity | Security Description | Opening Trade Date | Closing Trade Date | Sale Proceeds | Cost | (Loss) | Gain |
|---|---|---|---|---|---|---|---|---|
| 125000010 | -7 | CALL T JAN 12 @ 30.00 AT&T INC 100 SHS EXP 01/21/2012 | 12/20/11 | 01/05/12 | $ 34 99 | $ 267 26 | ($ 232 27) | |
| 125000020 | -7 | CALL T FEB 12 @ 31.00 AT&T INC 100 SHS EXP 02/18/2012 | 01/05/12 | 01/30/12 | 167.99 | 28 00 | | 139 99 |
| 125000030 | -7 | CALL T MAR 12 @ 30 00 AT&T INC 100 SHS EXP 03/17/2012 | 01/30/12 | 03/12/12 | 174 71 | 1,077 09 | (902 38) | |
| 125000040 | -3 | CALL T MAR 12 @ 31 00 AT&T INC 100 SHS EXP 03/17/2012 | 01/31/12 | 03/16/12 | 29 99 | 189.00 | (159.01) | |
| 125000050 | -7 | CALL T APR 12 @ 31 00 AT&T INC 100 SHS EXP 04/21/2012 | 03/12/12 | 04/03/12 | 524 99 | 357.00 | | 167 99 |

2012 YEAR END SUMMARY

# 2012 Year End Summary

*THE DANIEL & FLAVIA GERNATT*

*Account Number 475-09880-18 507*

## Details of Short Term Gain (Loss) 2012 - *continued*

| Reference number | Quantity | Security Description | Opening Trade Date | Closing Trade Date | Sale Proceeds | Cost | (Loss) | Gain |
|---|---|---|---|---|---|---|---|---|
| 125000060 | -3 | CALL T APR 12 @ 32.00<br>AT&T INC<br>100 SHS | 03/16/12 | 04/23/12 | 63.65 | | | 63.65 |
| 125000070 | -3 | CALL CVX JAN 12 @ 105.00<br>CHEVRON CORP<br>100 SHS<br>EXP 01/21/2012 | 12/20/11 | 01/20/12 | 590.98 | 568.17 | | 22.81 |
| 125000080 | -3 | CALL CVX FEB 12 @ 110.00<br>CHEVRON CORP<br>100 SHS | 01/20/12 | 02/21/12 | 284.99 | | | 284.99 |
| 125000090 | -3 | CALL CVX APR 12 @ 110.00<br>CHEVRON CORP<br>100 SHS | 02/23/12 | 04/23/12 | 683.98 | | | 683.98 |
| 125000100 | -5 | CALL KO JAN 12 @ 70.00<br>COCA-COLA CO<br>100 SHS | 12/20/11 | 01/23/12 | 215.74 | | | 215.74 |
| 125000110 | -5 | CALL KO MAR 12 @ 70 00<br>COCA-COLA CO<br>100 SHS<br>EXP 03/17/2012 | 01/24/12 | 03/16/12 | 206 84 | 75.00 | | 131.84 |
| 125000120 | -5 | CALL KO APR 12 @ 72.50<br>COCA-COLA CO<br>100 SHS<br>EXP 04/21/2012 | 03/16/12 | 04/18/12 | 104.99 | 856 10 | (751.11) | |
| 125000130 | -6 | CALL DD JAN 12 @ 47.00<br>E I DU PONT DE NEMOURS & CO<br>100 SHS<br>EXP 01/21/2012 | 12/20/11 | 01/18/12 | 287.99 | 1,501.86 | (1,213.87) | |
| 125000140 | -6 | CALL DD FEB 12 @ 49 00<br>E I DU PONT DE NEMOURS & CO<br>100 SHS<br>EXP 02/18/2012 | 01/18/12 | 02/06/12 | 869.98 | 1,704.00 | (834.02) | |
| 125000150 | -6 | CALL DD MAR 12 @ 50.00<br>E I DU PONT DE NEMOURS & CO<br>100 SHS<br>EXP 03/17/2012 | 02/06/12 | 03/15/12 | 1,294.71 | 1,980.00 | (685.29) | |

2012 YEAR END SUMMARY

THE DANIEL & FLAVIA GERNATT
Account Number 475-09880-18 507

## Details of Short Term Gain (Loss) 2012 - *continued*

| Reference number | Quantity | Security Description | Opening Trade Date | Closing Trade Date | Sale Proceeds | Cost | (Loss) | Gain |
|---|---|---|---|---|---|---|---|---|
| 125000160 | -6 | CALL DD APR 12 @ 52.50<br>E I DU PONT DE NEMOURS & CO<br>100 SHS<br>EXP 04/21/2012 | 03/15/12 | 04/20/12 | $ 1,037.98 | $ 185 64 | | $ 852 34 |
| 125000170 | -7 | CALL GE FEB 12 @ 18.00<br>GENERAL ELECTRIC CO<br>100 SHS<br>EXP 02/18/2012 | 12/20/11 | 02/14/12 | 240 72 | 679.00 | (438.28) | |
| 125000180 | -7 | CALL GE MAR 12 @ 19.00<br>GENERAL ELECTRIC CO<br>100 SHS<br>EXP 03/17/2012 | 02/14/12 | 02/22/12 | 258.99 | 329.00 | (70 01) | |
| 125000190 | -7 | CALL GE APR 12 @ 20.00<br>GENERAL ELECTRIC CO<br>100 SHS | 02/22/12 | 04/23/12 | 181.99 | | | 181.99 |
| 125000200 | -7 | CALL HD FEB 12 @ 42.00<br>HOME DEPOT INC<br>100 SHS<br>EXP 02/18/2012 | 12/16/11 | 02/14/12 | 614.79 | 2,800.00 | (2,185.21) | |
| 125000210 | -7 | CALL HD MAR 12 @ 43.00<br>HOME DEPOT INC<br>100 SHS<br>EXP 03/17/2012 | 02/14/12 | 03/05/12 | 2,170.44 | 3,095.19 | (924.75) | |
| 125000220 | -1 | CALL INTC JAN 12 @ 26.00<br>INTEL CORP<br>100 SHS<br>EXP 01/21/2012 | 10/20/11 | 01/20/12 | 44.99 | 38 00 | | 6 99 |
| 125000230 | -4 | CALL INTC JAN 12 @ 25.00<br>INTEL CORP<br>100 SHS<br>EXP 01/21/2012 | 12/20/11 | 01/20/12 | 111.99 | 441.92 | (329.93) | |
| 125000240 | -4 | CALL INTC FEB 12 @ 26 00<br>INTEL CORP<br>100 SHS<br>EXP 02/18/2012 | 01/20/12 | 01/30/12 | 223.99 | 232.00 | (8.01) | |

2012 YEAR END SUMMARY

# 2012 Year End Summary

*THE DANIEL & FLAVIA GERNATT*
*Account Number 475-09880-18 507*

## Details of Short Term Gain (Loss) 2012 - *continued*

| Reference number | Quantity | Security Description | Opening Trade Date | Closing Trade Date | Sale Proceeds | Cost | (Loss) | Gain |
|---|---|---|---|---|---|---|---|---|
| 125000250 | -1 | CALL INTC FEB 12 @ 27.00 INTEL CORP 100 SHS EXP 02/18/2012 | 01/20/12 | 02/17/12 | $ 22.99 | $ 48 00 | ($ 25.01) | |
| 125000260 | -4 | CALL INTC MAR 12 @ 27.00 INTEL CORP 100 SHS EXP 03/17/2012 | 01/30/12 | 03/15/12 | 164.99 | 312 04 | (147.05) | |
| 125000270 | -1 | CALL INTC MAR 12 @ 28.00 INTEL CORP 100 SHS | 02/17/12 | 03/19/12 | 33.87 | | | 33.87 |
| 125000280 | -4 | CALL INTC APR 12 @ 28 00 INTEL CORP 100 SHS | 03/15/12 | 04/23/12 | 243 99 | | | 243.99 |
| 125000290 | -4 | CALL JPM JAN 12 @ 36.00 JPMORGAN CHASE & CO 100 SHS EXP 01/21/2012 | 12/27/11 | 01/19/12 | 79.99 | 433.00 | (353.01) | |
| 125000300 | -4 | CALL JPM FEB 12 @ 39.00 JPMORGAN CHASE & CO 100 SHS | 01/19/12 | 02/21/12 | 183.99 | | | 183.99 |
| 125000310 | -4 | CALL JPM MAR 12 @ 39.00 JPMORGAN CHASE & CO 100 SHS EXP 03/17/2012 | 01/31/12 | 03/12/12 | 312.03 | 696.00 | (383.97) | |
| 125000320 | -4<br>-4 | CALL JPM APR 12 @ 40.00 JPMORGAN CHASE & CO 100 SHS EXP 04/21/2012 | 02/23/12<br>03/12/12 | 03/20/12 | 267.99<br>643.98 | 2,113.68<br>2,113.68 | (1,845.69)<br>(1,469.70) | |
| 125000330 | -8 | CALL JPM MAY 12 @ 42.00 JPMORGAN CHASE & CO 100 SHS EXP 05/19/2012 | 03/20/12 | 03/26/12 | 2,959.94 | 3,480.00 | (520.06) | |
| 125000340 | -5 | CALL JNJ JAN 12 @ 67.50 JOHNSON & JOHNSON 100 SHS | 12/20/11 | 01/23/12 | 41.89 | | | 41.89 |

2012 YEAR END SUMMARY

*THE DANIEL & FLAVIA GERNATT*

*Account Number 475-09880-18 507*

## Details of Short Term Gain (Loss) 2012 - continued

| Reference number | Quantity | Security Description | Opening Trade Date | Closing Trade Date | Sale Proceeds | Cost | (Loss) | Gain |
|---|---|---|---|---|---|---|---|---|
| 125000350 | -5 | CALL JNJ MAR 12 @ 67.50<br>JOHNSON & JOHNSON<br>100 SHS | 01/24/12 | 03/19/12 | 68.59 | | | 68.59 |
| 125000360 | -6 | CALL KFT JAN 12 @ 38.00<br>KRAFT FOODS INC CLASS A<br>100 SHS<br>EXP 01/21/2012 | 12/20/11 | 01/19/12 | 53 99 | 493.56 | (439.57) | |
| 125000370 | -6 | CALL KFT FEB 12 @ 39.00<br>KRAFT FOODS INC CLASS A<br>100 SHS | 01/19/12 | 02/21/12 | 242 69 | | | 242.69 |
| 125000380 | -6 | CALL KFT APR 12 @ 39.00<br>KRAFT FOODS INC CLASS A<br>100 SHS | 02/23/12 | 04/23/12 | 126.59 | | | 126.59 |
| 125000390 | -4 | CALL MCD JAN 12 @ 95.00<br>MCDONALDS CORP<br>100 SHS<br>EXP 01/21/2012 | 12/12/11 | 01/12/12 | 1,599.96 | 2,180.00 | (580.04) | |
| 125000400 | -4 | CALL MCD FEB 12 @ 97.50<br>MCDONALDS CORP<br>100 SHS<br>EXP 02/18/2012 | 01/12/12 | 02/14/12 | 1,579.96 | 792.00 | | 787.96 |
| 125000410 | -4 | CALL MCD MAR 12 @ 100.00<br>MCDONALDS CORP<br>100 SHS | 02/14/12 | 03/19/12 | 447.99 | | | 447.99 |
| 125000420 | -6 | CALL MRK JAN 12 @ 38.00<br>MERCK & CO INC NEW<br>100 SHS<br>EXP 01/21/2012 | 12/16/11 | 01/17/12 | 133.85 | 554.64 | (420.79) | |
| 125000430 | -6 | CALL MRK FEB 12 @ 40.00<br>MERCK & CO INC NEW<br>100 SHS | 01/17/12 | 02/21/12 | 189.23 | | | 189.23 |
| 125000440 | -6 | CALL MRK APR 12 @ 40.00<br>MERCK & CO INC NEW<br>100 SHS | 02/23/12 | 04/23/12 | 105.47 | | | 105 47 |
| 125000450 | -6 | CALL PFE JAN 12 @ 22.50<br>PFIZER INC<br>100 SHS | 12/21/11 | 01/23/12 | 89.93 | | | 89.93 |

*THE DANIEL & FLAVIA GERNATT*
*Account Number 475-09880-18 507*

## Details of Short Term Gain (Loss) 2012 - *continued*

| Reference number | Quantity | Security Description | Opening Trade Date | Closing Trade Date | Sale Proceeds | Cost | (Loss) | Gain |
|---|---|---|---|---|---|---|---|---|
| 125000460 | -6 | CALL PFE MAR 12 @ 23 00<br>PFIZER INC<br>100 SHS<br>EXP 03/17/2012 | 01/24/12 | 03/06/12 | $ 53.99 | $ 12 00 | | $ 41.99 |
| 125000470 | -6 | CALL PFE MAY 12 @ 22.00<br>PFIZER INC<br>100 SHS<br>EXP 05/19/2012 | 03/08/12 | 04/30/12 | 251.75 | 552 00 | (300.25) | |
| 125000480 | 400 | PROCTER & GAMBLE CO<br>MorganStanley SmithBarney LLC<br>acted as your agent<br>in this transaction. | 02/07/11 | 01/31/12 | 25,214.51 | 25,811.24 | (596.73) | |
| 125000490 | -4 | CALL PG JAN 12 @ 67 50<br>PROCTER & GAMBLE CO<br>100 SHS | 12/20/11 | 01/23/12 | 110 51 | | | 110 51 |
| 125000500 | -4 | CALL MMM JAN 12 @ 85 00<br>3M COMPANY<br>100 SHS<br>EXP 01/21/2012 | 12/20/11 | 01/20/12 | 143 99 | 192 36 | (48 37) | |
| 125000510 | -4 | CALL MMM FEB 12 @ 90 00<br>3M COMPANY<br>100 SHS | 01/20/12 | 02/21/12 | 144.99 | | | 144.99 |
| 125000520 | -4 | CALL MMM APR 12 @ 92.50<br>3M COMPANY<br>100 SHS<br>EXP 04/21/2012 | 02/23/12 | 04/04/12 | 199.99 | 24.00 | | 175 99 |
| 125000530 | -7 | CALL VZ JAN 12 @ 40.00<br>VERIZON COMMUNICATIONS<br>100 SHS | 12/20/11 | 01/23/12 | 137.19 | | | 137 19 |
| 125000540 | -7 | CALL VZ MAR 12 @ 40 00<br>VERIZON COMMUNICATIONS<br>100 SHS | 01/24/12 | 03/19/12 | 50.81 | | | 50.81 |
| **Total** | | | | | **$ 46,324.03** | **$ 56,212.43** | **($ 15,864.38)** | **$ 5,975.98** |

# 2012 Year End Summary

THE DANIEL & FLAVIA GERNATT
Account Number 475-09887-11 002

## Details of Short Term Gain (Loss) 2012

*This section shows your sales of securities during the year The "Sale Proceeds" column excludes any accrued income you may have received In addition, although cash in lieu less than $20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.*

| Reference number | Quantity | Security Description | Opening Trade Date | Closing Trade Date | Sale Proceeds | Cost | (Loss) | Gain |
|---|---|---|---|---|---|---|---|---|
| 125000020 | 4 | BAKER HUGHES INC MorganStanley SmithBarney LLC acted as your agent in this transaction | 08/11/11 | 03/02/12 | $ 196 18 | $ 234 31 | ($ 38 13) | |
| 125000140 | 44<br>8 | INTERNATIONAL PAPER CO MorganStanley SmithBarney LLC acted as your agent in this transaction. | 05/06/11<br>06/16/11 | 02/29/12 | 1,547 71<br>281.40 | 1,412 44<br>215.81 | | 135 27<br>65 59 |
| 125000230 | 6 | NORTHROP GRUMMAN CORP MorganStanley SmithBarney LLC acted as your agent in this transaction | 05/03/11 | 02/03/12 | 350.05 | 388 77 | (38.72) | |
| 125000240 | .1579 | PHILLIPS 66 CASH IN LIEU OF .50000 RECORD 04/16/12 PAY 04/30/12 | 05/03/11 | 05/01/12 | 4 75 | 5.38 | (.63) | |
| 125000250 | 27 | QUALCOMM INC MorganStanley SmithBarney LLC acted as your agent in this transaction | 08/10/11 | 02/28/12 | 1,701 83 | 1,298.65 | | 403.18 |
| **Total** | | | | | $ 4,081 92 | $ 3,555 36 | ($ 77 48) | $ 604 04 |

2012 YEAR END SUMMARY

# 2012 Year End Summary

*THE DANIEL & FLAVIA GERNATT*
*Account Number 475-09887-11 002*

## Details of Long Term Gain (Loss) 2012

*This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than $20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.*

| Reference number | Quantity | Security Description | Opening Trade Date | Closing Trade Date | Sale Proceeds | Cost | (Loss) | Gain |
|---|---|---|---|---|---|---|---|---|
| 125000010 | 5 | BAKER HUGHES INC | 12/10/09 | 01/17/12 | $ 239.43 | $ 195.44 | | $ 43.99 |
| | | MorganStanley SmithBarney LLC acted as your agent in this transaction. | | | | | | |
| 125000020 | 13 | BAKER HUGHES INC | 12/10/09 | 03/02/12 | 637.58 | 508.16 | | 129.42 |
| | 9 | MorganStanley SmithBarney LLC acted as your agent in this transaction | 06/02/10 | | 441.40 | 354 23 | | 87.17 |
| 125000030 | 14 | CHUBB CORP | 12/10/09 | 03/27/12 | 965.47 | 676.58 | | 288.89 |
| | | MorganStanley SmithBarney LLC acted as your agent in this transaction. | | | | | | |
| 125000040 | 78 | CISCO SYS INC | 12/10/09 | 04/10/12 | 1,526.83 | 1,860.30 | (333.47) | |
| | | MorganStanley SmithBarney LLC acted as your agent in this transaction. | | | | | | |
| 125000050 | 11 | CONOCOPHILLIPS | 12/10/09 | 04/11/12 | 809.77 | 559.11 | | 250.66 |
| | 1 | MorganStanley SmithBarney LLC acted as your agent in this transaction. | 12/30/09 | | 73.61 | 50.88 | | 22.73 |
| 125000060 | 1 | CONOCOPHILLIPS | 12/30/09 | 04/12/12 | 74.02 | 50.88 | | 23.14 |
| | | MorganStanley SmithBarney LLC acted as your agent in this transaction. | | | | | | |
| 125000070 | 11 | CONOCOPHILLIPS | 12/30/09 | 04/13/12 | 814.04 | 559.69 | | 254.35 |
| | 3 | MorganStanley SmithBarney LLC | 01/08/10 | | 222.01 | 158.96 | | 63.05 |
| | 1 | acted as your agent | 01/22/10 | | 74.00 | 50.92 | | 23.08 |
| | 3 | in this transaction. | 02/08/10 | | 222.02 | 142.65 | | 79.37 |
| 125000080 | 7 | EBAY INC | 12/10/09 | 03/07/12 | 248.84 | 157.27 | | 91.57 |
| | | MorganStanley SmithBarney LLC acted as your agent in this transaction. | | | | | | |

2012 YEAR END SUMMARY

## Details of Long Term Gain (Loss) 2012 - *continued*

| Reference number | Quantity | Security Description | Opening Trade Date | Closing Trade Date | Sale Proceeds | Cost | (Loss) | Gain |
|---|---|---|---|---|---|---|---|---|
| 125000090 | 3 | EBAY INC MorganStanley SmithBarney LLC acted as your agent in this transaction. | 12/10/09 | 03/07/12 | $ 106 64 | $ 67.40 | | $ 39 24 |
| 125000100 | 11 | EBAY INC MorganStanley SmithBarney LLC acted as your agent in this transaction. | 12/10/09 | 03/08/12 | 393.52 | 247 14 | | 146.38 |
| 125000110 | 7 | EBAY INC MorganStanley SmithBarney LLC acted as your agent in this transaction. | 12/10/09 | 03/08/12 | 250.42 | 157.27 | | 93 15 |
| 125000120 | 7 | EBAY INC MorganStanley SmithBarney LLC acted as your agent in this transaction. | 12/10/09 | 04/10/12 | 248 82 | 157.27 | | 91.55 |
| 125000130 | 9 | GAP INC DELAWARE MorganStanley SmithBarney LLC acted as your agent in this transaction. | 12/10/09 | 04/25/12 | 250.55 | 189.98 | | 60.57 |
| 125000150 | 3 | JONES LANG LASALLE INC MorganStanley SmithBarney LLC acted as your agent in this transaction. | 12/10/09 | 03/22/12 | 250 32 | 160.74 | | 89.58 |
| 125000160 | 9 | MCDONALDS CORP | 03/08/10 | 03/09/12 | 874.28 | 585.34 | | 288 94 |
| | 7 | MorganStanley SmithBarney LLC acted as your agent in this transaction. | 07/27/10 | | 680 00 | 494.31 | | 185.69 |
| 125000170 | 45 | MICROSOFT CORP MorganStanley SmithBarney LLC acted as your agent in this transaction. | 12/10/09 | 04/10/12 | 1,367.98 | 1,345.49 | | 22.49 |
| 125000180 | 4 | NOBLE ENERGY INC | 06/29/10 | 03/30/12 | 391 95 | 242.04 | | 149.91 |
| | 4 | MorganStanley SmithBarney LLC acted as your agent in this transaction. | 06/30/10 | | 391 94 | 241.76 | | 150.18 |

2012 YEAR END SUMMARY

Morgan Stanley



Ref: 00001333 00034094

# 2012 Year End Summary

*THE DANIEL & FLAVIA GERNATT*
*Account Number 475-09887-11 002*

## Details of Long Term Gain (Loss) 2012 - *continued*

| Reference number | Quantity | Security Description | Opening Trade Date | Closing Trade Date | Sale Proceeds | Cost | (Loss) | Gain |
|---|---|---|---|---|---|---|---|---|
| 125000190 | 1 | NOBLE ENERGY INC MorganStanley SmithBarney LLC acted as your agent in this transaction. | 06/30/10 | 03/30/12 | $ 97.98 | $ 60 44 | | $ 37 54 |
| 125000200 | 2 | NOBLE ENERGY INC MorganStanley SmithBarney LLC acted as your agent in this transaction. | 07/01/10 | 04/10/12 | 186.27 | 121 43 | | 64 84 |
| 125000210 | 5 | NOBLE ENERGY INC MorganStanley SmithBarney LLC acted as your agent in this transaction | 07/02/10 | 04/11/12 | 462.42 | 310 81 | | 151.61 |
| 125000220 | 18 | NORTHROP GRUMMAN CORP MorganStanley SmithBarney LLC acted as your agent in this transaction | 12/10/09 | 02/02/12 | 1,052 99 | 888.58 | | 164.41 |
| 125000230 | 9 | NORTHROP GRUMMAN CORP | 12/10/09 | 02/03/12 | 525 07 | 444.29 | | 80 78 |
| | 3 | MorganStanley SmithBarney LLC | 01/08/10 | | 175 02 | 155.30 | | 19 72 |
| | 2 | acted as your agent | 01/22/10 | | 116 68 | 101.02 | | 15 66 |
| | 1 | in this transaction. | 02/22/10 | | 58 34 | 56.02 | | 2 32 |
| 125000240 | 0263 | PHILLIPS 66 | 02/08/10 | 05/01/12 | 79 | 57 | | 22 |
| | 079 | CASH IN LIEU OF .50000 | 02/22/10 | | 2 37 | 1 77 | | .60 |
| | .2368 | RECORD 04/16/12 PAY 04/30/12 | 03/02/11 | | 7.11 | 8 48 | (1 37) | |
| 125000260 | 26 | TEXAS INSTRUMENTS INC MorganStanley SmithBarney LLC acted as your agent in this transaction | 12/10/09 | 04/10/12 | 827 18 | 673.30 | | 153 88 |
| 125000270 | 6 | UNITED TECHNOLOGIES CORP | 12/10/09 | 03/19/12 | 510.06 | 406 91 | | 103 15 |
| | 3 | MorganStanley SmithBarney LLC | 01/08/10 | | 255.03 | 211 22 | | 43.81 |
| | 2 | acted as your agent | 01/22/10 | | 170.02 | 138.92 | | 31.10 |
| | 3 | in this transaction. | 02/08/10 | | 255.03 | 197.24 | | 57.79 |
| | 2 | | 02/16/10 | | 170.02 | 132.47 | | 37.55 |
| | 1 | | 02/22/10 | | 85.01 | 68.62 | | 16.39 |
| 125000280 | 34 | WASTE MGMT INC DEL MorganStanley SmithBarney LLC acted as your agent in this transaction | 12/10/09 | 04/24/12 | 1,223.06 | 1,131.81 | | 91.25 |
| **Total** | | | | | **$ 17,735 89** | **$ 14,323.01** | **($ 334.84)** | **$ 3,747.72** |

2012 YEAR END SUMMARY

Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2012**

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION
PBG YPO
2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

Morgan Stanley Smith Barney Holdings LLC
Harborside Financial Center
Plaza 2 2nd Floor
Jersey City, NJ 07311
Identification Number: 26-4310632

Taxpayer ID Number: 22-2914177
Account Number. 803 107607 507

**Customer Service: 866-324-6088**

**This information is NOT being furnished to the Internal Revenue Service. It is provided to you for informational purposes only.**

## 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS — OMB NO. 1545-0715

### Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

### Short Term - Covered Securities

(Consider Box 6b (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| HOME DEPOT INC | CUSIP: 437076102 | | Symbol (Box 1d): HD | | | | | |
| | 500 000 | 06/05/12 | 09/25/12 | $30,022.27 | $24,415.80 | $0.00 | $5,606.47 | $0 00 |
| **Total Short Term Covered Securities** | | | | **$30,022.27** | **$24,415.80** | **$0.00** | **$5,606.47** | **$0.00** |

### Short Term - Noncovered Securities #

(Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part I with box B checked.)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| AT&T INC | CUSIP: 00206R102 | | Symbol (Box 1d): T | | | | | |
| | 100 000 | 09/16/11 | 08/13/12 | $3,654 63 | $2,869 78 | $0 00 | $784 85 | $0 00 |
| | 300.000 | 01/31/12 | 08/13/12 | $10,963.87 | $8,852.25 | $0.00 | $2,111.62 | $0.00 |
| **Security Subtotal** | **400.000** | | | **$14,618.50** | **$11,722.03** | **$0.00** | **$2,896.47** | **$0.00** |
| HOME DEPOT INC | CUSIP: 437076102 | | Symbol (Box 1d): HD | | | | | |
| | 100 000 | 09/16/11 | 05/25/12 | $4,812.64 | $3,467 78 | $0 00 | $1,344.86 | $0 00 |

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Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2012**

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION
PBG YPO
2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

Morgan Stanley Smith Barney Holdings LLC
Harborside Financial Center
Plaza 2 2nd Floor
Jersey City, NJ 07311
Identification Number 26-4310632

Taxpayer ID Number: 22-2914177
Account Number 803 107607 507

**Customer Service: 866-324-6088**

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## 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

### Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

**Short Term - Noncovered Securities** # (Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part I with box B checked.)
(Continued)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| KRAFT FOODS INC CL A | CUSIP: 50075N104 | Symbol (Box 1d): | | | | | | |
| | 100.000 | 09/16/11 | 08/13/12 | $4,026 45 | $3,492 80 | $0.00 | $533 65 | $0 00 |
| **Total Short Term Noncovered Securities** | | | | **$23,457.59** | **$18,682.61** | **$0.00** | **$4,774.98** | **$0.00** |
| **Total Short Term Covered and Noncovered Securities** | | | | **$53,479.86** | **$43,098.41** | **$0.00** | **$10,381.45** | **$0.00** |

**Long Term - Noncovered Securities** # (Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part II with box B checked )

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| AT&T INC | CUSIP: 00206R102 | Symbol (Box 1d): T | | | | | | |
| | 500 000 | 10/13/10 | 08/13/12 | $18,273 14 | $14,269 40 | $0.00 | $4,003.74 | $0 00 |
| | 100.000 | 03/23/11 | 08/13/12 | $3,654.63 | $2,807.78 | $0.00 | $846.85 | $0.00 |
| **Security Subtotal** | **600.000** | | | **$21,927.77** | **$17,077.18** | **$0.00** | **$4,850.59** | **$0.00** |
| COCA COLA CO | CUSIP: 191216100 | Symbol (Box 1d): KO | | | | | | |
| | 400 000 | 12/09/09 | 09/21/12 | $15,148 58 | $11,491 60 | $0.00 | $3,656 98 | $0 00 |
| | 600 000 | 10/13/10 | 09/21/12 | $22,722 87 | $17,966 40 | $0 00 | $4,756 47 | $0 00 |
| **Security Subtotal** | **1,000.000** | | | **$37,871.45** | **$29,458.00** | **$0.00** | **$8,413.45** | **$0.00** |
| HOME DEPOT INC | CUSIP: 437076102 | Symbol (Box 1d): HD | | | | | | |
| | 500 000 | 02/14/11 | 05/25/12 | $24,063 20 | $18,796 55 | $0.00 | $5,266 65 | $0.00 |
| | 100.000 | 03/23/11 | 05/25/12 | $4,812.64 | $3,639 60 | $0 00 | $1,173.04 | $0 00 |
| **Security Subtotal** | **600.000** | | | **$28,875.84** | **$22,436.15** | **$0.00** | **$6,439.69** | **$0.00** |

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Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2012**

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION
PBG YPO
2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

Morgan Stanley Smith Barney Holdings LLC
Harborside Financial Center
Plaza 2 2nd Floor
Jersey City, NJ 07311
Identification Number 26-4310632

Taxpayer ID Number 22-2914177
Account Number 803 107607 507

**Customer Service: 866-324-6088**

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## 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) — OMB NO. 1545-0715

### Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

### Long Term - Noncovered Securities # (Continued)

(Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part II with box B checked )

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| KRAFT FOODS INC CL A | CUSIP: 50075N104 | Symbol (Box 1d): | | | | | | |
| | 200.000 | 03/23/10 | 08/13/12 | $8,052.92 | $6,101 74 | $0 00 | $1,951 18 | $0.00 |
| | 300.000 | 10/13/10 | 08/13/12 | $12,079 38 | $9,457 80 | $0.00 | $2,621.58 | $0.00 |
| Security Subtotal | 500.000 | | | $20,132.30 | $15,559.54 | $0.00 | $4,572.76 | $0.00 |
| 3M COMPANY | CUSIP: 88579Y101 | Symbol (Box 1d): MMM | | | | | | |
| | 400 000 | 02/08/11 | 09/25/12 | $37,451 00 | $35,706 76 | $0.00 | $1,744 24 | $0 00 |
| **Total Long Term Noncovered Securities** | | | | $146,258.36 | $120,237.63 | $0.00 | $26,020.73 | $0.00 |
| **Total Short and Long Term, Covered and Noncovered Securities** | | | | $199,738.22 | $163,336.04 | $0.00 | $36,402.18 | $0.00 |

### Form 1099-B Total Reportable Amounts

| | | | | |
|---|---|---|---|---|
| Total Sales Price (Box 2) | $199,738.22 | | | |
| Total Cost or Other Basis (Box 3) | | $24,415.80 | | |
| Total Wash Sale Loss Disallowed (Box 5) | | | $0.00 | |
| Total Fed Tax Withheld (Box 4) | | | | $0.00 |

# Noncovered securities are not subject to the IRS cost basis reporting regulations, therefore their date of acquisition, cost basis, short or long term designation and any disallowed loss resulting from a wash sale will not be reported to the IRS.

Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2012**

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION
2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

Morgan Stanley Smith Barney Holdings LLC
Harborside Financial Center
Plaza 2 2nd Floor
Jersey City, NJ 07311
Identification Number 26-4310632

Taxpayer ID Number: 22-2914177
Account Number. 803 111039 009

**Customer Service: 866-324-6088**

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## 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

**OMB NO. 1545-0715**

### Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

**Short Term - Covered Securities** (Consider Box 6b (Basis Reported to IRS) as being checked for this section These transactions should be reported on Form 8949 Part I with box A checked.)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| COLGATE PALMOLIVE CO | CUSIP: 194162103 | | Symbol (Box 1d): CL | | | | | |
| | 4 035 | 05/15/12 | 05/18/12 | $399 88 | $399 00 | $0 00 | $0 88 | $0 00 |
| **Total Short Term Covered Securities** | | | | **$399.88** | **$399.00** | **$0.00** | **$0.88** | **$0.00** |

**Short Term - Noncovered Securities** # (Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part I with box B checked.)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| COLGATE PALMOLIVE CO | CUSIP: 194162103 | | Symbol (Box 1d): CL | | | | | |
| | 4 278 | 08/16/11 | 05/18/12 | $423 96 | $366 02 | $0 00 | $57 94 | $0 00 |
| | 4,183 | 11/16/11 | 05/18/12 | $414.55 | $368 50 | $0.00 | $46.05 | $0 00 |
| | 4 015 | 02/16/12 | 05/18/12 | $397 90 | $370.93 | $0.00 | $26.97 | $0.00 |
| Security Subtotal | 12,476 | | | $1,236.41 | $1,105.45 | $0.00 | $130.96 | $0.00 |
| **Total Short Term Noncovered Securities** | | | | **$1,236.41** | **$1,105.45** | **$0 00** | **$130.96** | **$0.00** |
| **Total Short Term Covered and Noncovered Securities** | | | | **$1,636.29** | **$1,504.45** | **$0.00** | **$131.84** | **$0.00** |

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Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2012**

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION
2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

Morgan Stanley Smith Barney Holdings LLC
Harborside Financial Center
Plaza 2 2nd Floor
Jersey City, NJ 07311
Identification Number: 26-4310632

Taxpayer ID Number: 22-2914177
Account Number: 803 111039 009

**Customer Service: 866-324-6088**

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## 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

### Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

### Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box B checked.)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| COLGATE PALMOLIVE CO | CUSIP: 194162103 | Symbol (Box 1d): CL | | | | | | |
| | 144 422 | 09/19/03 | 05/18/12 | $14,312.70 | $8,026 58 | $0.00 | $6,286.12 | $0 00 |
| | 3.718 | 08/17/09 | 05/18/12 | $368.47 | $264.00 | $0 00 | $104 47 | $0 00 |
| | 3.245 | 11/16/09 | 05/18/12 | $321.59 | $265.64 | $0.00 | $55 95 | $0.00 |
| | 3.297 | 02/17/10 | 05/18/12 | $326.74 | $267.06 | $0.00 | $59.68 | $0.00 |
| | 3.889 | 05/17/10 | 05/18/12 | $385 41 | $323 44 | $0 00 | $61.97 | $0 00 |
| | 4.282 | 08/16/10 | 05/18/12 | $424 36 | $325.50 | $0 00 | $98.86 | $0.00 |
| | 4.183 | 11/16/10 | 05/18/12 | $414.55 | $327.77 | $0.00 | $86.78 | $0.00 |

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Morgan Stanley

## Corporate Tax Statement
## Tax Year 2012

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION
2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

Morgan Stanley Smith Barney Holdings LLC
Harborside Financial Center
Plaza 2 2nd Floor
Jersey City, NJ 07311
Identification Number: 26-4310632

Taxpayer ID Number: 22-2914177
Account Number: 803 111039 009

**Customer Service: 866-324-6088**

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## 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

### Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

### Long Term - Noncovered Securities # (Continued)

(Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part II with box B checked )

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| COLGATE PALMOLIVE CO | 4.216 | 02/16/11 | 05/18/12 | $417.82 | $329.99 | $0.00 | $87.83 | $0.00 |
| | 4.237 | 05/17/11 | 05/18/12 | $419.90 | $363.56 | $0.00 | $56.34 | $0.00 |
| Security Subtotal | 175.489 | | | $17,391.54 | $10,493.54 | $0.00 | $6,898.00 | $0.00 |
| **Total Long Term Noncovered Securities** | | | | **$17,391.54** | **$10,493.54** | **$0.00** | **$6,898.00** | **$0.00** |
| **Total Short and Long Term, Covered and Noncovered Securities** | | | | **$19,027.83** | **$11,997.99** | **$0.00** | **$7,029.84** | **$0.00** |

### Form 1099-B Total Reportable Amounts

| | | | | | |
|---|---|---|---|---|---|
| **Total Sales Price (Box 2)** | **$19,027.83** | | | | |
| **Total Cost or Other Basis (Box 3)** | | **$399.00** | | | |
| **Total Wash Sale Loss Disallowed (Box 5)** | | | **$0.00** | | |
| **Total Fed Tax Withheld (Box 4)** | | | | | **$0.00** |

# Noncovered securities are not subject to the IRS cost basis reporting regulations, therefore their date of acquisition, cost basis, short or long term designation and any disallowed loss resulting from a wash sale will not be reported to the IRS.

Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2012**

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION
2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

Morgan Stanley Smith Barney Holdings LLC
Harborside Financial Center
Plaza 2 2nd Floor
Jersey City, NJ 07311
Identification Number: 26-4310632

Taxpayer ID Number 22-2914177
Account Number: 803 107614 009

**Customer Service: 866-324-6088**

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## 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS — OMB NO. 1545-0715

### Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

**Short Term - Covered Securities** (Consider Box 6b (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| EATON CORPORATION | CUSIP: 278058102 | Symbol (Box 1d): | | | | | | |
| | 50 000 | 11/29/12 | 12/03/12 | $2,582 75 | $2,596.50 | $0.00 | ($13 75) | $0.00 |
| GUGGENHEIM MNGD FUTRS STRAT H | CUSIP: 78356A491 | Symbol (Box 1d): RYMFX | | | | | | |
| | 221 802 | 08/24/12 | 11/29/12 | $4,664.51 | $4,872.98 | $0 00 | ($208 47) | $0 00 |
| HEWLETT PACKARD | CUSIP: 428236103 | Symbol (Box 1d): HPQ | | | | | | |
| | 18 000 | 08/24/12 | 11/20/12 | $211.12 | $318.39 | $0 00 | ($107 27) | $0 00 |
| ISHARES MSCI EMERGING MKTS FD | CUSIP: 464287234 | Symbol (Box 1d): EEM | | | | | | |
| | 258.000 | 08/24/12 | 11/29/12 | $10,789.78 | $10,371.01 | $0.00 | $418.77 | $0 00 |
| JP MORGAN HIBRG DYN COMM STRT | CUSIP: 48121A670 | Symbol (Box 1d): HDCSX | | | | | | |
| | 689.447 | 08/24/12 | 11/29/12 | $10,493 38 | $11,499 98 | $0.00 | ($1,006.60) | $0 00 |
| MORGAN STANLEY | CUSIP: 617446448 | Symbol (Box 1d): MS | | | | | | |
| | 24 000 | 08/24/12 | 11/21/12 | $391.00 | $351.07 | $0 00 | $39.93 | $0.00 |
| | 60.000 | 08/24/12 | 11/23/12 | $984.71 | $877.67 | $0.00 | $107.04 | $0.00 |
| **Security Subtotal** | 84.000 | | | $1,375.71 | $1,228.74 | $0.00 | $146.97 | $0.00 |
| STAPLES INC | CUSIP: 855030102 | Symbol (Box 1d): SPLS | | | | | | |
| | 64.000 | 08/24/12 | 12/10/12 | $715.01 | $701.44 | $0 00 | $13 57 | $0.00 |
| | 439.000 | 11/29/12 | 12/10/12 | $4,904.52 | $5,169.88 | $0.00 | ($265.36) | $0.00 |
| **Security Subtotal** | 503.000 | | | $5,619.53 | $5,871.32 | $0.00 | ($251.79) | $0.00 |
| **Total Short Term Covered Securities** | | | | **$35,736.78** | **$36,758.92** | **$0.00** | **($1,022.14)** | **$0.00** |

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**Corporate Tax Statement**
**Tax Year 2012**

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Identification Number: 26-4310632

Taxpayer ID Number 22-2914177
Account Number: 803 107614 009

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## 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) — OMB NO. 1545-0715

### Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

### Short Term - Noncovered Securities

# (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part I with box B checked )

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| EATON CORP PLC SHS | CUSIP: G29183103 | Symbol (Box 1d): ETN | | | | | | |
| | 78.000 | 12/03/12 | 12/10/12 | $4,063.45 | $4,029.09 | $0.00 | $34 36 | $0.00 |
| EATON CORPORATION | CUSIP: 278058102 | Symbol (Box 1d): | | | | | | |
| | 28.000 | 03/19/12 | 12/03/12 | $1,446.34 | $1,424.94 | $0.00 | $21.40 | $0.00 |
| ENGILITY HOLDINGS INC | CUSIP: 29285W104 | Symbol (Box 1d): EGL | | | | | | |
| | 0.000 | 07/17/12 | 07/17/12 | $5.42 | $0 00 | $0.00 | $5 42 | $0.00 |
| HEWLETT PACKARD | CUSIP: 428236103 | Symbol (Box 1d): HPQ | | | | | | |
| | 10.000 | 01/20/12 | 11/20/12 | $117.29 | $279 19 | $0.00 | ($161.90) | $0.00 |
| | 14.000 | 01/23/12 | 11/20/12 | $164.21 | $400.91 | $0 00 | ($236 70) | $0.00 |
| | 10.000 | 01/24/12 | 11/20/12 | $117.29 | $285.29 | $0.00 | ($168.00) | $0.00 |
| **Security Subtotal** | **34.000** | | | **$398.79** | **$965.39** | **$0.00** | **($566.60)** | **$0.00** |
| HUMAN GENOME SCIENCES INC | CUSIP: 444903108 | Symbol (Box 1d): HGSZZ | | | | | | |
| | 13.000 | 07/26/11 | 07/16/12 | $184 60 | $277.53 | $0 00 | ($92 93) | $0 00 |
| | 64.000 | 08/02/11 | 07/16/12 | $908.80 | $1,258.46 | $0.00 | ($349.66) | $0.00 |
| | 36 000 | 08/22/11 | 07/16/12 | $511.20 | $500 26 | $0 00 | $10.94 | $0.00 |
| | 103.000 | 02/16/12 | 07/16/12 | $1,462.59 | $976.63 | $0.00 | $485.96 | $0.00 |
| **Security Subtotal** | **216.000** | | | **$3,067.19** | **$3,012.88** | **$0.00** | **$54.31** | **$0.00** |
| LIBERTY INTER CO VENTURE SER A | CUSIP: 53071M880 | Symbol (Box 1d): LVNTA | | | | | | |
| | 0.000 | 08/15/12 | 08/15/12 | $32.66 | $0 00 | $0 00 | $32.66 | $0.00 |

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Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2012**

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Identification Number: 26-4310632

Taxpayer ID Number: 22-2914177
Account Number: 803 107614 009

**Customer Service: 866-324-6088**

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## 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

### Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

### Short Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part I with box B checked.) (Continued)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| REGIONS FINANCIAL CORP NEW | CUSIP: 7591EP100 | Symbol (Box 1d): RF | | | | | | |
| | 43 000 | 03/30/12 | 06/04/12 | $238.35 | $281.62 | $0 00 | ($43 27) | $0.00 |
| | 34.000 | 04/05/12 | 06/04/12 | $188.47 | $218 31 | $0.00 | ($29.84) | $0.00 |
| Security Subtotal | 77.000 | | | $426.82 | $499.93 | $0.00 | ($73.11) | $0.00 |
| SOUTHWESTERN ENERGY COMPANY | CUSIP: 845467109 | Symbol (Box 1d): SWN | | | | | | |
| | 6 000 | 05/01/12 | 12/18/12 | $203 24 | $195 77 | $0 00 | $7 47 | $0 00 |
| | 9.000 | 05/02/12 | 12/18/12 | $304.86 | $286.31 | $0.00 | $18.55 | $0.00 |
| Security Subtotal | 15.000 | | | $508.10 | $482.08 | $0.00 | $26.02 | $0.00 |
| **Total Short Term Noncovered Securities** | | | | **$9,948.77** | **$10,414.31** | **$0.00** | **($465.54)** | **$0.00** |
| **Total Short Term Covered and Noncovered Securities** | | | | **$45,685.55** | **$47,173.23** | **$0.00** | **($1,487.68)** | **$0.00** |

### Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part II with box B checked.)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| ABBOTT LABORATORIES | CUSIP: 002824100 | Symbol (Box 1d): ABT | | | | | | |
| | 32 000 | 12/10/09 | 10/18/12 | $2,104 18 | $1,729 21 | $0.00 | $374 97 | $0 00 |
| | 6 000 | 01/08/10 | 10/18/12 | $394 53 | $329 33 | $0.00 | $65 20 | $0 00 |
| | 2 000 | 01/22/10 | 10/18/12 | $131.51 | $109.74 | $0 00 | $21 77 | $0 00 |
| | 2.000 | 02/08/10 | 10/18/12 | $131.51 | $107 30 | $0 00 | $24.21 | $0.00 |
| | 3 000 | 02/16/10 | 10/18/12 | $197.27 | $163 74 | $0 00 | $33 53 | $0.00 |

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Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2012**

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION
2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

Morgan Stanley Smith Barney Holdings LLC
Harborside Financial Center
Plaza 2 2nd Floor
Jersey City, NJ 07311
Identification Number: 26-4310632

Taxpayer ID Number: 22-2914177
Account Number: 803 107614 009

**Customer Service: 866-324-6088**

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## 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

### Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

### Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part II with box B checked.) (Continued)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| ABBOTT LABORATORIES | 4 000 | 02/22/10 | 10/18/12 | $263.02 | $217.36 | $0.00 | $45.66 | $0.00 |
| | 4 000 | 11/09/10 | 10/18/12 | $263.02 | $201.46 | $0.00 | $61.56 | $0.00 |
| | 2.000 | 11/23/10 | 10/18/12 | $131.52 | $94.18 | $0.00 | $37.34 | $0.00 |
| **Security Subtotal** | **55.000** | | | **$3,616.56** | **$2,952.32** | **$0.00** | **$664.24** | **$0.00** |
| AMERICAN WA MUTUAL F2 | CUSIP: 939330825 | Symbol (Box 1d): WMFFX | | | | | | |
| | 2,138.513 | 12/10/09 | 11/29/12 | $66,700.20 | $52,630 96 | $0.00 | $13,869.24 | $0.00 |
| | 274.232 | 01/08/10 | 11/29/12 | $8,553.29 | $6,882.00 | $0.00 | $1,671.29 | $0.00 |
| | 115.826 | 01/22/10 | 11/29/12 | $3,612.61 | $2,808.00 | $0 00 | $804.61 | $0.00 |
| | 153.890 | 02/08/10 | 11/29/12 | $4,799.83 | $3,612.00 | $0.00 | $1,187.83 | $0.00 |
| | 141.341 | 02/16/10 | 11/29/12 | $4,408 42 | $3,428.00 | $0 00 | $980.42 | $0.00 |
| | 83.980 | 02/22/10 | 11/29/12 | $2,619.37 | $2,057.00 | $0.00 | $562.37 | $0.00 |
| **Security Subtotal** | **2,907.782** | | | **$90,693.72** | **$71,617.96** | **$0.00** | **$19,075.76** | **$0.00** |
| AT&T INC | CUSIP: 00206R102 | Symbol (Box 1d): T | | | | | | |
| | 26 000 | 12/10/09 | 06/13/12 | $906.35 | $720 62 | $0 00 | $185.73 | $0.00 |
| | 9.000 | 12/10/09 | 06/13/12 | $313.74 | $249 44 | $0.00 | $64.30 | $0.00 |
| | 3.000 | 12/10/09 | 06/13/12 | $104 58 | $83.14 | $0.00 | $21.44 | $0 00 |
| | 42 000 | 12/10/09 | 06/13/12 | $1,464 10 | $1,164.07 | $0 00 | $300.03 | $0 00 |
| | 10.000 | 12/10/09 | 10/25/12 | $344.86 | $277.16 | $0.00 | $67.70 | $0.00 |
| **Security Subtotal** | **90.000** | | | **$3,133.63** | **$2,494.43** | **$0.00** | **$639.20** | **$0.00** |
| AUTOMATIC DATA PROCESSING INC | CUSIP: 053015103 | Symbol (Box 1d): ADP | | | | | | |
| | 0 562 | 01/26/05 | 09/20/12 | $32.75 | $22.62 | $0.00 | $10.13 | $0.00 |
| BRISTOL MYERS SQUIBB CO | CUSIP: 110122108 | Symbol (Box 1d): BMY | | | | | | |
| | 75.000 | 12/10/09 | 07/03/12 | $2,636.10 | $1,917 53 | $0.00 | $718.57 | $0.00 |
| | 11.000 | 12/10/09 | 10/25/12 | $366.94 | $281.24 | $0.00 | $85 70 | $0.00 |

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**IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS**

**Corporate Tax Statement**
**Tax Year 2012**

THE DANIEL & FLAVIA GERNATT
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2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

Morgan Stanley Smith Barney Holdings LLC
Harborside Financial Center
Plaza 2 2nd Floor
Jersey City, NJ 07311
Identification Number: 26-4310632

Taxpayer ID Number: 22-2914177
Account Number: 803 107614 009

**Customer Service: 866-324-6088**

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## 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) — OMB NO. 1545-0715

### Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

**Long Term - Noncovered Securities** # (Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part II with box B checked )
**(Continued)**

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| BRISTOL MYERS SQUIBB CO | 15 000 | 01/08/10 | 10/25/12 | $500.37 | $371 68 | $0 00 | $128 69 | $0.00 |
| | 5.000 | 01/22/10 | 10/25/12 | $166.79 | $122.73 | $0.00 | $44.06 | $0.00 |
| | 3.000 | 02/08/10 | 10/25/12 | $100 07 | $72 14 | $0 00 | $27.93 | $0 00 |
| | 7.000 | 02/16/10 | 10/25/12 | $233.51 | $169 31 | $0 00 | $64.20 | $0.00 |
| | 4.000 | 02/22/10 | 10/25/12 | $133.43 | $98.83 | $0 00 | $34.60 | $0.00 |
| | 7.000 | 11/10/10 | 10/25/12 | $233 51 | $183 59 | $0.00 | $49.92 | $0 00 |
| | 1.000 | 12/06/10 | 10/25/12 | $33.36 | $25 83 | $0.00 | $7.53 | $0 00 |
| | 5.000 | 01/19/11 | 10/25/12 | $166.78 | $128.96 | $0.00 | $37.82 | $0.00 |
| **Security Subtotal** | **133.000** | | | **$4,570.86** | **$3,371.84** | **$0.00** | **$1,199.02** | **$0.00** |
| COMCAST CORP CL A SPECIAL NEW | **CUSIP:** 20030N200 | **Symbol (Box 1d):** CMCSK | | | | | | |
| | 4.000 | 12/10/09 | 08/15/12 | $133.19 | $66.75 | $0.00 | $66.44 | $0.00 |
| | 21 000 | 12/10/09 | 08/15/12 | $699 22 | $350 47 | $0.00 | $348 75 | $0 00 |
| | 54.000 | 12/10/09 | 08/15/12 | $1,798 00 | $901 21 | $0.00 | $896.79 | $0 00 |
| | 71.000 | 12/10/09 | 08/15/12 | $2,364.03 | $1,184.92 | $0.00 | $1,179.11 | $0.00 |
| **Security Subtotal** | **150.000** | | | **$4,994.44** | **$2,503.35** | **$0.00** | **$2,491.09** | **$0.00** |
| EBAY INC | **CUSIP:** 278642103 | **Symbol (Box 1d):** EBAY | | | | | | |
| | 10 000 | 12/10/09 | 12/13/12 | $508 68 | $224 67 | $0.00 | $284 01 | $0.00 |
| | 10.000 | 12/10/09 | 12/28/12 | $501.57 | $224.67 | $0.00 | $276.90 | $0 00 |
| | 5.000 | 12/21/09 | 12/31/12 | $250.84 | $114.45 | $0.00 | $136.39 | $0.00 |
| **Security Subtotal** | **25.000** | | | **$1,261.09** | **$563.79** | **$0.00** | **$697.30** | **$0.00** |
| ENGILITY HOLDINGS INC | **CUSIP:** 29285W104 | **Symbol (Box 1d):** EGL | | | | | | |
| | 8.000 | 12/10/09 | 07/19/12 | $140 72 | $136 52 | $0.00 | $4.20 | $0.00 |
| | 2.000 | 05/03/11 | 07/19/12 | $35.18 | $39.17 | $0.00 | ($3.99) | $0.00 |
| **Security Subtotal** | **10.000** | | | **$175.90** | **$175.69** | **$0.00** | **$0.21** | **$0.00** |

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Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2012**

THE DANIEL & FLAVIA GERNATT
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GOWANDA NY 14070-9767

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Identification Number: 26-4310632

Taxpayer ID Number: 22-2914177
Account Number: 803 107614 009

**Customer Service: 866-324-6088**

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## 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) — OMB NO. 1545-0715

### Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

### Long Term - Noncovered Securities # (Continued)

(Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part II with box B checked.)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| FRANKLIN REAL RETURN ADV | **CUSIP:** 353612716 | **Symbol (Box 1d):** FARRX | | | | | | |
| | 5,020.627 | 05/03/11 | 11/29/12 | $54,775.04 | $57,687.00 | $0.00 | ($2,911.96) | $0 00 |
| FRANKLIN RESOURCES INC | **CUSIP:** 354613101 | **Symbol (Box 1d):** BEN | | | | | | |
| | 3 000 | 12/10/09 | 12/31/12 | $376.02 | $326.49 | $0.00 | $49.53 | $0 00 |
| GAP INC | **CUSIP:** 364760108 | **Symbol (Box 1d):** GPS | | | | | | |
| | 11.000 | 12/10/09 | 08/30/12 | $399.31 | $232.19 | $0.00 | $167.12 | $0.00 |
| | 7 000 | 12/10/09 | 09/04/12 | $251.29 | $147.76 | $0.00 | $103.53 | $0.00 |
| | 4.000 | 12/10/09 | 12/05/12 | $126.01 | $84.43 | $0.00 | $41.58 | $0.00 |
| | 5.000 | 01/08/10 | 12/05/12 | $157.51 | $101.70 | $0.00 | $55.81 | $0.00 |
| **Security Subtotal** | **27.000** | | | **$934.12** | **$566.08** | **$0.00** | **$368.04** | **$0.00** |
| GENERAL ELECTRIC CO | **CUSIP:** 369604103 | **Symbol (Box 1d):** GE | | | | | | |
| | 0 506 | 07/28/09 | 09/20/12 | $11.23 | $6.22 | $0.00 | $5 01 | $0.00 |
| GOLDMAN SACHS ABSLT RET TRCK I | **CUSIP:** 38145N220 | **Symbol (Box 1d):** GJRTX | | | | | | |
| | 16,611.518 | 05/03/11 | 11/29/12 | $151,164 81 | $158,640 00 | $0 00 | ($7,475.19) | $0.00 |
| GREENHILL & CO INC | **CUSIP:** 395259104 | **Symbol (Box 1d):** GHL | | | | | | |
| | 5 000 | 07/15/11 | 12/31/12 | $260.00 | $256 86 | $0 00 | $3 14 | $0.00 |
| | 2.000 | 07/21/11 | 12/31/12 | $104.00 | $95 99 | $0.00 | $8 01 | $0.00 |
| | 2.000 | 07/25/11 | 12/31/12 | $104.00 | $95 85 | $0.00 | $8 15 | $0 00 |
| | 4.000 | 07/26/11 | 12/31/12 | $208.00 | $191.97 | $0.00 | $16.03 | $0.00 |
| **Security Subtotal** | **13.000** | | | **$676.00** | **$640.67** | **$0.00** | **$35.33** | **$0.00** |
| GUGGENHEIM MNGD FUTRS STRAT H | **CUSIP:** 78356A491 | **Symbol (Box 1d):** RYMFX | | | | | | |
| | 2,174.406 | 05/03/11 | 11/29/12 | $45,727.74 | $57,686.99 | $0.00 | ($11,959.25) | $0.00 |

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Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2012**

THE DANIEL & FLAVIA GERNATT
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## 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

### Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

**Long Term - Noncovered Securities** # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box B checked.)
(Continued)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| HOME DEPOT INC | CUSIP: 437076102 | Symbol (Box 1d): HD | | | | | | |
| | 18.000 | 12/10/09 | 07/02/12 | $951 82 | $502 86 | $0.00 | $448 96 | $0 00 |
| | 4.000 | 12/10/09 | 07/02/12 | $211.51 | $111.75 | $0 00 | $99.76 | $0 00 |
| | 12.000 | 12/10/09 | 07/02/12 | $634 54 | $335 25 | $0.00 | $299.29 | $0.00 |
| | 4.000 | 12/10/09 | 07/03/12 | $206.14 | $111 75 | $0 00 | $94.39 | $0 00 |
| | 12.000 | 12/10/09 | 07/03/12 | $618.44 | $335.25 | $0.00 | $283.19 | $0 00 |
| | 3.000 | 01/08/10 | 07/03/12 | $154.61 | $86.81 | $0.00 | $67.80 | $0 00 |
| | 4 000 | 01/08/10 | 07/03/12 | $206.15 | $115.75 | $0.00 | $90.40 | $0.00 |
| | 1.000 | 01/22/10 | 07/03/12 | $51.54 | $27.80 | $0.00 | $23.74 | $0 00 |
| | 2.000 | 01/22/10 | 07/03/12 | $103.07 | $55.59 | $0.00 | $47.48 | $0 00 |
| | 2.000 | 02/16/10 | 07/03/12 | $103.07 | $58.89 | $0.00 | $44.18 | $0 00 |
| | 2 000 | 02/22/10 | 07/03/12 | $103.07 | $60.84 | $0.00 | $42.23 | $0 00 |
| | 2.000 | 05/04/11 | 07/03/12 | $103.07 | $74.42 | $0.00 | $28.65 | $0 00 |
| | 3 000 | 05/04/11 | 07/03/12 | $154.61 | $111.63 | $0.00 | $42.98 | $0.00 |
| | 2.000 | 06/13/11 | 07/03/12 | $103.09 | $67.24 | $0.00 | $35.85 | $0.00 |
| **Security Subtotal** | **71.000** | | | **$3,704.73** | **$2,055.83** | **$0.00** | **$1,648.90** | **$0.00** |
| HUMAN GENOME SCIENCES INC | CUSIP: 444903108 | Symbol (Box 1d): HGSZZ | | | | | | |
| | 49.000 | 02/28/11 | 07/16/12 | $695.80 | $1,225.00 | $0 00 | ($529.20) | $0.00 |
| ISHARES BARCLAYS AGG.BD FD | CUSIP: 464287226 | Symbol (Box 1d): AGG | | | | | | |
| | 286.000 | 12/10/09 | 11/29/12 | $32,104 07 | $29,969.23 | $0 00 | $2,134.84 | $0.00 |
| | 54.000 | 01/08/10 | 11/29/12 | $6,061.61 | $5,601.34 | $0.00 | $460.27 | $0.00 |
| | 8.000 | 01/22/10 | 11/29/12 | $898.02 | $836 70 | $0 00 | $61.32 | $0.00 |
| | 6 000 | 02/08/10 | 11/29/12 | $673 51 | $627.17 | $0 00 | $46.34 | $0.00 |

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Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2012**

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## 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

### Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

### Long Term - Noncovered Securities # (Continued)

(Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box B checked )

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|---|---|---|---|---|---|---|---|---|
| ISHARES BARCLAYS AGG BD FD | 28 000 | 02/16/10 | 11/29/12 | $3,143 06 | $2,916 41 | $0.00 | $226.65 | $0 00 |
| | 26.000 | 02/22/10 | 11/29/12 | $2,918.54 | $2,699.50 | $0.00 | $219.04 | $0.00 |
| **Security Subtotal** | **408.000** | | | **$45,798.81** | **$42,650.35** | **$0.00** | **$3,148.46** | **$0.00** |
| ISHARES COHEN&STEERS RL MJR FD | **CUSIP:** 464287564 | **Symbol (Box 1d):** ICF | | | | | | |
| | 0.777 | 09/01/09 | 09/20/12 | $62.56 | $34.19 | $0.00 | $28.37 | $0 00 |
| ISHARES MSCI EMERGING MKTS FD | **CUSIP:** 464287234 | **Symbol (Box 1d):** EEM | | | | | | |
| | 1,417.000 | 12/10/09 | 11/29/12 | $59,260.16 | $58,221 70 | $0.00 | $1,038 46 | $0.00 |
| | 175 000 | 01/08/10 | 11/29/12 | $7,318.65 | $7,550.64 | $0.00 | ($231 99) | $0 00 |
| | 237.000 | 01/22/10 | 11/29/12 | $9,911 54 | $9,425 25 | $0.00 | $486 29 | $0 00 |
| | 233 000 | 02/08/10 | 11/29/12 | $9,744 26 | $8,613 31 | $0.00 | $1,130.95 | $0 00 |
| | 147 000 | 02/22/10 | 11/29/12 | $6,147.67 | $5,809 15 | $0.00 | $338 52 | $0.00 |
| **Security Subtotal** | **2,209.000** | | | **$92,382.28** | **$89,620.05** | **$0.00** | **$2,762.23** | **$0.00** |
| JOHNSON & JOHNSON | **CUSIP:** 478160104 | **Symbol (Box 1d):** JNJ | | | | | | |
| | 0 417 | 10/30/07 | 09/20/12 | $28.53 | $27.50 | $0.00 | $1.03 | $0 00 |
| JP MORGAN HIBRG DYN COMM STRT | **CUSIP:** 48121A670 | **Symbol (Box 1d):** HDCSX | | | | | | |
| | 3,271.733 | 05/03/11 | 11/29/12 | $49,795.78 | $72,109.00 | $0.00 | ($22,313 22) | $0 00 |
| JPMORGAN CHASE & CO | **CUSIP:** 46625H100 | **Symbol (Box 1d):** JPM | | | | | | |
| | 5 000 | 12/10/09 | 05/11/12 | $185.78 | $205.14 | $0.00 | ($19 36) | $0.00 |
| | 5.000 | 12/10/09 | 05/11/12 | $185.78 | $205.14 | $0.00 | ($19 36) | $0.00 |
| | 2.000 | 12/10/09 | 05/11/12 | $74.40 | $82.06 | $0.00 | ($7 66) | $0 00 |
| | 21.000 | 12/10/09 | 05/11/12 | $781 24 | $861.60 | $0.00 | ($80 36) | $0 00 |
| | 3 000 | 01/08/10 | 05/11/12 | $111.61 | $133.40 | $0.00 | ($21 79) | $0 00 |
| | 1.000 | 01/08/10 | 05/11/12 | $37.16 | $44.47 | $0.00 | ($7 31) | $0 00 |

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Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2012**

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## 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

### Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

### Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part II with box B checked ) (Continued)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| JPMORGAN CHASE & CO | 2 000 | 01/22/10 | 05/11/12 | $74.31 | $78.07 | $0 00 | ($3 76) | $0.00 |
| | 14 000 | 01/22/10 | 05/11/12 | $520.18 | $546 52 | $0 00 | ($26 34) | $0.00 |
| | 6.000 | 02/08/10 | 05/11/12 | $222.93 | $226.55 | $0 00 | ($3.62) | $0.00 |
| | 3.000 | 02/16/10 | 05/11/12 | $111 47 | $120.23 | $0 00 | ($8.76) | $0.00 |
| | 3.000 | 02/22/10 | 05/11/12 | $111.47 | $123 35 | $0.00 | ($11 88) | $0.00 |
| | 1.000 | 11/18/10 | 05/11/12 | $37.15 | $39 46 | $0 00 | ($2.31) | $0.00 |
| | 3.000 | 11/18/10 | 05/25/12 | $101.53 | $118 38 | $0.00 | ($16 85) | $0 00 |
| | 1.000 | 11/18/10 | 05/25/12 | $33.85 | $39.46 | $0.00 | ($5.61) | $0.00 |
| **Security Subtotal** | **70.000** | | | **$2,588.86** | **$2,823.83** | **$0.00** | **($234.97)** | **$0.00** |
| KEYCORP NEW | **CUSIP:** 493267108 | | **Symbol (Box 1d):** KEY | | | | | |
| | 51 000 | 12/10/09 | 06/04/12 | $349 67 | $298 66 | $0.00 | $51.01 | $0 00 |
| KIMBERLY CLARK CORP | **CUSIP:** 494368103 | | **Symbol (Box 1d):** KMB | | | | | |
| | 23.000 | 06/25/03 | 07/17/12 | $1,972.52 | $1,205 92 | $0.00 | $766 60 | $0.00 |
| | 0.800 | 07/06/09 | 09/20/12 | $67.50 | $42.41 | $0.00 | $25.09 | $0.00 |
| **Security Subtotal** | **23.800** | | | **$2,040.02** | **$1,248.33** | **$0.00** | **$791.69** | **$0.00** |
| LIBERTY INTER CO VENTURE SER A | **CUSIP:** 53071M880 | | **Symbol (Box 1d):** LVNTA | | | | | |
| | 6 000 | 12/10/09 | 08/17/12 | $250.86 | $144.95 | $0.00 | $105 91 | $0.00 |
| | 1.000 | 01/22/10 | 08/17/12 | $41.81 | $16.18 | $0.00 | $25.63 | $0.00 |
| **Security Subtotal** | **7.000** | | | **$292.67** | **$161.13** | **$0.00** | **$131.54** | **$0.00** |
| LIBERTY VENTURES RT 10 9 12 | **CUSIP:** 53071M112 | | **Symbol (Box 1d):** | | | | | |
| | 3 000 | 12/10/09 | 09/14/12 | $41.70 | $13 85 | $0 00 | $27.85 | $0.00 |
| MATTEL INC | **CUSIP:** 577081102 | | **Symbol (Box 1d):** MAT | | | | | |
| | 7.000 | 12/10/09 | 07/02/12 | $227 20 | $138.74 | $0 00 | $88 46 | $0.00 |

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**Corporate Tax Statement**
**Tax Year 2012**

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION
2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

Morgan Stanley Smith Barney Holdings LLC
Harborside Financial Center
Plaza 2 2nd Floor
Jersey City, NJ 07311
Identification Number. 26-4310632

Taxpayer ID Number: 22-2914177
Account Number: 803 107614 009

**Customer Service: 866-324-6088**

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## 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

### Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

### Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part II with box B checked) (Continued)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| MICROSOFT CORP | CUSIP: 594918104 | Symbol (Box 1d): MSFT | | | | | | |
| | 12.000 | 12/10/09 | 11/14/12 | $324 02 | $358.80 | $0 00 | ($34.78) | $0.00 |
| | 3.000 | 12/10/09 | 11/14/12 | $81.01 | $89 70 | $0 00 | ($8 69) | $0.00 |
| | 4.000 | 01/08/10 | 11/14/12 | $108 01 | $123.15 | $0 00 | ($15 14) | $0 00 |
| | 1.000 | 01/22/10 | 11/14/12 | $27 00 | $29 02 | $0 00 | ($2.02) | $0 00 |
| | 34.000 | 12/10/09 | 12/13/12 | $918.36 | $1,016.59 | $0.00 | ($98.23) | $0.00 |
| Security Subtotal | 54.000 | | | $1,458.40 | $1,617.26 | $0.00 | ($158.86) | $0.00 |
| MORGAN STANLEY | CUSIP: 617446448 | Symbol (Box 1d): MS | | | | | | |
| | 16.000 | 12/10/09 | 11/20/12 | $261.64 | $483.20 | $0.00 | ($221 56) | $0 00 |
| | 3 000 | 12/31/09 | 11/20/12 | $49.06 | $88.93 | $0.00 | ($39.87) | $0.00 |
| | 4.000 | 01/08/10 | 11/20/12 | $65.41 | $128.51 | $0.00 | ($63.10) | $0 00 |
| | 7.000 | 01/13/10 | 11/20/12 | $114.47 | $217.53 | $0.00 | ($103 06) | $0.00 |
| | 19.000 | 01/21/10 | 11/20/12 | $310.69 | $563.67 | $0.00 | ($252.98) | $0.00 |
| | 18.000 | 01/21/10 | 11/20/12 | $294.34 | $534.01 | $0.00 | ($239.67) | $0.00 |
| | 5.000 | 01/22/10 | 11/20/12 | $81.76 | $137.94 | $0.00 | ($56.18) | $0.00 |
| | 4.000 | 02/08/10 | 11/20/12 | $65.41 | $106.88 | $0 00 | ($41 47) | $0.00 |
| | 2.000 | 02/16/10 | 11/20/12 | $32.70 | $55.74 | $0.00 | ($23 04) | $0.00 |
| | 5.000 | 02/22/10 | 11/20/12 | $81.76 | $138.25 | $0 00 | ($56.49) | $0.00 |
| | 8.000 | 04/09/10 | 11/20/12 | $130.81 | $247 22 | $0.00 | ($116 41) | $0.00 |
| | 5.000 | 04/09/10 | 11/21/12 | $81 46 | $154.51 | $0.00 | ($73 05) | $0.00 |
| | 15 000 | 10/20/10 | 11/21/12 | $244 38 | $381.70 | $0 00 | ($137 32) | $0 00 |
| | 16.000 | 05/03/11 | 11/21/12 | $260.67 | $410.98 | $0.00 | ($150.31) | $0.00 |
| Security Subtotal | 127.000 | | | $2,074.56 | $3,649.07 | $0.00 | ($1,574.51) | $0.00 |

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Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2012**

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION
2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

Morgan Stanley Smith Barney Holdings LLC
Harborside Financial Center
Plaza 2 2nd Floor
Jersey City, NJ 07311
Identification Number: 26-4310632

Taxpayer ID Number: 22-2914177
Account Number: 803 107614 009

**Customer Service: 866-324-6088**

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## 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

### Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

**Long Term - Noncovered Securities** # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box B checked.) (Continued)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| NEXTERA ENERGY INC COM | CUSIP: 65339F101 | | Symbol (Box 1d): NEE | | | | | |
| | 28 000 | 12/10/09 | 07/17/12 | $1,948 55 | $1,535.97 | $0 00 | $412 58 | $0 00 |
| | 14 000 | 12/10/09 | 10/24/12 | $973.49 | $767.98 | $0 00 | $205 51 | $0.00 |
| | 5.000 | 01/08/10 | 10/24/12 | $347.68 | $262.49 | $0.00 | $85.19 | $0.00 |
| **Security Subtotal** | **47.000** | | | **$3,269.72** | **$2,566.44** | **$0.00** | **$703.28** | **$0.00** |
| OSHKOSH CORP | CUSIP: 688239201 | | Symbol (Box 1d): OSK | | | | | |
| | 4.000 | 12/20/10 | 10/16/12 | $119.47 | $138.32 | $0 00 | ($18 85) | $0.00 |
| | 10 000 | 12/20/10 | 10/18/12 | $299.99 | $345.80 | $0.00 | ($45 81) | $0.00 |
| | 5.000 | 12/20/10 | 12/07/12 | $139 75 | $172 90 | $0.00 | ($33 15) | $0 00 |
| | 5.000 | 01/21/11 | 12/07/12 | $139.75 | $180.63 | $0.00 | ($40.88) | $0.00 |
| **Security Subtotal** | **24.000** | | | **$698.96** | **$837.65** | **$0.00** | **($138.69)** | **$0.00** |
| PENTAIR LTD | CUSIP: H6169Q108 | | Symbol (Box 1d): PNR | | | | | |
| | 0.791 | 12/10/09 | 09/28/12 | $35.09 | $21.92 | $0.00 | $13.17 | $0.00 |
| PFIZER INC | CUSIP: 717081103 | | Symbol (Box 1d): PFE | | | | | |
| | 0.975 | 12/04/06 | 09/20/12 | $23.44 | $24.50 | $0.00 | ($1.06) | $0 00 |
| PIMCO EMERGING LOCAL BD P | CUSIP: 72201M396 | | Symbol (Box 1d): PELPX | | | | | |
| | 6,484.622 | 05/03/11 | 11/29/12 | $70,812.07 | $72,109.00 | $0.00 | ($1,296.93) | $0 00 |
| PIMCO LOW DURATION P | CUSIP: 72201M669 | | Symbol (Box 1d): PLDPX | | | | | |
| | 1,370 817 | 05/03/11 | 11/29/12 | $14,599.20 | $14,420.99 | $0.00 | $178.21 | $0 00 |
| PROCTER & GAMBLE | CUSIP: 742718109 | | Symbol (Box 1d): PG | | | | | |
| | 0.587 | 09/17/98 | 09/20/12 | $40.63 | $22.63 | $0.00 | $18.00 | $0 00 |

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Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2012**

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FAMILY FOUNDATION
2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

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Taxpayer ID Number: 22-2914177
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## 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

### Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

### Long Term - Noncovered Securities # (Continued)

(Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part II with box B checked.)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| SOUTHWESTERN ENERGY COMPANY | CUSIP: 845467109 | Symbol (Box 1d): SWN | | | | | | |
| | 7.000 | 08/11/11 | 12/17/12 | $231 07 | $260.05 | $0 00 | ($28.98) | $0.00 |
| | 10.000 | 08/12/11 | 12/17/12 | $330 10 | $380.81 | $0.00 | ($50 71) | $0.00 |
| | 7.000 | 08/18/11 | 12/18/12 | $237.12 | $255.72 | $0.00 | ($18.60) | $0.00 |
| **Security Subtotal** | **24.000** | | | **$798.29** | **$896.58** | **$0.00** | **($98.29)** | **$0.00** |
| STAPLES INC | CUSIP: 855030102 | Symbol (Box 1d): SPLS | | | | | | |
| | 180.000 | 07/13/11 | 12/10/12 | $2,010 97 | $2,787.10 | $0 00 | ($776.13) | $0 00 |
| THE ADT CORPORATION COM | CUSIP: 00101J106 | Symbol (Box 1d): ADT | | | | | | |
| | 0.500 | 12/10/09 | 09/28/12 | $19.49 | $11 44 | $0.00 | $8.05 | $0 00 |
| TRAVELERS COMPANIES INC COM | CUSIP: 89417E109 | Symbol (Box 1d): TRV | | | | | | |
| | 40.000 | 12/10/09 | 10/16/12 | $2,822.51 | $2,027.54 | $0.00 | $794.97 | $0 00 |
| U S BANCORP COM NEW | CUSIP: 902973304 | Symbol (Box 1d): USB | | | | | | |
| | 26 000 | 12/08/10 | 06/04/12 | $748.84 | $649.24 | $0.00 | $99.60 | $0.00 |
| | 3.000 | 12/16/10 | 06/04/12 | $86.41 | $78.06 | $0.00 | $8.35 | $0.00 |
| **Security Subtotal** | **29.000** | | | **$835.25** | **$727.30** | **$0.00** | **$107.95** | **$0.00** |
| UNITED STS STL CP (NEW) | CUSIP: 912909108 | Symbol (Box 1d): X | | | | | | |
| | 8 000 | 12/21/09 | 07/17/12 | $156 17 | $406.69 | $0.00 | ($250 52) | $0.00 |
| | 7 000 | 12/24/09 | 07/17/12 | $136.65 | $391.65 | $0.00 | ($255.00) | $0 00 |
| | 2.000 | 01/22/10 | 07/17/12 | $39.04 | $110.98 | $0.00 | ($71 94) | $0.00 |
| | 7 000 | 01/26/10 | 07/17/12 | $136.65 | $357.95 | $0.00 | ($221.30) | $0.00 |
| | 7 000 | 02/02/10 | 07/17/12 | $136.65 | $336.00 | $0.00 | ($199.35) | $0.00 |
| | 4.000 | 02/08/10 | 07/17/12 | $78.08 | $177.56 | $0.00 | ($99.48) | $0.00 |
| | 3 000 | 02/22/10 | 07/17/12 | $58.56 | $162.33 | $0 00 | ($103 77) | $0.00 |

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Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2012**

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## 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

### Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

**Long Term - Noncovered Securities** # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box B checked.)
**(Continued)**

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| UNITED STS STL CP (NEW) | 3.000 | 05/03/11 | 07/17/12 | $58 55 | $142.37 | $0.00 | ($83 82) | $0.00 |
| | 7.000 | 05/03/11 | 08/27/12 | $144 23 | $332.21 | $0.00 | ($187 98) | $0.00 |
| | 7.000 | 07/28/11 | 08/27/12 | $144.23 | $283.94 | $0.00 | ($139.71) | $0.00 |
| **Security Subtotal** | **55.000** | | | **$1,088.81** | **$2,701.68** | **$0.00** | **($1,612.87)** | **$0.00** |
| VERIZON COMMUNICATIONS | **CUSIP:** 92343V104 | | **Symbol (Box 1d):** VZ | | | | | |
| | 0 607 | 01/20/95 | 09/20/12 | $27.33 | $14.23 | $0.00 | $13.10 | $0.00 |
| WAL MART STORES INC | **CUSIP:** 931142103 | | **Symbol (Box 1d):** WMT | | | | | |
| | 28.000 | 12/10/09 | 07/16/12 | $2,037.26 | $1,528.74 | $0.00 | $508.52 | $0.00 |
| WEYERHAEUSER CO | **CUSIP:** 962166104 | | **Symbol (Box 1d):** WY | | | | | |
| | 4.000 | 12/10/09 | 10/03/12 | $104.80 | $165.20 | $0.00 | ($60.40) | $0.00 |
| | 3.000 | 12/10/09 | 12/21/12 | $84.30 | $123.90 | $0.00 | ($39 60) | $0.00 |
| | 3 000 | 01/08/10 | 12/21/12 | $84.30 | $131.40 | $0 00 | ($47 10) | $0.00 |
| | 4.000 | 01/22/10 | 12/21/12 | $112.40 | $166.16 | $0 00 | ($53 76) | $0.00 |
| | 3 000 | 02/08/10 | 12/21/12 | $84.30 | $118 45 | $0 00 | ($34 15) | $0.00 |
| | 2.000 | 02/16/10 | 12/21/12 | $56.20 | $80.90 | $0.00 | ($24 70) | $0.00 |
| | 3.000 | 02/22/10 | 12/21/12 | $84 29 | $124.18 | $0 00 | ($39.89) | $0.00 |
| | 23 000 | 07/22/10 | 12/26/12 | $644.03 | $357 41 | $0 00 | $286.62 | $0.00 |
| | 18.000 | 07/22/10 | 12/28/12 | $499.16 | $279.71 | $0.00 | $219.45 | $0.00 |
| **Security Subtotal** | **63.000** | | | **$1,753.78** | **$1,547.31** | **$0.00** | **$206.47** | **$0.00** |

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Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2012**

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## 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) — OMB NO. 1545-0715

### Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

### Long Term - Noncovered Securities # (Continued)

(Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part II with box B checked )

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|---|---|---|---|---|---|---|---|---|
| 3M COMPANY CUSIP: 88579Y101 Symbol (Box 1d): MMM | | | | | | | | |
| | 0 141 | 08/30/06 | 09/20/12 | $13 13 | $10 23 | $0.00 | $2 90 | $0 00 |
| Total Long Term Noncovered Securities | | | | $664,571.41 | $679,183.52 | $0.00 | ($14,612.11) | $0.00 |
| Total Short and Long Term, Covered and Noncovered Securities | | | | $710,256.96 | $726,356.75 | $0 00 | ($16,099.79) | $0.00 |

### Form 1099-B Total Reportable Amounts

| | | | | |
|---|---|---|---|---|
| Total Sales Price (Box 2) | $710,256.96 | | | |
| Total Cost or Other Basis (Box 3) | | $36,758.92 | | |
| Total Wash Sale Loss Disallowed (Box 5) | | | $0.00 | |
| Total Fed Tax Withheld (Box 4) | | | | $0.00 |

# Noncovered securities are not subject to the IRS cost basis reporting regulations, therefore their date of acquisition, cost basis, short or long term designation and any disallowed loss resulting from a wash sale will not be reported to the IRS.

**Dan & Flavia Gernatt Family Foundation**
**Form 990 Attachment-Investments- Part II - Balance Sheet**
**EIN: 22-2914177**
**For the year ended December 31, 2012**

| Morgan Stanley-statements attached | 12/31/2012 cost | 12/31/2012 mkt value |
|---|---|---|
| a/c 803-107614-009 | | |
| cash | 1,401.24 | 1,401.24 |
| money fund | 68,439.90 | 68,439.90 |
| common stocks | 578,869.37 | 676,490.50 |
| mutual funds | 625,597.28 | 628,398.57 |
| subtotal | 1,274,307.79 | 1,374,730.21 |
| a/c 803-111039-009 | | |
| money fund | 6,133.16 | 6,133.16 |
| common stocks | 44,441.16 | 61,501.43 |
| municipal bonds | 40,979.88 | 48,462.56 |
| corporate fixed income | 30,398.52 | 30,862.65 |
| subtotal | 121,952.72 | 146,959.80 |
| a/c 803-107607-507 | | |
| money fund | 15,536.79 | 15,536.79 |
| common stocks | 384,903.07 | 402,897.64 |
| subtotal | 400,439.86 | 418,434.43 |
| **Sage Rutty-statement attached** | | |
| a/c 2624-7206 | | |
| cash | 4,259.60 | 4,259.60 |
| money fund | 78,744.87 | 78,744.87 |
| mutual funds | 427,026.44 | 412,134.52 |
| subtotal | 510,030.91 | 495,138.99 |
| **Community Bank Checking Account** | 11,843.01 | 11,843.01 |
| **grand totals** | 2,318,574.29 | 2,447,106.44 |
| **Reported on 990 Balance Sheet:** | | |
| cash/money funds - line 1 | 11,843.01 | 11,843.01 |
| savings - line 2 | 174,515.56 | 174,515.56 |
| municipal bonds 10.A | 40,979.88 | 48,462.56 |
| corporate stock line 10.B | 2,060,837.32 | 2,181,422.66 |
| corporate bonds 10.C | 30,398.52 | 30,862.65 |
| **grand totals** | 2,318,574.29 | 2,447,106.44 |

# Holdings

Select UMA Basic Securities Account 803-107614-009

THE DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

*This section reflects the impact of positions purchased/sold on a trade date basis, and will include positions purchased and omit positions sold in the current month. Please see the "Unsettled Purchases/Sales Activity" section for more information.*
*The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the statement period indicated, which may not reflect the value that could actually be obtained in the market. See "Pricing of Securities" in the Expanded Disclosures. Fixed Income securities are sorted by maturity or pre-refunding date, and alphabetically within date*
*Estimated annual income and estimated yield for certain securities can include return of principal or capital gains which could overstate such estimates. Estimated yield and estimated annual income are estimates and the actual income or yield may be lower or higher than the estimates. Estimated yield reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate.*
*Structured products appear in various statement product categories and are identified as "Structured Products" in the Security Description column Estimated accrued interest, estimated annual income and estimated yield for structured products with a contingent income feature (such as Range Accrual Notes or Contingent Income Notes) assume specified accrual conditions are met during the relevant observation period and payment in full of all contingent interest. If you hold structured products, please see "Special Considerations Regarding Structured Products" in the Disclosures*
*New Treasury regulations require that we report on Form 1099-B after the close of the tax year your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011 These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. Cost basis is reflected on monthly statements for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Expanded Disclosures for additional information.*

## CASH, DEPOSITS AND MONEY MARKET FUNDS

*Cash, Deposits and Money Market Funds are generally displayed on a settlement date basis. However, Global Currency Deposits may include both settled and unsettled positions Estimated Annual Income, Accrued Interest and APY% will only be displayed for fully settled positions In the event, all or a portion of a Global Currency Deposit position is unsettled as of month end, this data will not be available*

| Description | Value | Estimated Annual Income | 7-Day Current Yield % | Annual Percentage Yield % |
|---|---|---|---|---|
| CASH | $1,401.24 | | | |
| MS LIQUID ASSET FUND | 70,043.40 | 7.00 | 0.010 | — |

| | Percentage of Assets % | Market Value | Estimated Annual Income Accrued Interest |
|---|---|---|---|
| CASH, DEPOSITS AND MONEY MARKET FUNDS | | $71,444.64 | $7.00 $0.00 |
| NET UNSETTLED PURCHASES/SALES | | $(1,603.50) | |
| CASH, DEPOSITS AND MONEY MARKET FUNDS (PROJECTED SETTLED BALANCE) | 5.1% | $69,841.14 | |

*Money market funds seek to maintain a share price of $1.00, therefore the dollar amounts listed equal the number of shares. Additional information concerning these transactions is available upon request. For more information about the pricing of Money Market Funds, please see the Expanded Disclosures*
*The money market funds reflected above include the balances in your automatic sweep feature, if any, and may include other money market funds that have been purchased in your account*
*The "Projected Settled Balance" includes accrued interest on deposits and reflects the impact of unsettled purchases/sales.*

# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS

*Consulting Group Investment Advisor Research (CG IAR) status codes (FL, AL or NL) may be shown for certain exchange-traded funds. Please refer to "CG IAR Statuses in Investment Advisory Programs" in the quarter-end statement (or your first statement, if you have not yet received a statement at the quarter-end) for a description of these status codes All status codes represent the opinions of CG IAR and are not representations or guarantees of performance*

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| 3M COMPANY (MMM) | 8/30/06 | 20.859 | $72.550 | $1,513.32 | $1,936.76 | $423.44 LT 1 | | |
| | 1/8/10 | 1.000 | 84.040 | 84.04 | 92.85 | 8.81 LT | | |
| | 1/22/10 | 1.000 | 81.940 | 81.94 | 92.85 | 10.91 LT | | |
| | 2/8/10 | 3 000 | 77.753 | 233.26 | 278.55 | 45.29 LT | | |
| | 2/16/10 | 1.000 | 80.340 | 80.34 | 92.85 | 12.51 LT | | |
| | 2/22/10 | 2.000 | 80.965 | 161.93 | 185.70 | 23.77 LT | | |
| | 11/4/10 | 3.000 | 87 157 | 261.47 | 278.55 | 17 08 LT | | |
| | 12/13/10 | 1.000 | 84.500 | 84 50 | 92 85 | 8.35 LT | | |
| | 7/5/11 | 5.000 | 96.252 | 481.26 | 464.25 | (17.01) LT | | |
| | 9/26/11 | 7.001 | 73.771 | 516.47 | 650.04 | 133.57 LT | | |
| | 11/29/12 | 81.000 | 90.600 | 7,338.60 | 7,520.85 | 182.25 ST | | |
| | **Purchases** | 125.860 | | 10,837.13 | **11,686.10** | 666.72 LT<br>182.25 ST | | |
| Long Term Reinvestments | | 6.140 | | 409.73 | 570.10 | 160.37 LT | | |
| | **Total** | 132.000 | | 11,246.86 | **12,256.20** | 827.09 LT<br>182.25 ST | 311.52 | 2.54 |
| *Share Price: $92.850; Next Dividend Payable 03/2013* | | | | | | | | |
| ALLIED WORLD ASSUR CO HLDG LTD (AWH) | 12/10/09 | 18.000 | 46.298 | 833.37 | 1,418.40 | 585.03 LT | | |
| | 1/8/10 | 3 000 | 45.500 | 136.50 | 236.40 | 99.90 LT | | |
| | 1/22/10 | 1.000 | 45.280 | 45.28 | 78.80 | 33.52 LT | | |
| | 2/16/10 | 1.000 | 45.860 | 45.86 | 78.80 | 32.94 LT | | |
| | 2/22/10 | 1.000 | 46.100 | 46.10 | 78.80 | 32.70 LT | | |
| | 5/11/10 | 11.000 | 43.760 | 481 36 | 866.80 | 385.44 LT | | |
| | **Total** | 35.000 | | 1,588.47 | **2,758.00** | 1,169.53 LT | 52.50 | 1.90 |
| *Share Price: $78.800; Next Dividend Payable 03/2013* | | | | | | | | |

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002856 MSDDT202 029329

# Holdings

Select UMA Basic Securities Account 803-107614-009

THE DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| AMC NETWORKS INC CL A (AMCX) | 12/10/09 | 28.000 | 23.767 | 665.47 | 1,386.00 | 720.53 LT | | |
| | 1/8/10 | 4.250 | 23.913 | 101.63 | 210.37 | 108.74 LT | | |
| | 1/22/10 | 1.000 | 23.610 | 23 61 | 49.50 | 25.89 LT | | |
| | 2/8/10 | 2.000 | 22.985 | 45.97 | 99.00 | 53.03 LT | | |
| | 2/16/10 | 1.750 | 24.383 | 42 67 | 86.62 | 43.95 LT | | |
| | **Total** | 37.000 | | 879 35 | **1,831.50** | 952.14 LT | — | — |
| *Share Price: $49.500* | | | | | | | | |
| AMERICAN ELECTRIC POWER CO (AEP) | 12/8/10 | 37.000 | 35.231 | 1,303 54 | 1,579.16 | 275.62 LT | | |
| | 3/7/11 | 2 000 | 35 695 | 71 39 | 85.36 | 13.97 LT | | |
| | 11/29/12 | 57 000 | 42 100 | 2,399.69 | 2,432.76 | 33.07 ST | | |
| | **Total** | 96 000 | | 3,774 62 | **4,097.28** | 289 59 LT<br>33.07 ST | 180.48 | 4 40 |
| *Share Price: $42.680; Next Dividend Payable 03/2013* | | | | | | | | |
| ANADARKO PETE (APC) | 12/10/09 | 63.000 | 58.189 | 3,665.88 | 4,681.53 | 1,015.65 LT | | |
| | 1/8/10 | 3.000 | 66.690 | 200.07 | 222.93 | 22.86 LT | | |
| | 1/22/10 | 7.000 | 63.776 | 446.43 | 520.17 | 73 74 LT | | |
| | 2/8/10 | 5.000 | 62.608 | 313.04 | 371.55 | 58.51 LT | | |
| | 2/22/10 | 3.000 | 69.570 | 208.71 | 222.93 | 14 22 LT | | |
| | 4/11/12 | 2.000 | 74.595 | 149.19 | 148 62 | (0 57) ST | | |
| | 6/1/12 | 16.000 | 58.672 | 938.75 | 1,188 96 | 250 21 ST | | |
| | 6/1/12 | 2.000 | 58.670 | 117.34 | 148 62 | 31 28 ST | | |
| | **Total** | 101.000 | | 6,039.41 | **7,505.31** | 1,184 98 LT<br>280 92 ST | 36.36 | 0.48 |
| *Share Price: $74.310; Next Dividend Payable 03/2013* | | | | | | | | |
| APPLIED MATERIALS INC (AMAT) | 12/10/09 | 139.000 | 13.287 | 1,846.91 | 1,590.16 | (256.75) LT | | |
| | 1/8/10 | 13.000 | 14.485 | 188.31 | 148.72 | (39.59) LT | | |
| | 1/22/10 | 20.000 | 13.129 | 262.58 | 228.80 | (33.78) LT | | |
| | 2/8/10 | 16.000 | 12.138 | 194.21 | 183.04 | (11.17) LT | | |
| | 2/16/10 | 3.000 | 12.957 | 38 87 | 34.32 | (4.55) LT | | |

CONTINUED

# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 2/22/10 | 16.000 | 12.496 | 199.94 | 183.04 | (16.90) LT | | |
| | 7/29/11 | 53.000 | 12.450 | 659.83 | 606.32 | (53.51) LT | | |
| | 11/29/12 | 27.000 | 10.760 | 290.52 | 308.88 | 18.36 ST | | |
| | Total | 287.000 | | 3,681.17 | 3,283.28 | (416.25) LT<br>18.36 ST | 103.32 | 3.14 |
| *Share Price: $11.440; Next Dividend Payable 03/2013* | | | | | | | | |
| AT&T INC (T) | 12/10/09 | 26.000 | 27.716 | 720.62 | 876.46 | 155.84 LT | | |
| | 12/10/09 | 24.000 | 27.716 | 665.19 | 809.04 | 143.85 LT | | |
| | 12/10/09 | 2.000 | 27 716 | 55.43 | 67.42 | 11.99 LT | | |
| | 12/10/09 | 2.000 | 27.716 | 55 43 | 67.42 | 11.99 LT | | |
| | 1/8/10 | 8 000 | 27.029 | 216.23 | 269 68 | 53.45 LT | | |
| | 1/8/10 | 25.000 | 27.028 | 675.71 | 842.75 | 167.04 LT | | |
| | 1/22/10 | 4.000 | 25.468 | 101.87 | 134.84 | 32.97 LT | | |
| | 1/22/10 | 13.000 | 25.468 | 331.09 | 438.23 | 107.14 LT | | |
| | 2/8/10 | 1.000 | 25.040 | 25.04 | 33.71 | 8.67 LT | | |
| | 2/8/10 | 7.000 | 25.037 | 175.26 | 235.97 | 60.71 LT | | |
| | 2/16/10 | 2.000 | 25.305 | 50.61 | 67.42 | 16.81 LT | | |
| | 2/16/10 | 9.000 | 25.307 | 227 76 | 303.39 | 75.63 LT | | |
| | 2/22/10 | 4.000 | 25.030 | 100.12 | 134.84 | 34.72 LT | | |
| | 2/22/10 | 15.000 | 25.030 | 375.45 | 505.65 | 130 20 LT | | |
| | 3/7/11 | 3.000 | 27.930 | 83.79 | 101.13 | 17.34 LT | | |
| | 3/7/11 | 11.000 | 27.929 | 307.22 | 370.81 | 63.59 LT | | |
| | 11/29/12 | 192.000 | 33 907 | 6,510.05 | 6,472.32 | (37.73) ST | | |
| | 11/29/12 | 1.000 | 33.930 | 33.93 | 33.71 | (0.22) ST | | |
| | Total | 349.000 | | 10,710.80 | 11,764.79 | 1,091.94 LT<br>(37.95) ST | 628.20 | 5.33 |
| *Share Price: $33.710; Next Dividend Payable 02/2013* | | | | | | | | |
| AUTODESK INC DELAWARE (ADSK) | 12/10/09 | 77.000 | 23.498 | 1,809.38 | 2,721.95 | 912 57 LT | | |
| | 2/8/10 | 12.000 | 23.130 | 277.56 | 424.20 | 146.64 LT | | |
| | 8/10/11 | 35.000 | 28.694 | 1,004.28 | 1,237.25 | 232.97 LT | | |
| | Total | 124.000 | | 3,091.22 | 4,383.40 | 1,292 18 LT | — | — |
| *Share Price: $35 350* | | | | | | | | |

CONTINUED

# Holdings

Select UMA Basic Securities Account 803-107614-009

THE DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| AUTOMATIC DATA PROCESSING INC (ADP) | 1/26/05 | 47.438 | 40 250 | 1,909.37 | 2,700.64 | 791.27 LT 1 | | |
| | 1/8/10 | 9.000 | 42 306 | 380.75 | 512.37 | 131.62 LT | | |
| | 1/22/10 | 4.000 | 41 195 | 164.78 | 227.72 | 62.94 LT | | |
| | 2/8/10 | 4.000 | 40 468 | 161.87 | 227.72 | 65 85 LT | | |
| | 2/16/10 | 3.000 | 41 270 | 123.81 | 170.79 | 46.98 LT | | |
| | 2/22/10 | 4.000 | 41 608 | 166.43 | 227.72 | 61.29 LT | | |
| | 11/9/10 | 3.001 | 45 505 | 136.56 | 170.84 | 34 28 LT | | |
| | 11/29/12 | 128.000 | 56.245 | 7,199.39 | 7,287.04 | 87 65 ST | | |
| | **Purchases** | 202.439 | | 10,242.96 | **11,524.84** | 1,194 23 LT<br>87 65 ST | | |
| Long Term Reinvestments | | 12.561 | | 464.17 | 715.09 | 250 92 LT | | |
| | **Total** | 215.000 | | 10,707.13 | **12,239.95** | 1,445.15 LT<br>87 65 ST | 374.10 | 3.05 |
| *Share Price: $56.930; Next Dividend Payable 01/02/13* | | | | | | | | |
| AXIS CAPITAL HOLDINGS LTD (AXS) | 3/29/12 | 8.000 | 33.255 | 266.04 | 277.12 | 11.08 ST | | |
| | 4/9/12 | 12.000 | 33.438 | 401 25 | 415.68 | 14.43 ST | | |
| | 4/13/12 | 8 000 | 33.300 | 266.40 | 277.12 | 10.72 ST | | |
| | 4/17/12 | 8.000 | 33.764 | 270.11 | 277.12 | 7.01 ST | | |
| | 5/25/12 | 7 000 | 33.970 | 237.79 | 242.48 | 4.69 ST | | |
| | 7/9/12 | 16.000 | 33.250 | 532.00 | 554.24 | 22.24 ST | | |
| | **Total** | 59.000 | | 1,973.59 | **2,043.76** | 70.17 ST | 59.00 | 2 88 |
| *Share Price: $34 640, Next Dividend Payable 01/15/13* | | | | | | | | |
| BAKER HUGHES INC (BHI) | 12/28/12 | 17.000 | 39.992 | 679 87 | **694.41** | 14.54 ST | 10.20 | 1.46 |
| *Share Price: $40.848; Next Dividend Payable 02/2013* | | | | | | | | |
| BHP BILLITON LTD (BHP) | 12/23/09 | 12.000 | 75.476 | 905 71 | 941.04 | 35.33 LT | | |
| | 1/22/10 | 1 000 | 73.470 | 73.47 | 78.42 | 4.95 LT | | |
| | 2/8/10 | 1 000 | 68.250 | 68.25 | 78.42 | 10.17 LT | | |
| | 2/22/10 | 1 000 | 75.520 | 75.52 | 78.42 | 2.90 LT | | |
| | 8/24/12 | 2 000 | 68.980 | 137.96 | 156.84 | 18.88 ST | | |
| | **Total** | 17 000 | | 1,260.91 | **1,333.14** | 53 35 LT<br>18.88 ST | 38.08 | 2.85 |
| *Share Price: $78 420, Next Dividend Payable 03/2013* | | | | | | | | |

CONTINUED

# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| BHP BILLITON PLC SPONS ADR (BBL) | 11/30/11 | 21.000 | 61.243 | 1,286.10 | 1,477.77 | 191.67 LT | | |
| | 11/29/12 | 42 000 | 63.030 | 2,647.26 | 2,955.54 | 308.28 ST | | |
| | Total | 63.000 | | 3,933.36 | **4,433.31** | 191 67 LT<br>308.28 ST | 141.12 | 3.18 |
| *Share Price: $70 370* | | | | | | | | |
| BIOGEN IDEC INC (BIIB) | 12/10/09 | 67.000 | 48.328 | 3,237.97 | **9,806.79** | 6,568.82 LT | — | — |
| *Share Price. $146.370* | | | | | | | | |
| BLACKROCK INC (BLK) | 11/9/10 | 7 000 | 166.276 | 1,163.93 | 1,446.97 | 283.04 LT | | |
| | 11/29/12 | 5.000 | 195.360 | 976.80 | 1,033.55 | 56.75 ST | | |
| | Total | 12 000 | | 2,140.73 | **2,480.52** | 283.04 LT<br>56.75 ST | 72.00 | 2.90 |
| *Share Price: $206.710; Next Dividend Payable 03/2013* | | | | | | | | |
| BOEING CO (BA) | 12/10/09 | 17.000 | 54.837 | 932.23 | 1,281 12 | 348.89 LT | | |
| | 1/22/10 | 2.000 | 58.345 | 116.69 | 150.72 | 34 03 LT | | |
| | 9/21/10 | 16.000 | 64.250 | 1,028 00 | 1,205.76 | 177.76 LT | | |
| | Total | 35.000 | | 2,076.92 | **2,637.60** | 560.68 LT | 67.90 | 2.57 |
| *Share Price: $75.360; Next Dividend Payable 03/2013* | | | | | | | | |
| BROADCOM CORP CL A (BRCM) | 12/10/09 | 73 000 | 30.715 | 2,242.20 | 2,424.33 | 182.13 LT C | | |
| | 1/8/10 | 13.000 | 29.960 | 389.48 | 431.73 | 42.25 LT C | | |
| | 1/22/10 | 8.000 | 27.816 | 222.53 | 265.68 | 43.15 LT C | | |
| | 2/8/10 | 2.000 | 28.150 | 56 30 | 66 42 | 10.12 LT C | | |
| | 2/22/10 | 4.000 | 30 645 | 122.58 | 132.84 | 10.26 LT C | | |
| | 5/3/11 | 11.000 | 34.548 | 380.03 | 365.31 | (14.72) LT C | | |
| | 5/10/11 | 3 000 | 33.210 | 99.63 | 99.63 | 0.00 LT C | | |
| | Total | 114.000 | | 3,512.75 | **3,785.94** | 273.19 LT | 45.60 | 1.20 |
| *Share Price: $33.210, Next Dividend Payable 03/2013* | | | | | | | | |
| CABLEVISION SYSTEMS CORP (CVC) | 12/10/09 | 112.000 | 15 696 | 1,757.96 | 1,673.28 | (84.68) LT | | |
| | 1/8/10 | 17.000 | 15.794 | 268.49 | 253.98 | (14.51) LT | | |
| | 1/22/10 | 4.000 | 15.593 | 62.37 | 59.76 | (2.61) LT | | |

CONTINUED

# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 2/8/10 | 8 000 | 15.179 | 121 43 | 119.52 | (1.91) LT | | |
| | 2/16/10 | 7 000 | 16.103 | 112 72 | 104.58 | (8.14) LT | | |
| | 8/24/12 | 89 000 | 15.210 | 1,353 69 | 1,329.66 | (24 03) ST | | |
| | **Total** | 237.000 | | 3,676.66 | **3,540.78** | (111.85) LT<br>(24.03) ST | 142 20 | 4 01 |
| *Share Price- $14.940; Next Dividend Payable 02/2013* | | | | | | | | |
| **CARNIVAL CP NEW PAIRED COM (CCL)** | 12/10/09 | 23.000 | 32 099 | 738.27 | 845.71 | 107.44 LT | | |
| | 1/8/10 | 2.000 | 33.050 | 66.10 | 73.54 | 7.44 LT | | |
| | 2/8/10 | 1.000 | 33.330 | 33.33 | 36.77 | 3.44 LT | | |
| | 2/16/10 | 2.000 | 33.480 | 66 96 | 73.54 | 6.58 LT | | |
| | 2/22/10 | 1.000 | 34.250 | 34.25 | 36.77 | 2.52 LT | | |
| | 6/25/10 | 11.000 | 32.410 | 356.51 | 404 47 | 47.96 LT | | |
| | 11/2/11 | 16.000 | 33 899 | 542.39 | 588 32 | 45.93 LT | | |
| | **Total** | 56.000 | | 1,837.81 | **2,059.12** | 221.31 LT | 56.00 | 2 71 |
| *Share Price. $36.770; Next Dividend Payable 03/2013* | | | | | | | | |
| **CHEVRON CORP (CVX)** | 11/4/10 | 5.000 | 84.240 | 421 20 | 540.70 | 119.50 LT | | |
| | 11/4/10 | 6 000 | 84 240 | 505 44 | 648.84 | 143 40 LT | | |
| | 11/4/10 | 1 000 | 84.240 | 84 24 | 108.14 | 23.90 LT | | |
| | 11/4/10 | 1 000 | 84.240 | 84 24 | 108.14 | 23.90 LT | | |
| | 11/4/10 | 1 000 | 84.240 | 84.24 | 108.14 | 23.90 LT | | |
| | 3/2/12 | 4.000 | 109.618 | 438.47 | 432 56 | (5 91) ST | | |
| | 3/2/12 | 6.000 | 109 617 | 657.70 | 648.84 | (8 86) ST | | |
| | 4/11/12 | 3.000 | 100.857 | 302.57 | 324.42 | 21.85 ST | | |
| | 4/11/12 | 5.000 | 100.856 | 504 28 | 540.70 | 36 42 ST | | |
| | 6/6/12 | 6.000 | 97.845 | 587 07 | 648.84 | 61.77 ST | | |
| | 6/6/12 | 1 000 | 97.840 | 97 84 | 108.14 | 10.30 ST | | |
| | 7/23/12 | 14 000 | 107.811 | 1,509 36 | 1,513.96 | 4.60 ST | | |
| | 11/29/12 | 37.000 | 105.620 | 3,907.94 | 4,001.18 | 93.24 ST | | |
| | 11/29/12 | 1.000 | 105 610 | 105.61 | 108.14 | 2.53 ST | | |
| | **Total** | 91.000 | | 9,290.20 | **9,840.74** | 334.60 LT<br>215 94 ST | 327.60 | 3 32 |
| *Share Price: $108.140; Next Dividend Payable 03/2013* | | | | | | | | |

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# Holdings

Select UMA Basic Securities Account 803-107614-009

THE DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| CHUBB CORP (CB) | 12/10/09 | 26.000 | 48.327 | 1,256.51 | 1,958.32 | 701.81 LT | | |
| | 1/8/10 | 6.000 | 48.658 | 291.95 | 451.92 | 159.97 LT | | |
| | 1/22/10 | 2.000 | 48.190 | 96.38 | 150.64 | 54.26 LT | | |
| | 2/16/10 | 2.000 | 49.840 | 99.68 | 150.64 | 50 96 LT | | |
| | 2/22/10 | 1.000 | 51.110 | 51 11 | 75.32 | 24.21 LT | | |
| | **Total** | 37.000 | | 1,795.63 | **2,786.84** | 991.21 LT | 60.68 | 2.17 |
| *Share Price: $75.320; Next Dividend Payable 01/08/13* | | | | | | | | |
| CISCO SYS INC (CSCO) | 1/8/10 | 10.000 | 24.578 | 245.78 | 196.49 | (49.29) LT | | |
| | 1/22/10 | 6 000 | 23.050 | 138 30 | 117.89 | (20 41) LT | | |
| | 2/8/10 | 1.000 | 23.710 | 23.71 | 19.64 | (4 07) LT | | |
| | 2/16/10 | 5.000 | 23.950 | 119.75 | 98.24 | (21.51) LT | | |
| | 2/22/10 | 5.000 | 24.450 | 122.25 | 98.24 | (24.01) LT | | |
| | 5/3/11 | 85.000 | 17.378 | 1,477.13 | 1,670.19 | 193.06 LT | | |
| | 7/1/11 | 18.000 | 15.857 | 285.43 | 353.68 | 68.25 LT | | |
| | 12/28/12 | 32.000 | 19.548 | 625.53 | 628.78 | 3 25 ST | | |
| | **Total** | 162.000 | | 3,037.88 | **3,183.20** | 142.02 LT<br>3.25 ST | 90.72 | 2.84 |
| *Share Price: $19.649, Next Dividend Payable 03/2013* | | | | | | | | |
| CITRIX SYSTEMS INC (CTXS) | 10/14/10 | 33.000 | 58.642 | 1,935.19 | 2,165.46 | 230.27 LT | | |
| | 7/27/11 | 2.000 | 71 905 | 143.81 | 131.24 | (12.57) LT | | |
| | 10/19/12 | 4.000 | 65.710 | 262.84 | 262.48 | (0.36) ST | | |
| | **Total** | 39.000 | | 2,341.84 | **2,559.18** | 217.70 LT<br>(0.36) ST | — | — |
| *Share Price: $65.620* | | | | | | | | |
| COMCAST CORP CL A SPECIAL NEW (CMCSK) | 12/10/09 | 25.000 | 16.689 | 417 22 | 898.00 | 480.78 LT | | |
| | 12/10/09 | 74 000 | 16.689 | 1,234.99 | 2,658.08 | 1,423.09 LT | | |
| | 12/10/09 | 32.000 | 16 689 | 534.05 | 1,149.44 | 615.39 LT | | |
| | 1/8/10 | 17.000 | 16.138 | 274.35 | 610.64 | 336 29 LT | | |
| | 1/8/10 | 45 000 | 16.138 | 726.21 | 1,616.40 | 890.19 LT | | |
| | 1/22/10 | 8.000 | 15.318 | 122.54 | 287.36 | 164.82 LT | | |
| | 1/22/10 | 23.000 | 15.318 | 352.32 | 826.16 | 473.84 LT | | |
| | 2/8/10 | 9.000 | 14.548 | 130.93 | 323.28 | 192.35 LT | | |
| | 2/8/10 | 25.000 | 14.548 | 363.70 | 898.00 | 534.30 LT | | |

CONTINUED

# Holdings

**Select UMA Basic Securities Account**
**803-107614-009**

**THE DANIEL & FLAVIA GERNATT**
**FAMILY FOUNDATION**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 2/16/10 | 5 000 | 14.850 | 74 25 | 179 60 | 105.35 LT | | |
| | 2/16/10 | 16 000 | 14.849 | 237.58 | 574.72 | 337.14 LT | | |
| | 2/22/10 | 3 000 | 15.307 | 45.92 | 107.76 | 61.84 LT | | |
| | 2/22/10 | 8 000 | 15.306 | 122.45 | 287.36 | 164.91 LT | | |
| | 5/13/11 | 14 000 | 23.752 | 332.53 | 502.88 | 170.35 LT | | |
| | 5/13/11 | 36 000 | 23.752 | 855 08 | 1,293.12 | 438.04 LT | | |
| | 9/26/11 | 4 000 | 21.140 | 84.56 | 143 68 | 59.12 LT | | |
| | 9/26/11 | 11 000 | 21.139 | 232.53 | 395 12 | 162.59 LT | | |
| | 11/29/12 | 109.000 | 35.760 | 3,897.83 | 3,915.28 | 17.45 ST | | |
| | **Total** | 464.000 | | 10,039.04 | **16,666.88** | 6,610.39 LT<br>17.45 ST | 301.60 | 1.80 |
| *Share Price: $35.920; Next Dividend Payable 01/23/13* | | | | | | | | |
| **CONOCOPHILLIPS (COP)** | 2/8/10 | 1.000 | 36.660 | 36.66 | 57.99 | 21.33 LT | | |
| | 2/22/10 | 3.000 | 37.617 | 112.85 | 173.97 | 61.12 LT | | |
| | 3/2/11 | 9.000 | 60.222 | 542.00 | 521.91 | (20.09) LT | | |
| | 5/3/11 | 6.000 | 57.285 | 343.71 | 347.94 | 4.23 LT | | |
| | 11/29/12 | 30.000 | 57.100 | 1,713.00 | 1,739.70 | 26.70 ST | | |
| | **Total** | 49.000 | | 2,748.22 | **2,841.51** | 66.59 LT<br>26.70 ST | 129.36 | 4.55 |
| *Share Price: $57.990; Next Dividend Payable 03/2013* | | | | | | | | |
| **COVIDIEN PLC NEW (COV)** | 12/10/09 | 36.000 | 47 475 | 1,709.10 | 2,078.64 | 369.54 LT | | |
| | 1/8/10 | 4.000 | 48.900 | 195.60 | 230.96 | 35.36 LT | | |
| | 2/8/10 | 1.000 | 49.420 | 49.42 | 57.74 | 8.32 LT | | |
| | 2/16/10 | 2.000 | 50 310 | 100.62 | 115.48 | 14.86 LT | | |
| | 2/22/10 | 2.000 | 50 350 | 100.70 | 115.48 | 14.78 LT | | |
| | **Total** | 45.000 | | 2,155.44 | **2,598.30** | 442.86 LT | 46.80 | 1 80 |
| *Share Price. $57.740, Next Dividend Payable 03/2013* | | | | | | | | |
| **CREE RESEARCH INC (CREE)** | 12/10/09 | 13.000 | 51.760 | 672.88 | 441 74 | (231.14) LT | | |
| | 2/8/10 | 2.000 | 56.430 | 112.86 | 67 96 | (44.90) LT | | |
| | 5/25/10 | 2.000 | 61.655 | 123.31 | 67 96 | (55.35) LT | | |
| | 8/5/10 | 14.000 | 69.975 | 979.65 | 475 72 | (503.93) LT | | |

CONTINUED

# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 9/16/10 | 34.000 | 51.132 | 1,738.50 | 1,155.32 | (583.18) LT | | |
| | 10/20/10 | 5.000 | 48.972 | 244.86 | 169.90 | (74.96) LT | | |
| | 3/23/11 | 6.000 | 45.243 | 271.46 | 203.88 | (67 58) LT | | |
| | 4/20/11 | 22.000 | 39.144 | 861.16 | 747.56 | (113.60) LT | | |
| | 6/16/11 | 4.000 | 35.845 | 143.38 | 135.92 | (7.46) LT | | |
| | 4/18/12 | 28.000 | 29.692 | 831.37 | 951 44 | 120.07 ST | | |
| | Total | 130.000 | | 5,979.43 | **4,417.40** | (1,682.10) LT<br>120.07 ST | — | — |
| *Share Price: $33.980* | | | | | | | | |
| **DEERE & CO (DE)** | 12/10/09 | 19 000 | 52.247 | 992.70 | 1,641.98 | 649.28 LT | | |
| | 1/8/10 | 2.000 | 57.425 | 114.85 | 172.84 | 57.99 LT | | |
| | 1/22/10 | 3.000 | 53.447 | 160.34 | 259 26 | 98 92 LT | | |
| | 2/8/10 | 4.000 | 49.218 | 196.87 | 345.68 | 148.81 LT | | |
| | Total | 28.000 | | 1,464.76 | **2,419.76** | 955.00 LT | 51.52 | 2.12 |
| *Share Price: $86.420; Next Dividend Payable 02/01/13* | | | | | | | | |
| **DEVON ENERGY CORP NEW (DVN)** | 12/10/09 | 27.000 | 63 908 | 1,725.52 | 1,405.08 | (320.44) LT | | |
| | 1/22/10 | 1.000 | 69.710 | 69 71 | 52.04 | (17.67) LT | | |
| | 2/8/10 | 2.000 | 66.470 | 132.94 | 104.08 | (28.86) LT | | |
| | 2/16/10 | 1.000 | 69 130 | 69.13 | 52.04 | (17.09) LT | | |
| | 2/22/10 | 1.000 | 70.410 | 70.41 | 52.04 | (18.37) LT | | |
| | 11/2/11 | 6.000 | 65.275 | 391.65 | 312.24 | (79.41) LT | | |
| | 7/23/12 | 4.000 | 58.100 | 232.40 | 208.16 | (24.24) ST | | |
| | 9/26/12 | 6 000 | 58.995 | 353.97 | 312 24 | (41.73) ST | | |
| | 12/28/12 | 5.000 | 51.248 | 256.24 | 260.20 | 3.96 ST | | |
| | Total | 53.000 | | 3,301 97 | **2,758.12** | (481.84) LT<br>(62.01) ST | 42.40 | 1.53 |
| *Share Price: $52.040, Next Dividend Payable 03/2013* | | | | | | | | |

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002856 MSDDT202 029333

# Holdings

Select UMA Basic Securities Account 803-107614-009

THE DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| DIRECTV COM (DTV) | 12/10/09 | 41.000 | 32.828 | 1,345.96 | 2,056 56 | 710 60 LT | | |
| | 1/8/10 | 5.000 | 34.008 | 170.04 | 250 80 | 80 76 LT | | |
| | 1/22/10 | 7.000 | 31.437 | 220.06 | 351.12 | 131 06 LT | | |
| | 2/8/10 | 3.000 | 30.437 | 91.31 | 150.48 | 59.17 LT | | |
| | 2/16/10 | 2 000 | 30.900 | 61 80 | 100 32 | 38.52 LT | | |
| | **Total** | 58.000 | | 1,889.17 | **2,909.28** | 1,020.11 LT | — | — |
| *Share Price: $50.160* | | | | | | | | |
| DOLBY CLA A COM STK (DLB) | 12/10/09 | 29.000 | 44.668 | 1,295.37 | 850.57 | (444.80) LT | | |
| | 1/22/10 | 3.000 | 47 900 | 143 70 | 87.99 | (55.71) LT | | |
| | 2/22/10 | 2 000 | 52.890 | 105 78 | 58.66 | (47.12) LT | | |
| | 2/4/11 | 10.000 | 56.318 | 563 18 | 293.30 | (269.88) LT | | |
| | 4/6/11 | 4.000 | 49.008 | 196.03 | 117.32 | (78.71) LT | | |
| | 4/12/11 | 3.000 | 50 060 | 150.18 | 87.99 | (62.19) LT | | |
| | 4/15/11 | 3.000 | 47 087 | 141.26 | 87.99 | (53 27) LT | | |
| | 8/5/11 | 26.000 | 31.054 | 807.40 | 762.58 | (44.82) LT | | |
| | 8/7/12 | 36.000 | 33.791 | 1,216.48 | 1,055.88 | (160 60) ST | | |
| | 12/27/12 | 12.000 | 29.066 | 348.79 | 351.96 | 3 17 ST | | |
| | **Total** | 128 000 | | 4,968.17 | **3,754.24** | (1,056.50) LT<br>(157 43) ST | — | — |
| *Share Price: $29.330* | | | | | | | | |
| DOVER CORP (DOV) | 12/10/09 | 19.000 | 40.930 | 777.67 | 1,248.49 | 470 82 LT | | |
| | 1/8/10 | 1.000 | 44.660 | 44.66 | 65.71 | 21.05 LT | | |
| | 2/8/10 | 2.000 | 41.250 | 82 50 | 131.42 | 48.92 LT | | |
| | **Total** | 22 000 | | 904 83 | **1,445.62** | 540.79 LT | 30.80 | 2.13 |
| *Share Price: $65.710; Next Dividend Payable 03/2013* | | | | | | | | |
| DU PONT EI DE NEMOURS & CO (DD) | 12/10/09 | 38.000 | 31.748 | 1,206.44 | 1,709 18 | 502.74 LT | | |
| | 1/8/10 | 4.000 | 33.978 | 135.91 | 179.91 | 44.00 LT | | |
| | 1/22/10 | 4.000 | 32.718 | 130.87 | 179.91 | 49.04 LT | | |
| | 2/8/10 | 2.000 | 32.300 | 64 60 | 89.96 | 25.36 LT | | |
| | 2/16/10 | 4 000 | 32.695 | 130.78 | 179.91 | 49.13 LT | | |
| | 7/5/11 | 25 000 | 54.482 | 1,362.04 | 1,124 46 | (237.58) LT | | |

CONTINUED

# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 9/26/11 | 15.000 | 40.671 | 610.07 | 674.68 | 64.61 LT | | |
| | 11/29/12 | 185 000 | 43.496 | 8,046.83 | 8,321.02 | 274.19 ST | | |
| | 12/27/12 | 13.000 | 44.976 | 584.69 | 584.72 | 0.03 ST | | |
| | 12/28/12 | 10.000 | 44.996 | 449.96 | 449.79 | (0.17) ST | | |
| | Total | 300.000 | | 12,722.19 | **13,493.54** | 497.30 LT<br>274.05 ST | 516 00 | 3.82 |
| *Share Price: $44.979; Next Dividend Payable 03/2013* | | | | | | | | |
| EBAY INC (EBAY) | 12/21/09 | 11.000 | 22.890 | 251.79 | 560.97 | 309.18 LT | | |
| | 1/8/10 | 10.000 | 23.545 | 235.45 | 509.98 | 274.53 LT | | |
| | 2/8/10 | 8.000 | 22.546 | 180.37 | 407.98 | 227.61 LT | | |
| | 2/16/10 | 8.000 | 22.438 | 179.50 | 407.98 | 228.48 LT | | |
| | 2/22/10 | 2.000 | 23.390 | 46 78 | 102 00 | 55.22 LT | | |
| | Total | 39.000 | | 893.89 | **1,988.91** | 1,095.02 LT | — | — |
| *Share Price: $50.998* | | | | | | | | |
| EMCOR GROUP INC (EME) | 8/25/10 | 10.000 | 22.538 | 225.38 | **346.10** | 120.72 LT | 2.40 | 0.69 |
| *Share Price: $34 610, Next Dividend Payable 03/2013* | | | | | | | | |
| EMERSON ELECTRIC CO (EMR) | 12/10/09 | 30.000 | 41.607 | 1,248 21 | 1,588 80 | 340.59 LT | | |
| | 1/8/10 | 7.000 | 43.829 | 306.80 | 370.72 | 63.92 LT | | |
| | 1/22/10 | 5.000 | 42 406 | 212.03 | 264.80 | 52.77 LT | | |
| | 2/22/10 | 1.000 | 48.380 | 48.38 | 52.96 | 4 58 LT | | |
| | 5/4/11 | 3.000 | 55.850 | 167.55 | 158.88 | (8.67) LT | | |
| | Total | 46 000 | | 1,982.97 | **2,436.16** | 453.19 LT | 75.44 | 3.09 |
| *Share Price. $52.960; Next Dividend Payable 03/2013* | | | | | | | | |
| ERICSSON LM TEL ADR CL B NEW (ERIC) | 12/21/09 | 40.000 | 9.158 | 366 32 | 404.00 | 37.68 LT | | |
| | 1/8/10 | 5.000 | 9.778 | 48.89 | 50.50 | 1.61 LT | | |
| | 1/22/10 | 1 000 | 9.830 | 9.83 | 10.10 | 0.27 LT | | |
| | 1/25/10 | 102 000 | 9.808 | 1,000.42 | 1,030 20 | 29.78 LT | | |
| | 2/8/10 | 8.000 | 9 648 | 77.18 | 80.80 | 3.62 LT | | |
| | 2/16/10 | 4.000 | 10.098 | 40.39 | 40.40 | 0.01 LT | | |
| | 2/22/10 | 13.000 | 10.036 | 130.47 | 131 30 | 0.83 LT | | |
| | 7/22/11 | 21.000 | 13.134 | 275.82 | 212.10 | (63.72) LT | | |
| | 8/24/12 | 52.000 | 9.737 | 506 34 | 525.20 | 18 86 ST | | |

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002856 MSDDT202 029334

# Holdings

Select UMA Basic Securities Account 803-107614-009

THE DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 246 000 | | 2,455.66 | **2,484.60** | 10.08 LT<br>18.86 ST | 59.78 | 2 40 |
| *Share Price: $10 100* | | | | | | | | |
| **EXXON MOBIL CORP (XOM)** | 1/11/94 | 15.000 | 16.390 | 245 85 | 1,298.25 | 1,052.40 LT 1 | | |
| | 1/11/94 | 7.000 | 16.390 | 114.73 | 605.85 | 491.12 LT 1 | | |
| | 1/11/94 | 1.000 | 16.390 | 16.39 | 86.55 | 70.16 LT 1 | | |
| | 1/8/10 | 5.000 | 69.256 | 346 28 | 432 75 | 86.47 LT | | |
| | 1/22/10 | 3 000 | 66.337 | 199.01 | 259.65 | 60.64 LT | | |
| | 2/8/10 | 1.000 | 64.660 | 64.66 | 86.55 | 21.89 LT | | |
| | 2/16/10 | 2.000 | 66.325 | 132.65 | 173.10 | 40.45 LT | | |
| | 2/22/10 | 3.000 | 65.657 | 196 97 | 259.65 | 62.68 LT | | |
| | 3/8/10 | 22.000 | 66.640 | 1,466 09 | 1,904.10 | 438.01 LT | | |
| | 8/4/11 | 6.000 | 74.715 | 448.29 | 519.30 | 71.01 LT | | |
| | 7/11/12 | 6.000 | 84.077 | 504 46 | 519.30 | 14 84 ST | | |
| | 7/12/12 | 8.000 | 84.148 | 673.18 | 692.40 | 19.22 ST | | |
| | 7/12/12 | 6 000 | 84.148 | 504.89 | 519.30 | 14 41 ST | | |
| | 11/29/12 | 102.000 | 88.020 | 8,978.03 | 8,828 10 | (149.93) ST | | |
| | **Total** | 187.000 | | 13,891 48 | **16,184.85** | 2,394.83 LT<br>(101.46) ST | 426 36 | 2.63 |
| *Share Price: $86.550; Next Dividend Payable 03/2013* | | | | | | | | |
| **FIRST REPUBLIC BANK (FRC)** | 7/1/11 | 22.000 | 31.363 | 689.99 | 721.16 | 31.17 LT | | |
| | 7/27/12 | 8 000 | 32.249 | 257 99 | 262.24 | 4 25 ST | | |
| | **Total** | 30 000 | | 947.98 | **983.40** | 31.17 LT<br>4.25 ST | 12.00 | 1.22 |
| *Share Price. $32.780; Next Dividend Payable 03/2013* | | | | | | | | |
| **FLUOR CORP NEW (FLR)** | 12/10/09 | 15 000 | 40.309 | 604.64 | 881.10 | 276.46 LT | | |
| | 12/10/09 | 45 000 | 40.309 | 1,813.90 | 2,643 30 | 829.40 LT | | |
| | 12/10/09 | 3 000 | 40.309 | 120.93 | 176 22 | 55.29 LT | | |
| | 2/8/10 | 8.000 | 42.614 | 340.91 | 469 92 | 129.01 LT | | |
| | 2/8/10 | 2.000 | 42.615 | 85.23 | 117 48 | 32.25 LT | | |
| | 2/16/10 | 1.000 | 45 560 | 45.56 | 58 74 | 13.18 LT | | |

CONTINUED

# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 2/22/10 | 2.000 | 46.590 | 93.18 | 117.48 | 24.30 LT | | |
| | 8/10/11 | 2.000 | 54.020 | 108.04 | 117.48 | 9.44 LT | | |
| | 8/10/11 | 8.000 | 54 023 | 432.18 | 469.92 | 37.74 LT | | |
| | 10/4/11 | 3.000 | 46.160 | 138 48 | 176.22 | 37.74 LT | | |
| | 10/4/11 | 11.000 | 46.158 | 507.74 | 646.14 | 138.40 LT | | |
| | **Total** | 100.000 | | 4,290.79 | **5,874.00** | 1,583.21 LT | 64 00 | 1.08 |
| *Share Price: $58.740; Next Dividend Payable 01/03/13* | | | | | | | | |
| FOREST LABORATORIES INC (FRX) | 12/10/09 | 138.000 | 31.188 | 4,303.94 | 4,874.16 | 570.22 LT | | |
| | 1/8/10 | 21.000 | 30.820 | 647.22 | 741.72 | 94.50 LT | | |
| | 1/22/10 | 11.000 | 29.530 | 324 83 | 388 52 | 63.69 LT | | |
| | 2/8/10 | 6.000 | 28.850 | 173.10 | 211.92 | 38.82 LT | | |
| | 2/16/10 | 7.000 | 29.489 | 206 42 | 247 24 | 40.82 LT | | |
| | 2/22/10 | 11.000 | 29 417 | 323.59 | 388.52 | 64.93 LT | | |
| | 5/11/10 | 4.000 | 27.263 | 109.05 | 141.28 | 32.23 LT | | |
| | **Total** | 198.000 | | 6,088.15 | **6,993.36** | 905.21 LT | — | — |
| *Share Price: $35.320* | | | | | | | | |
| FRANKLIN RESOURCES INC (BEN) | 12/10/09 | 6.000 | 108.830 | 652.98 | 754.20 | 101.22 LT | | |
| | 1/8/10 | 2.000 | 107.330 | 214.66 | 251.40 | 36.74 LT | | |
| | 1/22/10 | 1.000 | 101 270 | 101.27 | 125.70 | 24.43 LT | | |
| | 2/8/10 | 1.000 | 97.130 | 97.13 | 125.70 | 28.57 LT | | |
| | 2/22/10 | 1.000 | 101.910 | 101.91 | 125.70 | 23.79 LT | | |
| | 5/4/11 | 1.000 | 127.870 | 127.87 | 125.70 | (2.17) LT | | |
| | **Total** | 12 000 | | 1,295.82 | **1,508.40** | 212.58 LT | 13.92 | 0.92 |
| *Share Price: $125.700; Next Dividend Payable 03/2013* | | | | | | | | |
| FREEPORT MCMORAN CP&GLD (FCX) | 2/5/10 | 36.000 | 33.977 | 1,223.18 | 1,231.20 | 8.02 LT | | |
| | 2/22/10 | 2.000 | 38.630 | 77.26 | 68.40 | (8.86) LT | | |
| | 3/10/11 | 3.000 | 47.190 | 141.57 | 102.60 | (38.97) LT | | |
| | 9/28/11 | 12.000 | 33.236 | 398.83 | 410.40 | 11.57 LT | | |
| | 12/10/12 | 6.000 | 32.180 | 193.08 | 205.20 | 12 12 ST | | |
| | **Total** | 59.000 | | 2,033.92 | **2,017.80** | (28.24) LT<br>12.12 ST | 73.75 | 3.65 |
| *Share Price. $34.200; Next Dividend Payable 02/2013* | | | | | | | | |

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# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

**COMMON STOCKS** (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| GAP INC (GPS) | 1/8/10 | 3.000 | 20.340 | 61.02 | 93 12 | 32.10 LT | | |
| | 1/22/10 | 5.000 | 18.880 | 94.40 | 155 20 | 60.80 LT | | |
| | 2/16/10 | 2 000 | 19.740 | 39.48 | 62.08 | 22.60 LT | | |
| | 2/22/10 | 2 000 | 19.770 | 39.54 | 62.08 | 22.54 LT | | |
| | 5/3/11 | 8 000 | 22.910 | 183.28 | 248.32 | 65.04 LT | | |
| | 7/27/11 | 7.000 | 19 294 | 135.06 | 217.28 | 82.22 LT | | |
| | **Total** | 27.000 | | 552.78 | **838.08** | 285 30 LT | 13 50 | 1 61 |
| *Share Price· $31 040; Next Dividend Payable 01/30/13* | | | | | | | | |
| GENERAL ELECTRIC CO (GE) | 11/10/10 | 27.000 | 16.571 | 447.43 | 566.73 | 119 30 LT | | |
| | 11/17/10 | 2 000 | 15.780 | 31 56 | 41.98 | 10.42 LT | | |
| | 11/23/10 | 2.000 | 15.760 | 31 52 | 41.98 | 10.46 LT | | |
| | 12/10/10 | 27.000 | 17.681 | 477 40 | 566.73 | 89.33 LT | | |
| | 10/20/11 | 8 001 | 16.477 | 131 83 | 167 94 | 36.11 LT | | |
| | 11/29/12 | 102.000 | 21.095 | 2,151.69 | 2,140.98 | (10.71) ST | | |
| | **Purchases** | 168.001 | | 3,271.43 | **3,526.34** | 265.62 LT<br>(10.71) ST | | |
| Long Term Reinvestments | | 21.999 | | 325.84 | 461.76 | 135.92 LT | | |
| | **Total** | 190.000 | | 3,597.27 | **3,988.10** | 401.54 LT<br>(10 71) ST | 144.40 | 3.62 |
| *Share Price: $20.990; Next Dividend Payable 01/25/13* | | | | | | | | |
| GENERAL MILLS INC (GIS) | 12/10/09 | 25.000 | 34.346 | 858.66 | 1,010.50 | 151 84 LT | | |
| | 1/8/10 | 8 000 | 35.245 | 281.96 | 323.36 | 41.40 LT | | |
| | 1/22/10 | 2.000 | 35.655 | 71.31 | 80.84 | 9.53 LT | | |
| | 2/8/10 | 4 000 | 34 410 | 137.64 | 161.68 | 24.04 LT | | |
| | 2/16/10 | 2.000 | 35 250 | 70.50 | 80 84 | 10.34 LT | | |
| | 2/22/10 | 2.000 | 36.210 | 72.42 | 80 84 | 8.42 LT | | |
| | 11/17/10 | 4.000 | 35.650 | 142.60 | 161 68 | 19.08 LT | | |
| | 11/23/10 | 1.000 | 35.140 | 35.14 | 40.42 | 5 28 LT | | |
| | 11/29/12 | 77.000 | 40.790 | 3,140.83 | 3,112.34 | (28.49) ST | | |
| | **Total** | 125.000 | | 4,811.06 | **5,052.50** | 269 93 LT<br>(28.49) ST | 165.00 | 3.26 |
| *Share Price· $40 420, Next Dividend Payable 02/2013* | | | | | | | | |

CONTINUED

# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| GLAXOSMITHKLINE PLC ADS (GSK) | 1/19/10 | 23.000 | 42 101 | 968.32 | 999.81 | 31.49 LT | | |
| | 1/22/10 | 1.000 | 40.830 | 40.83 | 43.47 | 2.64 LT | | |
| | 2/8/10 | 2.000 | 38.130 | 76.26 | 86.94 | 10.68 LT | | |
| | 2/16/10 | 1.000 | 39.260 | 39.26 | 43.47 | 4.21 LT | | |
| | 2/22/10 | 3.000 | 37.357 | 112.07 | 130.41 | 18.34 LT | | |
| | Total | 30.000 | | 1,236 74 | **1,304.10** | 67.36 LT | 69.57 | 5.33 |
| *Share Price· $43.470; Next Dividend Payable 01/03/13* | | | | | | | | |
| GOLDMAN SACHS GRP INC (GS) | 10/4/12 | 2.000 | 119 520 | 239.04 | 255.12 | 16.08 ST | | |
| | 12/13/12 | 6.000 | 118.500 | 711.00 | 765.36 | 54.36 ST | | |
| | Total | 8.000 | | 950.04 | **1,020.48** | 70.44 ST | 16.00 | 1 56 |
| *Share Price: $127.560; Next Dividend Payable 03/2013* | | | | | | | | |
| GREENHILL & CO INC (GHL) | 7/27/11 | 3.000 | 47.080 | 141.24 | 155 97 | 14.73 LT | | |
| | 4/5/12 | 13.000 | 44.165 | 574.14 | 675.87 | 101.73 ST | | |
| | 7/19/12 | 13.000 | 36 249 | 471.24 | 675.87 | 204.63 ST | | |
| | Total | 29.000 | | 1,186.62 | **1,507.71** | 14.73 LT<br>306.36 ST | 52.20 | 3.46 |
| *Share Price· $51.990; Next Dividend Payable 03/2013* | | | | | | | | |
| GUESS INC (GES) | 4/2/12 | 9.000 | 31.551 | 283.96 | 220.86 | (63.10) ST | | |
| | 8/24/12 | 1.000 | 25.990 | 25.99 | 24.54 | (1 45) ST | | |
| | 12/11/12 | 1 000 | 24 650 | 24.65 | 24.54 | (0.11) ST | | |
| | Total | 11.000 | | 334.60 | **269.94** | (64.66) ST | 8.80 | 3.25 |
| *Share Price: $24 540; Next Dividend Payable 03/2013* | | | | | | | | |
| H J HEINZ CO (HNZ) | 12/10/09 | 62.000 | 42.648 | 2,644.17 | 3,576 16 | 931.99 LT | | |
| | 1/8/10 | 12.000 | 42 288 | 507.46 | 692.16 | 184.70 LT | | |
| | 1/22/10 | 2.000 | 42.080 | 84.16 | 115.36 | 31.20 LT | | |
| | 2/16/10 | 3.000 | 44.480 | 133.44 | 173.04 | 39.60 LT | | |
| | 2/22/10 | 1.000 | 46.020 | 46.02 | 57.68 | 11.66 LT | | |
| | 11/29/12 | 127.000 | 58.440 | 7,421.87 | 7,325.36 | (96.51) ST | | |

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002856 MSDDT202 029336

# Holdings

**Select UMA Basic Securities Account**
**803-107614-009**

**THE DANIEL & FLAVIA GERNATT**
**FAMILY FOUNDATION**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 207.000 | | 10,837.12 | **11,939.76** | 1,199.15 LT<br>(96.51) ST | 426 42 | 3 57 |
| *Share Price: $57.680; Next Dividend Payable 03/2013* | | | | | | | | |
| **HALLIBURTON CO (HAL)** | 12/30/09 | 22.000 | 29.920 | 658.24 | 763 18 | 104.94 LT | | |
| | 1/22/10 | 5.000 | 31.398 | 156.99 | 173 45 | 16.46 LT | | |
| | 2/8/10 | 8.000 | 28.230 | 225.84 | 277 52 | 51.68 LT | | |
| | 2/22/10 | 2.000 | 31.170 | 62.34 | 69 38 | 7.04 LT | | |
| | 8/10/11 | 6.000 | 43.772 | 262.63 | 208 14 | (54.49) LT | | |
| | 8/23/11 | 3.000 | 39.337 | 118.01 | 104 07 | (13.94) LT | | |
| | 10/17/11 | 8.000 | 34.775 | 278.20 | 277.52 | (0.68) LT | | |
| | 10/17/11 | 8 000 | 34.775 | 278.20 | 277.52 | (0.68) LT | | |
| | 10/18/11 | 8.000 | 35.174 | 281.39 | 277.52 | (3.87) LT | | |
| | 7/23/12 | 8.000 | 31.540 | 252.32 | 277.52 | 25.20 ST | | |
| | **Total** | 78.000 | | 2,574.16 | **2,705.82** | 106.46 LT<br>25.20 ST | 28.08 | 1 03 |
| *Share Price: $34.690, Next Dividend Payable 03/2013* | | | | | | | | |
| **HESS CORPORATION (HES)** | 12/10/09 | 22.000 | 55.756 | 1,226.64 | 1,165.12 | (61 52) LT | | |
| | 1/22/10 | 2.000 | 59 485 | 118.97 | 105.92 | (13.05) LT | | |
| | 2/8/10 | 2.000 | 57.160 | 114.32 | 105.92 | (8.40) LT | | |
| | 2/16/10 | 1.000 | 60.480 | 60.48 | 52.96 | (7.52) LT | | |
| | 2/22/10 | 2.000 | 60.440 | 120.88 | 105.92 | (14.96) LT | | |
| | 6/10/10 | 7 000 | 51.807 | 362.65 | 370.72 | 8.07 LT | | |
| | 7/27/11 | 4.000 | 70.395 | 281.58 | 211.84 | (69.74) LT | | |
| | 8/18/11 | 10 000 | 55.099 | 550.99 | 529.60 | (21.39) LT | | |
| | **Total** | 50.000 | | 2,836.51 | **2,648 00** | (188.51) LT | 20.00 | 0.75 |
| *Share Price: $52.960; Next Dividend Payable 03/2013* | | | | | | | | |
| **HOME DEPOT INC (HD)** | 6/13/11 | 14.000 | 33.620 | 470.68 | 865.90 | 395.22 LT | | |
| | 6/13/11 | 20.000 | 33.620 | 672.39 | 1,237 00 | 564.61 LT | | |
| | 6/13/11 | 4.000 | 33.620 | 134.48 | 247 40 | 112.92 LT | | |
| | 6/13/11 | 5.000 | 33.620 | 168 10 | 309 25 | 141.15 LT | | |
| | 8/9/11 | 13.000 | 29.221 | 379 87 | 804.05 | 424.18 LT | | |

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# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 8/9/11 | 17.000 | 29.221 | 496.75 | 1,051.45 | 554.70 LT | | |
| | 11/29/12 | 25.000 | 64.150 | 1,603.75 | 1,546.25 | (57.50) ST | | |
| | 11/29/12 | 1.000 | 64.150 | 64.15 | 61.85 | (2.30) ST | | |
| | 12/19/12 | 2.000 | 62.125 | 124.25 | 123.70 | (0.55) ST | | |
| | 12/19/12 | 9.000 | 62.108 | 558 97 | 556.65 | (2.32) ST | | |
| | Total | 110.000 | | 4,673.39 | **6,803.50** | 2,192.78 LT<br>(62.67) ST | 127.60 | 1.87 |
| *Share Price: $61.850; Next Dividend Payable 03/2013* | | | | | | | | |
| HONEYWELL INTERNATIONAL INC (HON) | 12/10/09 | 29.000 | 40.307 | 1,168.91 | 1,840.63 | 671.72 LT | | |
| | 1/8/10 | 4.000 | 42.048 | 168.19 | 253.88 | 85.69 LT | | |
| | 1/22/10 | 4.000 | 40.178 | 160.71 | 253.88 | 93.17 LT | | |
| | 2/8/10 | 4 000 | 37.000 | 148 00 | 253.88 | 105.88 LT | | |
| | 2/16/10 | 1.000 | 38.940 | 38.94 | 63.47 | 24.53 LT | | |
| | 2/22/10 | 1.000 | 40.270 | 40.27 | 63.47 | 23.20 LT | | |
| | Total | 43.000 | | 1,725.02 | **2,729.21** | 1,004.19 LT | 70.52 | 2.58 |
| *Share Price: $63.470; Next Dividend Payable 03/2013* | | | | | | | | |
| IMMUNOGEN INC (IMGN) | 10/14/10 | 45.000 | 7.390 | 332.57 | 573.75 | 241.18 LT | | |
| | 10/18/10 | 23.000 | 7.769 | 178.69 | 293.25 | 114.56 LT | | |
| | 10/19/10 | 32.000 | 7.695 | 246.25 | 408.00 | 161.75 LT | | |
| | 8/4/11 | 12.000 | 11.270 | 135.24 | 153.00 | 17.76 LT | | |
| | Total | 112.000 | | 892.75 | **1,428.00** | 535 25 LT | — | — |
| *Share Price: $12.750* | | | | | | | | |
| INTEL CORP (INTC) | 12/10/09 | 84.000 | 20.107 | 1,688.99 | 1,732.08 | 43.09 LT | | |
| | 1/8/10 | 11.000 | 20.820 | 229.02 | 226.82 | (2.20) LT | | |
| | 1/22/10 | 4.000 | 19 970 | 79.88 | 82 48 | 2.60 LT | | |
| | 2/8/10 | 6.000 | 19.498 | 116.99 | 123.72 | 6.73 LT | | |
| | 2/22/10 | 6.000 | 20.908 | 125.45 | 123.72 | (1.73) LT | | |
| | 5/3/11 | 13.000 | 23.218 | 301.83 | 268.06 | (33.77) LT | | |
| | 11/29/12 | 286.000 | 19.496 | 5,575.97 | 5,897.32 | 321.35 ST | | |
| | Total | 410.000 | | 8,118.13 | **8,454.20** | 14.72 LT<br>321.35 ST | 369.00 | 4.36 |
| *Share Price· $20.620; Next Dividend Payable 03/2013* | | | | | | | | |

CONTINUED

# Holdings

**Select UMA Basic Securities Account**
**803-107614-009**

**THE DANIEL & FLAVIA GERNATT**
**FAMILY FOUNDATION**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| INTERNATIONAL PAPER CO (IP) | 6/16/11 | 23.000 | 26.976 | 620.45 | 916 32 | 295 87 LT | | |
| | 8/5/11 | 31.000 | 25.895 | 802.73 | 1,235 04 | 432 31 LT | | |
| | 8/10/11 | 26.000 | 24.782 | 644.33 | 1,035 84 | 391.51 LT | | |
| | 8/20/12 | 2.000 | 34.000 | 68.00 | 79 68 | 11.68 ST | | |
| | 11/29/12 | 135.000 | 37.147 | 5,014.85 | 5,378.40 | 363.55 ST | | |
| | **Total** | 217 000 | | 7,150.36 | **8,645.28** | 1,119.69 LT<br>375.23 ST | 260.40 | 3.01 |
| *Share Price. $39 840; Next Dividend Payable 03/2013* | | | | | | | | |
| ISHARES COHEN&STEERS RL MJR FD (ICF) | 9/1/09 | 24 223 | 44 000 | 1,065.81 | 1,902.47 | 836.66 LT | | |
| | 9/22/09 | 100 000 | 51.882 | 5,188.20 | 7,854.00 | 2,665.80 LT | | |
| | 10/1/09 | 100.000 | 46 644 | 4,664.40 | 7,854.00 | 3,189 60 LT | | |
| | 12/10/09 | 80 000 | 50.016 | 4,001.28 | 6,283.20 | 2,281 92 LT | | |
| | 1/8/10 | 38.000 | 52.180 | 1,982.84 | 2,984.52 | 1,001 68 LT | | |
| | 1/22/10 | 23.000 | 50.076 | 1,151.75 | 1,806.42 | 654 67 LT | | |
| | 2/8/10 | 22.000 | 48.455 | 1,066.01 | 1,727.88 | 661 87 LT | | |
| | 2/16/10 | 19.000 | 49.990 | 949.81 | 1,492.26 | 542 45 LT | | |
| | 2/22/10 | 5.000 | 52.150 | 260.75 | 392.70 | 131.95 LT | | |
| | 5/3/11 | 74.000 | 73.460 | 5,436.04 | 5,811.96 | 375.92 LT | | |
| | 11/29/12 | 391.000 | 76.197 | 29,792.87 | 30,709.14 | 916.27 ST | | |
| | **Purchases** | 876.223 | | 55,559.76 | **68,818.55** | 12,342.52 LT<br>916.27 ST | | |
| Long Term Reinvestments | | 1.777 | | 87.28 | 139.57 | 52.29 LT | | |
| | **Total** | 878.000 | | 55,647 04 | **68,958.12** | 12,394.81 LT<br>916.27 ST | 2,086.13 | 3.02 |
| *Share Price: $78.540; CG IAR Status: AL, Next Dividend Payable 03/2013* | | | | | | | | |
| ISIS PHARM INC (ISIS) | 10/14/10 | 74.000 | 8.636 | 639 03 | 772.56 | 133.53 LT | | |
| | 10/19/10 | 56.000 | 9.372 | 524 81 | 584.64 | 59.83 LT | | |
| | 5/4/11 | 12 000 | 9.098 | 109 17 | 125 28 | 16.11 LT | | |

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# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | Total | 142.000 | | 1,273.01 | **1,482.48** | 209.47 LT | — | — |
| *Share Price: $10.440* | | | | | | | | |
| JACOBS ENGINEERING GROUP INC (JEC) | 12/10/09 | 10 000 | 34.610 | 346.10 | 425.70 | 79.60 LT | | |
| | 2/8/10 | 1.000 | 36.380 | 36.38 | 42.57 | 6.19 LT | | |
| | 5/3/11 | 3.000 | 48.000 | 144.00 | 127.71 | (16.29) LT | | |
| | 5/4/11 | 1.000 | 47.320 | 47.32 | 42.57 | (4 75) LT | | |
| | Total | 15.000 | | 573.80 | **638.55** | 64.75 LT | — | — |
| *Share Price: $42 570* | | | | | | | | |
| JOHNSON & JOHNSON (JNJ) | 10/30/07 | 18.000 | 65 957 | 1,187.22 | 1,261.80 | 74.58 LT 1 | | |
| | 10/30/07 | 8.583 | 65 957 | 566.11 | 601.67 | 35.56 LT 1 | | |
| | 10/30/07 | 6.000 | 65.957 | 395.74 | 420.60 | 24.86 LT 1 | | |
| | 10/30/07 | 6.000 | 65.957 | 395.74 | 420.60 | 24 86 LT 1 | | |
| | 10/30/07 | 1.000 | 65.957 | 65.96 | 70.10 | 4 14 LT 1 | | |
| | 1/8/10 | 6.000 | 63.938 | 383.63 | 420.60 | 36.97 LT | | |
| | 1/8/10 | 7.000 | 63.939 | 447 57 | 490.70 | 43.13 LT | | |
| | 1/22/10 | 1.000 | 63.300 | 63.30 | 70.10 | 6.80 LT | | |
| | 1/22/10 | 3.000 | 63.300 | 189.90 | 210.30 | 20.40 LT | | |
| | 2/8/10 | 2.000 | 62.755 | 125.51 | 140.20 | 14.69 LT | | |
| | 2/16/10 | 2.000 | 63.580 | 127.16 | 140.20 | 13.04 LT | | |
| | 2/16/10 | 3.000 | 63.577 | 190.73 | 210.30 | 19.57 LT | | |
| | 2/22/10 | 2 000 | 63.520 | 127.04 | 140.20 | 13.16 LT | | |
| | 2/22/10 | 4 000 | 63.518 | 254.07 | 280.40 | 26.33 LT | | |
| | 11/18/10 | 4 000 | 63.555 | 254.22 | 280.40 | 26.18 LT | | |
| | 11/18/10 | 6 000 | 63 557 | 381.34 | 420 60 | 39.26 LT | | |
| | 11/30/10 | 1.000 | 61 590 | 61.59 | 70.10 | 8.51 LT | | |
| | 11/30/10 | 2.000 | 61 590 | 123.18 | 140.20 | 17.02 LT | | |
| | 12/6/10 | 2.001 | 62.259 | 124.58 | 140.27 | 15.69 LT | | |
| | 11/29/12 | 67.000 | 69.280 | 4,641.75 | 4,696.70 | 54.95 ST | | |
| | 11/29/12 | 1.000 | 69.280 | 69.28 | 70.10 | 0 82 ST | | |
| | Purchases | 152.584 | | 10,175.62 | **10,696.14** | 464 75 LT<br>55.77 ST | | |
| Long Term Reinvestments | | 8.416 | | 492.13 | 589.96 | 97.83 LT | | |

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# Holdings

Select UMA Basic Securities Account 803-107614-009

THE DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

## STOCKS

**COMMON STOCKS** (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 161.000 | | 10,667.75 | **11,286.10** | 562 58 LT<br>55.77 ST | 392.84 | 3 48 |
| *Share Price. $70.100, Next Dividend Payable 03/2013* | | | | | | | | |
| **JOHNSON CONTROLS INCORPORATED (JCI)** | 11/16/11 | 42.000 | 31 514 | 1,323.58 | 1,288.14 | (35.44) LT | | |
| | 8/24/12 | 7.000 | 26 980 | 188.86 | 214.69 | 25.83 ST | | |
| | 11/29/12 | 98.000 | 27.590 | 2,703.82 | 3,005.66 | 301 84 ST | | |
| | **Total** | 147.000 | | 4,216.26 | **4,508.49** | (35.44) LT<br>327.67 ST | 111.72 | 2 47 |
| *Share Price: $30.670; Next Dividend Payable 03/2013* | | | | | | | | |
| **JONES LANG LASALLE INC (JLL)** | 12/10/09 | 10.000 | 53.580 | 535.80 | 839.40 | 303.60 LT | | |
| | 1/22/10 | 1.000 | 58.060 | 58 06 | 83.94 | 25 88 LT | | |
| | 5/3/11 | 6.000 | 98.260 | 589.56 | 503.64 | (85.92) LT | | |
| | 11/22/11 | 7.000 | 58.500 | 409.50 | 587.58 | 178.08 LT | | |
| | **Total** | 24.000 | | 1,592.92 | **2,014.56** | 421.64 LT | 9.60 | 0 47 |
| *Share Price. $83.940; Next Dividend Payable 06/2013* | | | | | | | | |
| **JOY GLOBAL INC (JOY)** | 9/27/12 | 11.000 | 56.987 | 626.86 | 701.58 | 74.72 ST | | |
| | 9/28/12 | 2.000 | 56.785 | 113.57 | 127.56 | 13.99 ST | | |
| | 10/18/12 | 7.000 | 62.500 | 437.50 | 446.46 | 8.96 ST | | |
| | **Total** | 20.000 | | 1,177.93 | **1,275.60** | 97.67 ST | 14 00 | 1 09 |
| *Share Price: $63 780; Next Dividend Payable 03/2013* | | | | | | | | |
| **JPMORGAN CHASE & CO (JPM)** | 11/18/10 | 12.000 | 39.460 | 473 52 | 527.63 | 54.11 LT | | |
| | 11/24/10 | 6.000 | 37.740 | 226 44 | 263.81 | 37.37 LT | | |
| | 12/16/10 | 1.000 | 39.870 | 39.87 | 43.97 | 4.10 LT | | |
| | 12/16/10 | 11.000 | 39.874 | 438.61 | 483.66 | 45.05 LT | | |
| | 8/9/11 | 2.000 | 36.275 | 72.55 | 87.94 | 15.39 LT | | |
| | 8/9/11 | 12.000 | 36.275 | 435.30 | 527.63 | 92.33 LT | | |
| | 10/20/11 | 3.000 | 32.580 | 97.74 | 131.91 | 34.17 LT | | |
| | 10/20/11 | 17 000 | 32.580 | 553.86 | 747.47 | 193.61 LT | | |
| | 12/13/12 | 10 000 | 42.746 | 427.46 | 439.69 | 12.23 ST | | |
| | **Total** | 74 000 | | 2,765.35 | **3,253.71** | 476.13 LT<br>12.23 ST | 88 80 | 2.72 |
| *Share Price: $43.969; Next Dividend Payable 01/2013* | | | | | | | | |

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# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| KEYCORP NEW (KEY) | 12/10/09 | 66 000 | 5.856 | 386.50 | 555.72 | 169.22 LT | | |
| | 1/8/10 | 6.000 | 6.398 | 38 39 | 50.52 | 12.13 LT | | |
| | 2/16/10 | 5.000 | 6.918 | 34.59 | 42.10 | 7.51 LT | | |
| | 2/22/10 | 9.000 | 6.978 | 62.80 | 75 78 | 12.98 LT | | |
| | 5/4/11 | 11.000 | 8.636 | 95.00 | 92 62 | (2.38) LT | | |
| | Total | 97.000 | | 617.28 | **816.74** | 199.46 LT | 19.40 | 2 37 |
| *Share Price: $8.420, Next Dividend Payable 03/2013* | | | | | | | | |
| KIMBERLY CLARK CORP (KMB) | 1/8/10 | 6.000 | 62.298 | 373.79 | 506.58 | 132.79 LT | | |
| | 1/22/10 | 2.000 | 60.480 | 120.96 | 168 86 | 47.90 LT | | |
| | 2/8/10 | 1.000 | 59.150 | 59.15 | 84.43 | 25.28 LT | | |
| | 2/16/10 | 4.000 | 59.068 | 236.27 | 337.72 | 101.45 LT | | |
| | 2/22/10 | 2 000 | 59.935 | 119.87 | 168.86 | 48 99 LT | | |
| | 11/11/10 | 4.000 | 62.153 | 248.61 | 337.72 | 89.11 LT | | |
| | 12/7/10 | 1.000 | 61.990 | 61.99 | 84.43 | 22.44 LT | | |
| | 4/1/11 | 10.001 | 65.429 | 654.36 | 844.38 | 190.02 LT | | |
| | 11/29/12 | 78.000 | 85.620 | 6,678 36 | 6,585.54 | (92.82) ST | | |
| | Purchases | 108.001 | | 8,553.36 | **9,118.52** | 657.98 LT<br>(92 82) ST | | |
| Long Term Reinvestments | | 9 999 | | 560.99 | 844.22 | 283 23 LT | | |
| | Total | 118.000 | | 9,114.35 | **9,962.74** | 941.21 LT<br>(92.82) ST | 349.28 | 3.50 |
| *Share Price: $84 430; Next Dividend Payable 01/03/13* | | | | | | | | |
| KLA TENCOR CORP (KLAC) | 9/26/11 | 6.000 | 39 443 | 236.66 | 286.56 | 49.90 LT | | |
| | 9/27/11 | 9.000 | 40.421 | 363.79 | 429.84 | 66.05 LT | | |
| | 9/29/11 | 6.000 | 39.100 | 234.60 | 286.56 | 51.96 LT | | |
| | 11/2/12 | 6.000 | 48.000 | 288.00 | 286.56 | (1.44) ST | | |
| | 11/9/12 | 6.000 | 46.435 | 278.61 | 286 56 | 7.95 ST | | |
| | 11/14/12 | 9.000 | 45 598 | 410.38 | 429.84 | 19.46 ST | | |

CONTINUED

# Holdings

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 42.000 | | 1,812.04 | **2,005.92** | 167.91 LT<br>25.97 ST | 67.20 | 3.35 |
| *Share Price: $47.760; Next Dividend Payable 03/2013* | | | | | | | | |
| **L-3 COMMUNICATIONS HOLDING INC (LLL)** | 12/10/09 | 42 000 | 78.421 | 3,293 70 | 3,218.04 | (75.66) LT | | |
| | 1/8/10 | 2.000 | 83.940 | 167 88 | 153.24 | (14.64) LT | | |
| | 1/22/10 | 3.000 | 82 050 | 246.15 | 229 86 | (16.29) LT | | |
| | 2/16/10 | 2.000 | 83.895 | 167.79 | 153.24 | (14.55) LT | | |
| | 2/22/10 | 1.000 | 88.130 | 88.13 | 76.62 | (11.51) LT | | |
| | 5/3/11 | 12.000 | 78.742 | 944.90 | 919.44 | (25.46) LT | | |
| | 8/24/12 | 6.000 | 69.873 | 419.24 | 459.72 | 40.48 ST | | |
| | **Total** | 68.000 | | 5,327.79 | **5,210.16** | (158 11) LT<br>40.48 ST | 136.00 | 2 61 |
| *Share Price. $76.620; Next Dividend Payable 03/2013* | | | | | | | | |
| **LIBERTY INTERACTIVE CO INTER A (LINTA)** | 12/10/09 | 117.000 | 9 499 | 1,111.40 | 2,302 56 | 1,191.16 LT | | |
| | 1/8/10 | 10.000 | 10 182 | 101.82 | 196 80 | 94.98 LT | | |
| | 1/22/10 | 13 000 | 9.542 | 124.04 | 255.84 | 131 80 LT | | |
| | 2/8/10 | 7.000 | 9.350 | 65.45 | 137.76 | 72 31 LT | | |
| | 2/16/10 | 6.000 | 9.712 | 58.27 | 118.08 | 59.81 LT | | |
| | 2/22/10 | 3.000 | 10.077 | 30.23 | 59 04 | 28.81 LT | | |
| | **Total** | 156.000 | | 1,491.21 | **3,070.08** | 1,578.87 LT | — | — |
| *Share Price. $19 680* | | | | | | | | |
| **LIBERTY MEDIA CO LIBERTY CAP A (LMCA)** | 12/10/09 | 29.000 | 23.149 | 671.31 | 3,364 29 | 2,692.98 LT | | |
| | 1/8/10 | 3.000 | 25.260 | 75.78 | 348.03 | 272.25 LT | | |
| | 1/22/10 | 3 000 | 24.560 | 73.68 | 348.03 | 274.35 LT | | |
| | **Total** | 35.000 | | 820.77 | **4,060.35** | 3,239.58 LT | — | — |
| *Share Price· $116 010* | | | | | | | | |
| **MATTEL INC (MAT)** | 12/10/09 | 23.000 | 19.820 | 455 86 | 842 26 | 386.40 LT | | |
| | 1/8/10 | 5.000 | 19.770 | 98.85 | 183.10 | 84.25 LT | | |
| | 1/22/10 | 1.000 | 20.010 | 20.01 | 36.62 | 16.61 LT | | |
| | 2/22/10 | 2 000 | 21.640 | 43 28 | 73.24 | 29.96 LT | | |

CONTINUED

# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 10/19/10 | 11.000 | 22.948 | 252 43 | 402.82 | 150.39 LT | | |
| | 10/22/10 | 22.000 | 23.118 | 508.60 | 805.64 | 297.04 LT | | |
| | 5/4/11 | 4 000 | 26.710 | 106.84 | 146.48 | 39.64 LT | | |
| | **Total** | 68.000 | | 1,485.87 | **2,490.16** | 1,004.29 LT | 84.32 | 3.38 |
| *Share Price: $36.620; Next Dividend Payable 03/2013* | | | | | | | | |
| **MERCK & CO INC NEW COM (MRK)** | 12/10/09 | 58.000 | 37.568 | 2,178.96 | 2,374 52 | 195.56 LT | | |
| | 1/8/10 | 8.000 | 37.540 | 300.32 | 327.52 | 27.20 LT | | |
| | 2/8/10 | 4.000 | 36.868 | 147 47 | 163.76 | 16.29 LT | | |
| | 2/16/10 | 2.000 | 37.605 | 75.21 | 81.88 | 6.67 LT | | |
| | 2/22/10 | 6.000 | 37.138 | 222.83 | 245.64 | 22.81 LT | | |
| | 5/3/11 | 12.000 | 36.268 | 435.22 | 491.28 | 56.06 LT | | |
| | **Total** | 90.000 | | 3,360.01 | **3,684.60** | 324.59 LT | 154.80 | 4.20 |
| *Share Price: $40.940; Next Dividend Payable 01/08/13* | | | | | | | | |
| **METLIFE INCORPORATED (MET)** | 3/2/11 | 30.000 | 44.700 | 1,341.00 | 988.20 | (352.80) LT | | |
| | 7/13/11 | 3.000 | 42.330 | 126.99 | 98.82 | (28.17) LT | | |
| | 8/4/11 | 4.000 | 37 768 | 151.07 | 131.76 | (19.31) LT | | |
| | 11/29/12 | 84.000 | 33.380 | 2,803.92 | 2,766.96 | (36 96) ST | | |
| | **Total** | 121.000 | | 4,422.98 | **3,985.74** | (400.28) LT<br>(36.96) ST | 89.54 | 2.24 |
| *Share Price: $32.940; Next Dividend Payable 12/2013* | | | | | | | | |
| **MICROSOFT CORP (MSFT)** | 12/10/09 | 10.000 | 29.900 | 299.00 | 267.09 | (31.91) LT | | |
| | 12/10/09 | 16.000 | 29.900 | 478.39 | 427.35 | (51.04) LT | | |
| | 1/8/10 | 11.000 | 30.787 | 338.66 | 293.80 | (44.86) LT | | |
| | 1/8/10 | 2.000 | 30.787 | 61.57 | 53.41 | (8.16) LT | | |
| | 1/22/10 | 2.000 | 29.017 | 58.03 | 53.41 | (4.62) LT | | |
| | 1/22/10 | 7.000 | 29.017 | 203.12 | 186.96 | (16.16) LT | | |
| | 2/8/10 | 5 000 | 27.848 | 139.24 | 133.54 | (5.70) LT | | |
| | 2/8/10 | 9.000 | 27.847 | 250.62 | 240.38 | (10 24) LT | | |
| | 2/16/10 | 2.000 | 28.310 | 56.62 | 53 41 | (3.21) LT | | |
| | 2/16/10 | 1.000 | 28.310 | 28 31 | 26.70 | (1.61) LT | | |
| | 2/16/10 | 6.000 | 28.308 | 169.85 | 160.25 | (9.60) LT | | |

CONTINUED

# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 2/22/10 | 3.000 | 28.817 | 86.45 | 80 12 | (6.33) LT | | |
| | 2/22/10 | 5.000 | 28 818 | 144.09 | 133 54 | (10.55) LT | | |
| | 10/22/10 | 17.000 | 25.358 | 431.08 | 454 06 | 22.98 LT | | |
| | 10/22/10 | 30.000 | 25.358 | 760.74 | 801 29 | 40.55 LT | | |
| | 3/7/11 | 4.000 | 25.810 | 103.24 | 106 83 | 3.59 LT | | |
| | 3/7/11 | 7.000 | 25.810 | 180.67 | 186 96 | 6.29 LT | | |
| | 7/1/11 | 10.000 | 25.890 | 258.90 | 267 09 | 8.19 LT | | |
| | 7/1/11 | 19.000 | 25.889 | 491.90 | 507 48 | 15.58 LT | | |
| | 11/29/12 | 289.000 | 26.886 | 7,769.91 | 7,719 10 | (50.81) ST | | |
| | **Total** | 455.000 | | 12,310.39 | **12,152.91** | (106.81) LT<br>(50.81) ST | 418 60 | 3.44 |
| *Share Price· $26.710; Next Dividend Payable 03/2013* | | | | | | | | |
| NATIONAL OILWELL VARCO INC (NOV) | 12/10/09 | 25.000 | 43 848 | 1,096.20 | 1,708.75 | 612.55 LT | | |
| | 1/8/10 | 1.000 | 46.830 | 46.83 | 68.35 | 21.52 LT | | |
| | 1/22/10 | 5.000 | 42 874 | 214.37 | 341.75 | 127.38 LT | | |
| | 2/8/10 | 2.000 | 41.870 | 83.74 | 136.70 | 52.96 LT | | |
| | 2/16/10 | 1.000 | 44.070 | 44.07 | 68.35 | 24 28 LT | | |
| | 2/22/10 | 2.000 | 44.680 | 89.36 | 136.70 | 47.34 LT | | |
| | **Total** | 36.000 | | 1,574.57 | **2,460.60** | 886.03 LT | 18.72 | 0.76 |
| *Share Price: $68 350; Next Dividend Payable 03/2013* | | | | | | | | |
| NESTLE SPON ADR REP REG SHR (NSRGY) | 2/16/12 | 24.000 | 60.384 | 1,449.21 | 1,564.08 | 114 87 ST | | |
| | 11/29/12 | 37.000 | 65.800 | 2,434.60 | 2,411.29 | (23.31) ST | | |
| | **Total** | 61.000 | | 3,883.81 | **3,975.37** | 91 56 ST | 108.09 | 2 71 |
| *Share Price· $65 170; Next Dividend Payable 05/2013* | | | | | | | | |
| NEWFIELD EXPL CO (NFX) | 4/12/12 | 8.000 | 33.569 | 268.55 | 214.24 | (54.31) ST | | |
| | 5/1/12 | 12.000 | 36.493 | 437.91 | 321.36 | (116.55) ST | | |
| | 11/6/12 | 5 000 | 26.494 | 132.47 | 133.90 | 1.43 ST | | |
| | **Total** | 25 000 | | 838.93 | **669.50** | (169.43) ST | — | — |
| *Share Price: $26.780* | | | | | | | | |

CONTINUED

# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| NEXTERA ENERGY INC COM (NEE) | 1/8/10 | 3.000 | 52.498 | 157.49 | 207.57 | 50.08 LT | | |
| | 1/22/10 | 8.000 | 48.446 | 387.57 | 553.52 | 165.95 LT | | |
| | 2/8/10 | 2.000 | 47.110 | 94.22 | 138.38 | 44.16 LT | | |
| | 2/16/10 | 7 000 | 46 117 | 322.82 | 484.33 | 161.51 LT | | |
| | 2/22/10 | 3.000 | 47 067 | 141.20 | 207.57 | 66.37 LT | | |
| | 1/6/11 | 8.000 | 52.130 | 417.04 | 553.52 | 136.48 LT | | |
| | 11/29/12 | 58.000 | 67.950 | 3,941.09 | 4,013.02 | 71.93 ST | | |
| | Total | 89.000 | | 5,461.43 | **6,157.91** | 624.55 LT<br>71.93 ST | 213.60 | 3.46 |
| *Share Price: $69.190; Next Dividend Payable 03/2013* | | | | | | | | |
| NOVARTIS AG ADR (NVS) | 12/10/09 | 35.000 | 54.169 | 1,895.90 | 2,215.50 | 319.60 LT | | |
| | 1/8/10 | 6.000 | 52.248 | 313.49 | 379.80 | 66.31 LT | | |
| | 2/8/10 | 1.000 | 53.180 | 53.18 | 63.30 | 10.12 LT | | |
| | 2/16/10 | 2.000 | 54.310 | 108.62 | 126.60 | 17.98 LT | | |
| | 2/22/10 | 2 000 | 54.765 | 109.53 | 126.60 | 17.07 LT | | |
| | Total | 46.000 | | 2,480.72 | **2,911.80** | 431.08 LT | 96.88 | 3.32 |
| *Share Price: $63.300, Next Dividend Payable 04/2013* | | | | | | | | |
| NUCOR CORPORATION (NUE) | 12/10/09 | 15.000 | 41.998 | 629.97 | 647.40 | 17 43 LT | | |
| | 12/10/09 | 45.000 | 41.998 | 1,889.92 | 1,942.20 | 52 28 LT | | |
| | 12/10/09 | 3.000 | 41.998 | 125.99 | 129.48 | 3.49 LT | | |
| | 12/23/09 | 1.000 | 46.060 | 46.06 | 43.16 | (2.90) LT | | |
| | 12/23/09 | 3.000 | 46.060 | 138.18 | 129.48 | (8.70) LT | | |
| | 1/8/10 | 3.000 | 50 170 | 150.51 | 129.48 | (21.03) LT | | |
| | 1/22/10 | 2.000 | 44.330 | 88.66 | 86.32 | (2.34) LT | | |
| | 1/22/10 | 9.000 | 44.328 | 398.95 | 388.44 | (10.51) LT | | |
| | 2/8/10 | 3.000 | 39.770 | 119.31 | 129.48 | 10 17 LT | | |
| | 2/8/10 | 9.000 | 39.770 | 357.93 | 388.44 | 30.51 LT | | |
| | 2/22/10 | 2.000 | 44.005 | 88.01 | 86.32 | (1.69) LT | | |
| | 2/7/11 | 2.000 | 48.420 | 96.84 | 86.32 | (10.52) LT | | |
| | 2/7/11 | 7.000 | 48.421 | 338 95 | 302.12 | (36.83) LT | | |
| | 5/4/11 | 2.000 | 45.440 | 90.88 | 86.32 | (4.56) LT | | |

CONTINUED

002856 MSDDT202 029341

# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 5/4/11 | 7 000 | 45.437 | 318.06 | 302.12 | (15.94) LT | | |
| | 7/28/11 | 3.000 | 39.343 | 118.03 | 129.48 | 11.45 LT | | |
| | 7/28/11 | 10.000 | 39.345 | 393.45 | 431.60 | 38.15 LT | | |
| | **Total** | 126.000 | | 5,389.70 | **5,438.16** | 48.46 LT | 185.22 | 3.40 |
| *Share Price· $43.160; Next Dividend Payable 02/11/13* | | | | | | | | |
| OCCIDENTAL PETROLEUM CORP DE (OXY) | 12/14/12 | 9.000 | 76.096 | 684.86 | 689.49 | 4.63 ST | | |
| | 12/19/12 | 7.000 | 78 900 | 552 30 | 536.27 | (16.03) ST | | |
| | **Total** | 16.000 | | 1,237.16 | **1,225.76** | (11.40) ST | 34.56 | 2.81 |
| *Share Price: $76.610; Next Dividend Payable 01/15/13* | | | | | | | | |
| OSHKOSH CORP (OSK) | 1/21/11 | 2.000 | 36.126 | 72 25 | 59 30 | (12.95) LT | | |
| | 4/28/11 | 13.000 | 32.430 | 421 59 | 385.45 | (36.14) LT | | |
| | 5/4/11 | 3.000 | 30 357 | 91 07 | 88 95 | (2.12) LT | | |
| | 8/24/12 | 7.000 | 24 500 | 171 50 | 207.55 | 36.05 ST | | |
| | **Total** | 25.000 | | 756 41 | **741.25** | (51.21) LT<br>36.05 ST | — | — |
| *Share Price: $29.650* | | | | | | | | |
| PALL CORPORATION (PLL) | 12/10/09 | 61.000 | 33 997 | 2,073 82 | 3,675.86 | 1,602.04 LT | | |
| | 2/8/10 | 7.000 | 33.620 | 235.34 | 421.82 | 186 48 LT | | |
| | 9/8/11 | 12.000 | 44 717 | 536.60 | 723.12 | 186.52 LT | | |
| | **Total** | 80.000 | | 2,845.76 | **4,820.80** | 1,975.04 LT | 80.00 | 1.65 |
| *Share Price: $60.260; Next Dividend Payable 02/2013* | | | | | | | | |
| PEABODY ENERGY CORP (BTU) | 5/1/12 | 9.000 | 31.664 | 284.98 | 239.49 | (45.49) ST | | |
| | 7/24/12 | 17.000 | 20.500 | 348.50 | 452 37 | 103.87 ST | | |
| | 9/26/12 | 18.000 | 22.356 | 402.41 | 478.98 | 76.57 ST | | |
| | **Total** | 44.000 | | 1,035.89 | **1,170.84** | 134.95 ST | 14.96 | 1.27 |
| *Share Price. $26.610; Next Dividend Payable 02/2013* | | | | | | | | |
| PEBBLEBROOK HOTEL TR COM (PEB) | 7/23/10 | 14 000 | 17.127 | 239.78 | 323.40 | 83 62 LT | | |
| | 5/3/11 | 33.000 | 21.103 | 696.39 | 762.30 | 65 91 LT | | |
| | 11/7/12 | 13.000 | 21.140 | 274.82 | 300 30 | 25 48 ST | | |
| | 11/29/12 | 11 000 | 21.020 | 231.22 | 254.10 | 22 88 ST | | |

CONTINUED

# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 71.000 | | 1,442.21 | **1,640.10** | 149.53 LT<br>48.36 ST | 34.08 | 2.07 |
| *Share Price. $23.100, Next Dividend Payable 01/15/13* | | | | | | | | |
| PENTAIR LTD (PNR) | 12/10/09 | 24.000 | 27.448 | 658.76 | 1,179 60 | 520.84 LT | | |
| | 1/8/10 | 4.000 | 24.198 | 96.79 | 196 60 | 99.81 LT | | |
| | 2/8/10 | 3.000 | 28.310 | 84.93 | 147.45 | 62.52 LT | | |
| | 2/16/10 | 2.000 | 21.780 | 43.56 | 98.30 | 54.74 LT | | |
| | 2/22/10 | 1 000 | 18.990 | 18.99 | 49.15 | 30.16 LT | | |
| | 11/29/12 | 4.000 | 48 890 | 195.56 | 196.60 | 1.04 ST | | |
| | **Total** | 38.000 | | 1,098.59 | **1,867.70** | 768.07 LT<br>1.04 ST | 33.44 | 1.79 |
| *Share Price: $49 150; Next Dividend Payable 02/2013* | | | | | | | | |
| PEOPLE'S UNITED FINANCIAL INC. (PBCT) | 1/7/11 | 40.000 | 14.189 | 567.56 | 483.60 | (83.96) LT | | |
| | 1/10/11 | 103.000 | 13.997 | 1,441.66 | 1,245.27 | (196.39) LT | | |
| | 1/19/11 | 3.000 | 14 070 | 42.21 | 36.27 | (5.94) LT | | |
| | 3/7/11 | 19.000 | 12 595 | 239.30 | 229.71 | (9.59) LT | | |
| | 11/29/12 | 335.000 | 12.037 | 4,032.23 | 4,050.15 | 17.92 ST | | |
| | **Total** | 500.000 | | 6,322.96 | **6,045.00** | (295.88) LT<br>17.92 ST | 320.00 | 5.29 |
| *Share Price: $12.090; Next Dividend Payable 02/2013* | | | | | | | | |
| PEPSICO INC NC (PEP) | 12/10/09 | 10.000 | 61.857 | 618.57 | 684.30 | 65.73 LT | | |
| | 1/8/10 | 6.000 | 60.605 | 363.63 | 410.58 | 46.95 LT | | |
| | 1/22/10 | 2.000 | 60.610 | 121.22 | 136.86 | 15.64 LT | | |
| | 2/8/10 | 2.000 | 59.255 | 118 51 | 136.86 | 18.35 LT | | |
| | 2/16/10 | 1.000 | 61.210 | 61.21 | 68.43 | 7.22 LT | | |
| | 2/22/10 | 1.000 | 62.620 | 62.62 | 68.43 | 5 81 LT | | |
| | 11/29/12 | 35.000 | 70.310 | 2,460.85 | 2,395.05 | (65.80) ST | | |
| | **Total** | 57 000 | | 3,806.61 | **3,900.51** | 159.70 LT<br>(65.80) ST | 122.55 | 3.14 |
| *Share Price. $68.430; Next Dividend Payable 01/02/13* | | | | | | | | |

CONTINUED

# Holdings

**Select UMA Basic Securities Account**
**803-107614-009**

**THE DANIEL & FLAVIA GERNATT**
**FAMILY FOUNDATION**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **PFIZER INC (PFE)** | 12/4/06 | 15.025 | 25 126 | 377.51 | 376.81 | (0.70) LT 1 | | |
| | 1/8/10 | 5.000 | 18.586 | 92.93 | 125.39 | 32.46 LT | | |
| | 2/8/10 | 5.000 | 17.926 | 89.63 | 125.39 | 35.76 LT | | |
| | 2/16/10 | 4.000 | 17.678 | 70.71 | 100.31 | 29 60 LT | | |
| | 2/22/10 | 3.000 | 17 990 | 53.97 | 75.23 | 21 26 LT | | |
| | 7/5/11 | 33.001 | 20.754 | 684.91 | 827.64 | 142.73 LT | | |
| | 7/31/12 | 14.000 | 23.950 | 335.30 | 351.11 | 15.81 ST | | |
| | 11/29/12 | 208 000 | 24.826 | 5,163.91 | 5,216.49 | 52.58 ST | | |
| | Purchases | 287.026 | | 6,868.87 | **7,198.37** | 261 11 LT<br>68 39 ST | | |
| Long Term Reinvestments | | 36.974 | | 643.19 | 927 28 | 284 09 LT | | |
| | **Total** | 324.000 | | 7,512.06 | **8,125.69** | 545 20 LT<br>68 39 ST | 311.04 | 3.82 |
| *Share Price: $25.079, Next Dividend Payable 03/2013* | | | | | | | | |
| **PHILLIPS 66 COM (PSX)** | 2/8/10 | 0.473 | 21.818 | 10.32 | 25.11 | 14.79 LT | | |
| | 2/22/10 | 1.421 | 22.357 | 31.77 | 75.45 | 43.68 LT | | |
| | 3/2/11 | 4.263 | 35.794 | 152.59 | 226.36 | 73.77 LT | | |
| | 5/3/11 | 2.843 | 34.034 | 96.76 | 150.96 | 54.20 LT | | |
| | **Total** | 9.000 | | 291 44 | **477.90** | 186.44 LT | 9.00 | 1.88 |
| *Share Price: $53.100; Next Dividend Payable 03/2013* | | | | | | | | |
| **PLANTRONICS INC (PLT)** | 8/16/11 | 7.000 | 33.051 | 231 36 | 258.09 | 26.73 LT | | |
| | 12/10/12 | 1.000 | 34 030 | 34 03 | 36.87 | 2.84 ST | | |
| | **Total** | 8 000 | | 265.39 | **294.96** | 26.73 LT<br>2.84 ST | 3.20 | 1 08 |
| *Share Price: $36.870, Next Dividend Payable 03/2013* | | | | | | | | |
| **PPG INDUSTRIES INC (PPG)** | 12/10/09 | 21.000 | 58 808 | 1,234.96 | 2,842.35 | 1,607.39 LT | | |
| | 1/8/10 | 5.000 | 61 468 | 307.34 | 676.75 | 369.41 LT | | |
| | 1/22/10 | 2.000 | 60 310 | 120.62 | 270.70 | 150.08 LT | | |
| | 2/8/10 | 3.000 | 57.890 | 173.67 | 406.05 | 232.38 LT | | |
| | 2/16/10 | 1.000 | 61 250 | 61.25 | 135.35 | 74.10 LT | | |

CONTINUED

# Holdings

Select UMA Basic Securities Account 803-107614-009

THE DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 2/22/10 | 2.000 | 62.220 | 124 44 | 270.70 | 146.26 LT | | |
| | 9/26/11 | 2.000 | 69.675 | 139 35 | 270.70 | 131.35 LT | | |
| | 11/29/12 | 29.000 | 122.680 | 3,557 72 | 3,925.15 | 367.43 ST | | |
| | Total | 65.000 | | 5,719 35 | **8,797.75** | 2,710.97 LT<br>367.43 ST | 153 40 | 1.74 |
| *Share Price: $135.350; Next Dividend Payable 03/2013* | | | | | | | | |
| **PROCTER & GAMBLE (PG)** | 9/17/98 | 35.413 | 38.557 | 1,365.41 | 2,404.19 | 1,038.78 LT 1 | | |
| | 1/8/10 | 7.000 | 60.219 | 421.53 | 475.23 | 53.70 LT | | |
| | 1/22/10 | 2.000 | 60.600 | 121.20 | 135.78 | 14.58 LT | | |
| | 2/16/10 | 2.000 | 62.785 | 125.57 | 135.78 | 10.21 LT | | |
| | 2/22/10 | 2.000 | 63.570 | 127 14 | 135.78 | 8.64 LT | | |
| | 7/27/10 | 7.000 | 62.740 | 439 18 | 475 23 | 36.05 LT | | |
| | 9/21/10 | 4.000 | 61.440 | 245.76 | 271.56 | 25.80 LT | | |
| | 10/22/10 | 1.000 | 63.280 | 63.28 | 67 89 | 4.61 LT | | |
| | 12/3/10 | 2.000 | 62.260 | 124.52 | 135 78 | 11.26 LT | | |
| | 12/7/10 | 1.000 | 62.170 | 62.17 | 67.89 | 5.72 LT | | |
| | 3/7/11 | 4.001 | 61.670 | 246 74 | 271.63 | 24.89 LT | | |
| | 11/29/12 | 125.000 | 69.466 | 8,683.30 | 8,486.25 | (197.05) ST | | |
| | **Purchases** | 192.414 | | 12,025.80 | **13,062.99** | 1,234.24 LT<br>(197.05) ST | | |
| Long Term Reinvestments | | 10.586 | | 602 68 | 718.68 | 116.00 LT | | |
| | Total | 203.000 | | 12,628 48 | **13,781.67** | 1,350.24 LT<br>(197.05) ST | 456.34 | 3.31 |
| *Share Price· $67 890; Next Dividend Payable 02/2013* | | | | | | | | |
| **QUALCOMM INC (QCOM)** | 6/27/12 | 25.000 | 54.996 | 1,374.90 | 1,546.49 | 171.59 ST | | |
| | 11/29/12 | 38.000 | 63.320 | 2,406.16 | 2,350.66 | (55 50) ST | | |
| | Total | 63 000 | | 3,781.06 | **3,897.15** | 116.09 ST | 63.00 | 1.61 |
| *Share Price: $61.860; Next Dividend Payable 03/2013* | | | | | | | | |
| **RAYTHEON CO (NEW) (RTN)** | 12/10/09 | 17.000 | 52.028 | 884.48 | 978 52 | 94.04 LT | | |
| | 1/8/10 | 6.000 | 52.240 | 313.44 | 345.36 | 31.92 LT | | |
| | 2/8/10 | 1.000 | 53.120 | 53.12 | 57 56 | 4.44 LT | | |

CONTINUED

# Holdings

Select UMA Basic Securities Account 803-107614-009

THE DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 2/16/10 | 2.000 | 54.430 | 108.86 | 115 12 | 6.26 LT | | |
| | 2/22/10 | 1 000 | 56.090 | 56.09 | 57.56 | 1.47 LT | | |
| | 9/21/10 | 13.000 | 46.897 | 609.66 | 748.28 | 138.62 LT | | |
| | 11/9/10 | 3.000 | 48.500 | 145.50 | 172.68 | 27.18 LT | | |
| | 11/15/10 | 1 000 | 46.500 | 46.50 | 57.56 | 11.06 LT | | |
| | 11/29/12 | 62.000 | 56.730 | 3,517.26 | 3,568.72 | 51 46 ST | | |
| | **Total** | 106.000 | | 5,734.91 | **6,101.36** | 314 99 LT<br>51.46 ST | 212.00 | 3.47 |
| *Share Price. $57.560, Next Dividend Payable 02/07/13* | | | | | | | | |
| **REGIONS FINANCIAL CORP NEW (RF)** | 4/5/12 | 31.000 | 6.421 | 199 04 | 221.03 | 21.99 ST | | |
| | 4/13/12 | 44.000 | 6.195 | 272.59 | 313 72 | 41.13 ST | | |
| | 4/16/12 | 44.000 | 6.202 | 272 87 | 313 72 | 40.85 ST | | |
| | 11/20/12 | 42 000 | 6.600 | 277.20 | 299 46 | 22.26 ST | | |
| | 11/20/12 | 21.000 | 6.593 | 138.45 | 149.73 | 11.28 ST | | |
| | **Total** | 182.000 | | 1,160.15 | **1,297.66** | 137.51 ST | 7 28 | 0.56 |
| *Share Price: $7.130; Next Dividend Payable 01/02/13* | | | | | | | | |
| **SAFEWAY INC COM NEW (SWY)** | 12/10/09 | 105 000 | 21.330 | 2,239 65 | 1,899.45 | (340.20) LT | | |
| | 1/8/10 | 16.000 | 21.037 | 336 59 | 289.44 | (47.15) LT | | |
| | 2/16/10 | 3.000 | 22.727 | 68 18 | 54.27 | (13.91) LT | | |
| | 2/22/10 | 1.000 | 23.850 | 23 85 | 18.09 | (5 76) LT | | |
| | 5/3/11 | 23 000 | 24.148 | 555 40 | 416.07 | (139 33) LT | | |
| | 7/21/11 | 12 000 | 21.896 | 262 75 | 217.08 | (45.67) LT | | |
| | 8/24/12 | 55 000 | 15.549 | 855.20 | 994.95 | 139.75 ST | | |
| | **Total** | 215 000 | | 4,341.62 | **3,889.35** | (592.02) LT<br>139.75 ST | 150 50 | 3.86 |
| *Share Price: $18.090; Next Dividend Payable 03/2013* | | | | | | | | |

CONTINUED

# Holdings

**Select UMA Basic Securities Account**
**803-107614-009**

**THE DANIEL & FLAVIA GERNATT**
**FAMILY FOUNDATION**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| SANDISK CORP (SNDK) | 12/10/09 | 45.000 | 22.628 | 1,018.26 | 1,957.50 | 939.24 LT | | |
| | 2/16/10 | 3.000 | 27.347 | 82.04 | 130.50 | 48.46 LT | | |
| | 8/30/10 | 3.000 | 34.473 | 103.42 | 130.50 | 27.08 LT | | |
| | 10/27/10 | 31.000 | 37.665 | 1,167.63 | 1,348.50 | 180.87 LT | | |
| | 4/13/12 | 7.000 | 41.859 | 293 01 | 304.50 | 11.49 ST | | |
| | Total | 89.000 | | 2,664.36 | **3,871.50** | 1,195.65 LT<br>11.49 ST | — | — |
| *Share Price: $43.500* | | | | | | | | |
| SCHLUMBERGER LTD (SLB) | 12/10/09 | 1 000 | 61.367 | 61.37 | 69.29 | 7.92 LT | | |
| | 12/10/09 | 7.000 | 61.367 | 429.57 | 485.08 | 55.51 LT | | |
| | 12/10/09 | 2.000 | 61.367 | 122.73 | 138.59 | 15.86 LT | | |
| | 12/10/09 | 1.000 | 61.367 | 61.37 | 69.29 | 7.92 LT | | |
| | 12/10/09 | 5.000 | 61.367 | 306.83 | 346.49 | 39.66 LT | | |
| | 1/22/10 | 2.000 | 65.440 | 130.88 | 138.59 | 7.71 LT | | |
| | 2/8/10 | 2.000 | 62.535 | 125.07 | 138.59 | 13.52 LT | | |
| | 2/16/10 | 1.000 | 65.670 | 65.67 | 69.29 | 3.62 LT | | |
| | 2/22/10 | 4.000 | 60.505 | 242.02 | 277.19 | 35.17 LT | | |
| | 6/2/10 | 4.000 | 54.993 | 219.97 | 277.19 | 57.22 LT | | |
| | 7/6/12 | 8.000 | 65.578 | 524 62 | 554.38 | 29.76 ST | | |
| | 7/6/12 | 21.000 | 65.578 | 1,377 13 | 1,455.26 | 78.13 ST | | |
| | 10/25/12 | 7.000 | 71.106 | 497 74 | 485 08 | (12.66) ST | | |
| | 11/29/12 | 53.000 | 70.490 | 3,735.97 | 3,672.81 | (63.16) ST | | |
| | 11/29/12 | 1.000 | 70.490 | 70.49 | 69.29 | (1.20) ST | | |
| | Total | 119 000 | | 7,971.43 | **8,246.52** | 244.11 LT<br>30.87 ST | 130.90 | 1.58 |
| *Share Price: $69.299; Next Dividend Payable 01/11/13* | | | | | | | | |
| SEAGATE TECHNOLOGY PLC (STX) | 12/10/09 | 116.000 | 16 518 | 1,916.09 | 3,528.72 | 1,612.63 LT | | |
| | 1/8/10 | 13.000 | 17 880 | 232.44 | 395.46 | 163.02 LT | | |
| | 2/8/10 | 2.000 | 18.250 | 36.50 | 60.84 | 24.34 LT | | |
| | 8/18/10 | 71.000 | 11.172 | 793.19 | 2,159.82 | 1,366.63 LT | | |
| | 8/23/10 | 98.000 | 10.960 | 1,074.12 | 2,981.16 | 1,907.04 LT | | |

CONTINUED

# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 300.000 | | 4,052 34 | **9,126.00** | 5,073.66 LT | 456.00 | 4.99 |
| *Share Price: $30 420; Next Dividend Payable 03/2013* | | | | | | | | |
| **SOTHEBY'S CL A (BID)** | 10/19/11 | 4.000 | 31 218 | 124.87 | 134.48 | 9.61 LT | | |
| | 10/21/11 | 4.000 | 32 038 | 128.15 | 134.48 | 6.33 LT | | |
| | 11/29/12 | 1.000 | 28 930 | 28.93 | 33 62 | 4.69 ST | | |
| | **Total** | 9.000 | | 281.95 | **302.58** | 15.94 LT<br>4.69 ST | 3.60 | 1 18 |
| *Share Price: $33.620; Next Dividend Payable 03/2013* | | | | | | | | |
| **SPECTRA ENERGY CORP COM (SE)** | 12/10/09 | 81.000 | 20 077 | 1,626.25 | 2,217.78 | 591.53 LT | | |
| | 1/8/10 | 8.000 | 20 938 | 167.50 | 219.04 | 51.54 LT | | |
| | 2/8/10 | 4.000 | 20.838 | 83.35 | 109.52 | 26.17 LT | | |
| | 2/16/10 | 5.000 | 21.328 | 106.64 | 136.90 | 30.26 LT | | |
| | 2/22/10 | 4 000 | 21.680 | 86.72 | 109.52 | 22.80 LT | | |
| | 11/29/12 | 188.000 | 27.657 | 5,199.46 | 5,147.44 | (52.02) ST | | |
| | **Total** | 290 000 | | 7,269.92 | **7,940.20** | 722.30 LT<br>(52.02) ST | 353.80 | 4.45 |
| *Share Price: $27 380, Next Dividend Payable 03/2013* | | | | | | | | |
| **STATE STREET CORP (STT)** | 12/31/12 | 15 000 | 46.745 | 701.18 | **705.15** | 3.97 ST | 14 40 | 2.04 |
| *Share Price: $47 010; Next Dividend Payable 01/15/13* | | | | | | | | |
| **SYMANTEC CORP (SYMC)** | 3/9/11 | 15.000 | 18.390 | 275.85 | 282.30 | 6 45 LT | | |
| | 3/11/11 | 15.000 | 18.089 | 271.34 | 282.30 | 10.96 LT | | |
| | 5/3/11 | 6.000 | 19.560 | 117.36 | 112.92 | (4.44) LT | | |
| | 5/13/11 | 14.000 | 20.050 | 280.70 | 263.48 | (17.22) LT | | |
| | 5/18/11 | 14.000 | 19.624 | 274 73 | 263.48 | (11.25) LT | | |
| | **Total** | 64.000 | | 1,219 98 | **1,204.48** | (15.50) LT | — | — |
| *Share Price: $18.820* | | | | | | | | |
| **TARGET CORPORATION (TGT)** | 3/9/12 | 24 000 | 57.546 | 1,381.10 | 1,420.08 | 38.98 ST | | |
| | 11/5/12 | 20.000 | 63 393 | 1,267 86 | 1,183.40 | (84.46) ST | | |
| | 11/29/12 | 86.000 | 62 678 | 5,390.27 | 5,088.62 | (301.65) ST | | |

CONTINUED

# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 130.000 | | 8,039 23 | **7,692.10** | (347.13) ST | 187.20 | 2 43 |
| *Share Price: $59.170; Next Dividend Payable 03/2013* | | | | | | | | |
| **TE CONNECTIVITY LTD NEW (TEL)** | 12/10/09 | 124.000 | 23.608 | 2,927.45 | 4,602.88 | 1,675.43 LT | | |
| | 1/8/10 | 13 000 | 25.020 | 325.26 | 482.56 | 157.30 LT | | |
| | 1/22/10 | 2 000 | 25.050 | 50.10 | 74.24 | 24.14 LT | | |
| | 2/8/10 | 4 000 | 24.720 | 98.88 | 148.48 | 49.60 LT | | |
| | 2/16/10 | 4.000 | 25.798 | 103.19 | 148.48 | 45.29 LT | | |
| | 2/22/10 | 5.000 | 26.320 | 131.60 | 185.60 | 54.00 LT | | |
| | **Total** | 152.000 | | 3,636.48 | **5,642.24** | 2,005.76 LT | 127.68 | 2.26 |
| *Share Price: $37.120; Next Dividend Payable 03/2013* | | | | | | | | |
| **TERADYNE INC (TER)** | 11/2/12 | 19.000 | 15.300 | 290.70 | 320.91 | 30.21 ST | | |
| | 11/14/12 | 27.000 | 15.550 | 419.84 | 456.03 | 36 19 ST | | |
| | **Total** | 46.000 | | 710.54 | **776.94** | 66 40 ST | — | — |
| *Share Price: $16.890* | | | | | | | | |
| **TEVA PHARMACEUTICALS ADR (TEVA)** | 12/11/12 | 6.000 | 41.778 | 250.67 | 224.04 | (26.63) ST | | |
| | 12/14/12 | 1.000 | 38.090 | 38.09 | 37.34 | (0.75) ST | | |
| | **Total** | 7.000 | | 288.76 | **261.38** | (27.38) ST | 5.63 | 2.15 |
| *Share Price: $37.340; Next Dividend Payable 03/2013* | | | | | | | | |
| **TEXAS INSTRUMENTS (TXN)** | 12/10/09 | 13.000 | 25.896 | 336.65 | 401.57 | 64.92 LT | | |
| | 12/10/09 | 22.000 | 25.896 | 569.71 | 679.58 | 109.87 LT | | |
| | 12/10/09 | 2.000 | 25.896 | 51.79 | 61.78 | 9.99 LT | | |
| | 1/8/10 | 3 000 | 26.237 | 78.71 | 92.67 | 13.96 LT | | |
| | 1/8/10 | 8.000 | 26.238 | 209.90 | 247.12 | 37.22 LT | | |
| | 1/22/10 | 4.000 | 23.178 | 92.71 | 123.56 | 30.85 LT | | |
| | 1/22/10 | 9.000 | 23.178 | 208.60 | 278 01 | 69.41 LT | | |
| | 2/8/10 | 1.000 | 23.240 | 23.24 | 30 89 | 7.65 LT | | |
| | 2/8/10 | 2.000 | 23.235 | 46 47 | 61.78 | 15.31 LT | | |
| | 2/22/10 | 2.000 | 24.880 | 49 76 | 61.78 | 12.02 LT | | |
| | 2/22/10 | 4.000 | 24.878 | 99.51 | 123.56 | 24.05 LT | | |
| | 10/5/11 | 19.000 | 27.412 | 520.83 | 586.91 | 66 08 LT | | |

CONTINUED

# Holdings

**Select UMA Basic Securities Account**
**803-107614-009**

**THE DANIEL & FLAVIA GERNATT**
**FAMILY FOUNDATION**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 10/5/11 | 35.000 | 27.412 | 959.42 | 1,081.15 | 121.73 LT | | |
| | 11/29/12 | 90.000 | 30.040 | 2,703 60 | 2,780.10 | 76.50 ST | | |
| | 11/29/12 | 1.000 | 30 040 | 30.04 | 30.89 | 0 85 ST | | |
| | **Total** | 215 000 | | 5,980.94 | **6,641.35** | 583.06 LT<br>77.35 ST | 180 60 | 2.71 |
| *Share Price. $30.890; Next Dividend Payable 02/2013* | | | | | | | | |
| THE ADT CORPORATION COM (ADT) | 12/10/09 | 54 000 | 22 836 | 1,233.14 | 2,510 46 | 1,277.32 LT | | |
| | 1/8/10 | 7.000 | 25 281 | 176.97 | 325 43 | 148.46 LT | | |
| | 2/8/10 | 7.000 | 22 183 | 155.28 | 325 43 | 170.15 LT | | |
| | 2/16/10 | 3.000 | 26 550 | 79.65 | 139 47 | 59.82 LT | | |
| | 2/22/10 | 1.000 | 34 720 | 34.72 | 46.49 | 11.77 LT | | |
| | **Total** | 72.000 | | 1,679.76 | **3,347.28** | 1,667.52 LT | 36.00 | 1 07 |
| *Share Price: $46.490, Next Dividend Payable 03/2013* | | | | | | | | |
| THE MOSAIC CO (HLDG CO) NEW (MOS) | 6/5/12 | 5.000 | 46 478 | 232.39 | 283.15 | 50 76 ST | | |
| | 11/14/12 | 9.000 | 48.798 | 439.18 | 509.67 | 70 49 ST | | |
| | **Total** | 14.000 | | 671.57 | **792.82** | 121.25 ST | 14.00 | 1.76 |
| *Share Price: $56.630; Next Dividend Payable 02/2013* | | | | | | | | |
| THERMO FISHER SCIENTIFIC INC (TMO) | 7/10/12 | 27.000 | 52.539 | 1,418.54 | 1,722.06 | 303.52 ST | | |
| | 10/25/12 | 7.000 | 61.571 | 431.00 | 446.46 | 15.46 ST | | |
| | 11/29/12 | 61.000 | 63.430 | 3,869.22 | 3,890.58 | 21.36 ST | | |
| | **Total** | 95.000 | | 5,718.76 | **6,059.10** | 340.34 ST | 57.00 | 0.94 |
| *Share Price· $63.780; Next Dividend Payable 01/15/13* | | | | | | | | |
| TIME WARNER INC NEW (TWX) | 3/8/10 | 39.000 | 30.650 | 1,195.34 | 1,865.37 | 670 03 LT | | |
| | 10/22/10 | 2.000 | 31.550 | 63.10 | 95.66 | 32.56 LT | | |
| | 11/19/10 | 1.000 | 30.410 | 30.41 | 47.83 | 17.42 LT | | |
| | 5/13/11 | 35.000 | 36.202 | 1,267.08 | 1,674.05 | 406.97 LT | | |
| | 9/26/11 | 4.000 | 30.150 | 120.60 | 191.32 | 70.72 LT | | |
| | 11/29/12 | 89.000 | 47.010 | 4,183.89 | 4,256.87 | 72.98 ST | | |
| | **Total** | 170.000 | | 6,860.42 | **8,131.10** | 1,197.70 LT<br>72.98 ST | 176.80 | 2 17 |
| *Share Price: $47 830, Next Dividend Payable 03/2013* | | | | | | | | |

CONTINUED

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

# Holdings

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| TOTAL S A SPON ADR (TOT) | 12/10/09 | 16.000 | 62.656 | 1,002.50 | 832.16 | (170.34) LT | | |
| | 1/8/10 | 1.000 | 66.070 | 66.07 | 52.01 | (14.06) LT | | |
| | 1/22/10 | 3.000 | 60.427 | 181.28 | 156.03 | (25.25) LT | | |
| | 2/8/10 | 3 000 | 55.437 | 166.31 | 156.03 | (10.28) LT | | |
| | 2/22/10 | 2 000 | 58.245 | 116.49 | 104.02 | (12.47) LT | | |
| | 7/27/10 | 28 000 | 49.949 | 1,398.57 | 1,456.28 | 57.71 LT | | |
| | 9/22/10 | 1.000 | 51.100 | 51.10 | 52.01 | 0.91 LT | | |
| | 11/24/10 | 2.000 | 50.750 | 101.50 | 104 02 | 2.52 LT | | |
| | 11/29/10 | 1.000 | 48 890 | 48.89 | 52.01 | 3.12 LT | | |
| | 8/24/12 | 10.000 | 49.239 | 492.39 | 520.10 | 27.71 ST | | |
| | 11/29/12 | 135.000 | 49.911 | 6,738.03 | 7,021.35 | 283.32 ST | | |
| | Total | 202.000 | | 10,363.13 | **10,506.02** | (168.14) LT<br>311.03 ST | 506 41 | 4.82 |
| *Share Price- $52.010; Next Dividend Payable 01/10/13* | | | | | | | | |
| TRAVELERS COMPANIES INC COM (TRV) | 12/10/09 | 9.000 | 50 689 | 456.20 | 646.38 | 190.18 LT | | |
| | 1/8/10 | 14.000 | 48.427 | 677.98 | 1,005.48 | 327.50 LT | | |
| | 1/22/10 | 1.000 | 48.620 | 48.62 | 71.82 | 23.20 LT | | |
| | 2/16/10 | 3.000 | 51.457 | 154.37 | 215.46 | 61.09 LT | | |
| | 2/22/10 | 1.000 | 53.110 | 53.11 | 71.82 | 18.71 LT | | |
| | 12/10/10 | 2.000 | 54.560 | 109.12 | 143.64 | 34.52 LT | | |
| | 8/26/11 | 11.000 | 47.194 | 519.13 | 790.02 | 270.89 LT | | |
| | 11/29/12 | 72.000 | 71.060 | 5,116.32 | 5,171.04 | 54.72 ST | | |
| | Total | 113.000 | | 7,134.85 | **8,115.66** | 926.09 LT<br>54.72 ST | 207.92 | 2 56 |
| *Share Price: $71 820, Next Dividend Payable 03/2013* | | | | | | | | |
| TYCO INTERNATIONAL LTD NEW (TYC) | 12/10/09 | 106.000 | 17.953 | 1,903.04 | 3,100.50 | 1,197.46 LT | | |
| | 1/8/10 | 15.000 | 18.039 | 270 59 | 438.75 | 168 16 LT | | |
| | 2/8/10 | 14.000 | 16.960 | 237 44 | 409.50 | 172.06 LT | | |
| | 2/16/10 | 7 000 | 17.397 | 121 78 | 204.75 | 82.97 LT | | |
| | 2/22/10 | 3.000 | 17.693 | 53.08 | 87.75 | 34.67 LT | | |
| | Total | 145.000 | | 2,585.93 | **4,241.25** | 1,655.32 LT | 87.00 | 2.05 |
| *Share Price: $29.250; Next Dividend Payable 02/2013* | | | | | | | | |

CONTINUED

# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| U S BANCORP COM NEW (USB) | 12/16/10 | 17.000 | 26 019 | 442.32 | 542 98 | 100.66 LT | | |
| | 12/20/10 | 10 000 | 26.190 | 261.90 | 319.40 | 57.50 LT | | |
| | 12/21/10 | 10 000 | 26.320 | 263 20 | 319 40 | 56.20 LT | | |
| | 1/3/11 | 14 000 | 27.110 | 379.54 | 447 16 | 67.62 LT | | |
| | 1/4/11 | 10 000 | 26.810 | 268.10 | 319 40 | 51.30 LT | | |
| | 1/21/11 | 11 000 | 26.910 | 296.01 | 351 34 | 55.33 LT | | |
| | 5/3/11 | 11 000 | 25.779 | 283 57 | 351.34 | 67.77 LT | | |
| | **Total** | 83.000 | | 2,194 64 | **2,651.02** | 456 38 LT | 64.74 | 2.44 |
| *Share Price: $31.940; Next Dividend Payable 01/15/13* | | | | | | | | |
| UNILEVER PLC (NEW) ADS (UL) | 12/10/09 | 57 000 | 30.208 | 1,721.83 | 2,207.04 | 485 21 LT | | |
| | 1/8/10 | 6 000 | 31.120 | 186 72 | 232.32 | 45 60 LT | | |
| | 1/22/10 | 2 000 | 31 000 | 62.00 | 77.44 | 15 44 LT | | |
| | 2/8/10 | 5 000 | 28.998 | 144.99 | 193.60 | 48 61 LT | | |
| | 2/16/10 | 3 000 | 29.497 | 88.49 | 116.16 | 27 67 LT | | |
| | 2/22/10 | 3 000 | 30.027 | 90 08 | 116.16 | 26 08 LT | | |
| | 8/2/11 | 4 000 | 31.543 | 126 17 | 154.88 | 28 71 LT | | |
| | **Total** | 80 000 | | 2,420 28 | **3,097.60** | 677 32 LT | 98 08 | 3.16 |
| *Share Price- $38.720* | | | | | | | | |
| UNITED PARCEL SERVICE INC CL-B (UPS) | 12/10/09 | 27.000 | 57.408 | 1,550 01 | 1,990.71 | 440.70 LT | | |
| | 1/8/10 | 3.000 | 60.137 | 180 41 | 221.19 | 40.78 LT | | |
| | 1/22/10 | 2.000 | 58.915 | 117 83 | 147.46 | 29.63 LT | | |
| | 2/8/10 | 1.000 | 56.810 | 56.81 | 73.73 | 16.92 LT | | |
| | 2/16/10 | 2.000 | 57.360 | 114.72 | 147.46 | 32.74 LT | | |
| | 2/22/10 | 2.000 | 58.030 | 116.06 | 147.46 | 31.40 LT | | |
| | 11/11/10 | 2.000 | 67.990 | 135.98 | 147.46 | 11.48 LT | | |
| | 8/10/11 | 13.000 | 62.922 | 817.99 | 958.49 | 140.50 LT | | |
| | 11/29/12 | 85.000 | 73.460 | 6,244.10 | 6,267.05 | 22.95 ST | | |

CONTINUED

# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | Total | 137.000 | | 9,333.91 | **10,101.01** | 744.15 LT<br>22.95 ST | 312.36 | 3.09 |
| *Share Price: $73.730; Next Dividend Payable 03/2013* | | | | | | | | |
| UNITED TECHNOLOGIES CORP (UTX) | 5/29/12 | 18.000 | 74.663 | 1,343.93 | 1,476 18 | 132.25 ST | | |
| | 10/25/12 | 18.000 | 78.211 | 1,407.79 | 1,476.18 | 68.39 ST | | |
| | 11/29/12 | 65.000 | 79.640 | 5,176.60 | 5,330.65 | 154.05 ST | | |
| | Total | 101.000 | | 7,928.32 | **8,283.01** | 354.69 ST | 216 14 | 2.60 |
| *Share Price: $82.010; Next Dividend Payable 03/2013* | | | | | | | | |
| UNITEDHEALTH GP INC (UNH) | 12/10/09 | 121 000 | 30.176 | 3,651.31 | 6,563.04 | 2,911.73 LT | | |
| | 1/8/10 | 3 000 | 32.530 | 97.59 | 162.72 | 65 13 LT | | |
| | 2/8/10 | 9 000 | 32.589 | 293.30 | 488.16 | 194.86 LT | | |
| | 2/16/10 | 20.000 | 31.506 | 630.12 | 1,084.80 | 454.68 LT | | |
| | 2/22/10 | 5.000 | 33.088 | 165.44 | 271.20 | 105.76 LT | | |
| | Total | 158.000 | | 4,837.76 | **8,569.92** | 3,732.16 LT | 134.30 | 1.56 |
| *Share Price: $54.240; Next Dividend Payable 03/2013* | | | | | | | | |
| VEECO INSTRUMENTS INC DEL (VECO) | 10/17/12 | 10.000 | 29.998 | 299.98 | 294.90 | (5.08) ST | | |
| | 11/2/12 | 14.000 | 30.990 | 433.86 | 412.86 | (21.00) ST | | |
| | 11/12/12 | 9.000 | 30.000 | 270.00 | 265.41 | (4.59) ST | | |
| | 12/27/12 | 9.000 | 28.981 | 260.83 | 265.41 | 4.58 ST | | |
| | Total | 42.000 | | 1,264.67 | **1,238.58** | (26.09) ST | — | — |
| *Share Price: $29.490* | | | | | | | | |
| VERIZON COMMUNICATIONS (VZ) | 1/20/95 | 21.393 | 23.449 | 501.65 | 925.68 | 424.03 LT 1 | | |
| | 1/8/10 | 14.000 | 29.639 | 414.95 | 605 78 | 190.83 LT | | |
| | 1/22/10 | 4 000 | 28.570 | 114.28 | 173.08 | 58.80 LT | | |
| | 2/8/10 | 8 000 | 26.685 | 213 48 | 346.16 | 132.68 LT | | |

CONTINUED

002856 MSDDT202 029347

# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 2/16/10 | 4.000 | 27.365 | 109 46 | 173.08 | 63 62 LT | | |
| | 2/22/10 | 6 001 | 27.185 | 163 14 | 259.66 | 96.52 LT | | |
| | 11/29/12 | 136 000 | 43.896 | 5,969 79 | 5,884.72 | (85 07) ST | | |
| | **Purchases** | 193 394 | | 7,486 75 | **8,368.16** | 966.48 LT<br>(85.07) ST | | |
| Long Term Reinvestments | | 37 606 | | 1,081.27 | 1,627 21 | 545.94 LT | | |
| | **Total** | 231.000 | | 8,568.02 | **9,995.37** | 1,512.42 LT<br>(85 07) ST | 475.86 | 4 76 |
| *Share Price: $43 270, Next Dividend Payable 02/2013* | | | | | | | | |
| **VERTEX PHARMACEUTICALS (VRTX)** | 12/10/09 | 26.000 | 40.148 | 1,043.85 | 1,089.40 | 45.55 LT | | |
| | 1/8/10 | 6.000 | 40.700 | 244.20 | 251.40 | 7.20 LT | | |
| | 1/22/10 | 1.000 | 40.160 | 40.16 | 41.90 | 1.74 LT | | |
| | 2/8/10 | 6.000 | 37.247 | 223.48 | 251.40 | 27.92 LT | | |
| | 2/22/10 | 2.000 | 39.730 | 79 46 | 83.80 | 4.34 LT | | |
| | 2/11/11 | 7.000 | 38.163 | 267.14 | 293.30 | 26.16 LT | | |
| | 6/9/11 | 3.000 | 48.763 | 146.29 | 125.70 | (20.59) LT | | |
| | 8/10/11 | 3.000 | 42.843 | 128 53 | 125.70 | (2.83) LT | | |
| | 11/29/12 | 7 000 | 39.700 | 277 90 | 293.30 | 15.40 ST | | |
| | **Total** | 61 000 | | 2,451 01 | **2,555.90** | 89.49 LT<br>15.40 ST | — | — |
| *Share Price: $41.900* | | | | | | | | |
| **VODAFONE GP PLC ADS NEW (VOD)** | 12/10/09 | 63 000 | 23.029 | 1,450 80 | 1,586 97 | 136.17 LT | | |
| | 1/8/10 | 14 000 | 22 048 | 308.67 | 352 66 | 43.99 LT | | |
| | 1/22/10 | 4.000 | 21 638 | 86.55 | 100 76 | 14.21 LT | | |
| | 2/16/10 | 5.000 | 22.168 | 110.84 | 125 95 | 15.11 LT | | |
| | 2/22/10 | 6.000 | 22.017 | 132.10 | 151 14 | 19 04 LT | | |
| | **Total** | 92.000 | | 2,088.96 | **2,317.48** | 228.52 LT | 138.00 | 5.95 |
| *Share Price: $25 190, Next Dividend Payable 02/06/13* | | | | | | | | |
| **WAL MART STORES INC (WMT)** | 12/10/09 | 12.000 | 54.598 | 655.18 | 818.76 | 163 58 LT | | |
| | 1/8/10 | 8.000 | 53.138 | 425.10 | 545.84 | 120 74 LT | | |
| | 1/22/10 | 1.000 | 53.240 | 53.24 | 68.23 | 14 99 LT | | |

CONTINUED

# Holdings

**Select UMA Basic Securities Account**
**803-107614-009**

**THE DANIEL & FLAVIA GERNATT**
**FAMILY FOUNDATION**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 2/8/10 | 1.000 | 53.160 | 53 16 | 68 23 | 15.07 LT | | |
| | 2/16/10 | 3.000 | 53.640 | 160.92 | 204.69 | 43.77 LT | | |
| | 2/22/10 | 3.000 | 53.880 | 161.64 | 204.69 | 43.05 LT | | |
| | 9/23/10 | 2 000 | 53.610 | 107.22 | 136.46 | 29.24 LT | | |
| | 11/4/10 | 2.000 | 55.400 | 110.80 | 136.46 | 25.66 LT | | |
| | 11/12/10 | 1.000 | 54.250 | 54.25 | 68.23 | 13.98 LT | | |
| | 1/3/11 | 1.000 | 54.170 | 54.17 | 68.23 | 14.06 LT | | |
| | 3/7/11 | 4.000 | 51.965 | 207.86 | 272.92 | 65.06 LT | | |
| | 11/29/12 | 76 000 | 70 750 | 5,377.00 | 5,185.48 | (191.52) ST | | |
| | Total | 114 000 | | 7,420.54 | **7,778.22** | 549.20 LT<br>(191.52) ST | 181.26 | 2.33 |
| *Share Price: $68.230; Next Dividend Payable 03/2013* | | | | | | | | |
| **WALT DISNEY CO HLDG CO (DIS)** | 12/10/09 | 13.000 | 31.346 | 407.50 | 647.27 | 239.77 LT | | |
| | 12/10/09 | 2.000 | 31.346 | 62.69 | 99.58 | 36 89 LT | | |
| | 12/10/09 | 3.000 | 31.346 | 94.04 | 149.37 | 55.33 LT | | |
| | 12/10/09 | 14.000 | 31.346 | 438.85 | 697.06 | 258.21 LT | | |
| | 1/8/10 | 2.000 | 31.710 | 63.42 | 99.58 | 36.16 LT | | |
| | 1/8/10 | 4.000 | 31.708 | 126.83 | 199.16 | 72.33 LT | | |
| | 1/22/10 | 1.000 | 30.120 | 30.12 | 49.79 | 19.67 LT | | |
| | 1/22/10 | 3 000 | 30 117 | 90.35 | 149.37 | 59.02 LT | | |
| | 2/8/10 | 2.000 | 29.665 | 59.33 | 99.58 | 40.25 LT | | |
| | 2/16/10 | 2.000 | 30.470 | 60.94 | 99.58 | 38.64 LT | | |
| | 2/22/10 | 1.000 | 31.170 | 31.17 | 49.79 | 18.62 LT | | |
| | 12/23/11 | 16.000 | 37.515 | 600.24 | 796.64 | 196.40 LT | | |
| | 12/23/11 | 23.000 | 37.515 | 862.84 | 1,145.17 | 282.33 LT | | |
| | 11/29/12 | 33 000 | 49.750 | 1,641.75 | 1,643.07 | 1.32 ST | | |
| | Total | 119.000 | | 4,570.07 | **5,925.01** | 1,353.62 LT<br>1.32 ST | 89.25 | 1.50 |

*Share Price: $49.790; Next Dividend Payable 12/2013*

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# Holdings

**Select UMA Basic Securities Account**
**803-107614-009**

**THE DANIEL & FLAVIA GERNATT**
**FAMILY FOUNDATION**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| WASTE MGMT INC (DELA) (WM) | 12/10/09 | 59 000 | 33.288 | 1,964 02 | 1,990.66 | 26 64 LT | | |
| | 1/8/10 | 11.000 | 34.190 | 376 09 | 371.14 | (4.95) LT | | |
| | 1/22/10 | 6.000 | 33.088 | 198.53 | 202.44 | 3 91 LT | | |
| | 2/8/10 | 7.000 | 31.564 | 220 95 | 236.18 | 15.23 LT | | |
| | 2/16/10 | 2.000 | 32.870 | 65.74 | 67.48 | 1.74 LT | | |
| | 2/22/10 | 6.000 | 33.378 | 200.27 | 202.44 | 2.17 LT | | |
| | 11/4/10 | 4 000 | 35.813 | 143.25 | 134.96 | (8.29) LT | | |
| | 11/12/10 | 3 000 | 34.950 | 104.85 | 101.22 | (3.63) LT | | |
| | 11/29/12 | 212 000 | 32.497 | 6,889 30 | 7,152.88 | 263.58 ST | | |
| | **Total** | 310 000 | | 10,163 00 | **10,459.40** | 32.82 LT<br>263.58 ST | 440.20 | 4.20 |
| *Share Price. $33 740; Next Dividend Payable 03/2013* | | | | | | | | |
| WEATHERFORD INTERNATIONAL LTD (WFT) | 12/10/09 | 139 000 | 16.308 | 2,266.81 | 1,555 41 | (711 40) LT | | |
| | 1/22/10 | 42 000 | 17.910 | 752.22 | 469.98 | (282 24) LT | | |
| | 1/28/10 | 34 000 | 16.048 | 545.62 | 380.46 | (165 16) LT | | |
| | 2/8/10 | 47 000 | 15.060 | 707.82 | 525 93 | (181 89) LT | | |
| | 2/16/10 | 21.000 | 15.147 | 318.09 | 234 99 | (83.10) LT | | |
| | 4/21/11 | 17.000 | 20.462 | 347.86 | 190 23 | (157 63) LT | | |
| | 5/4/11 | 15.000 | 20.228 | 303.42 | 167.85 | (135 57) LT | | |
| | 8/24/12 | 160.000 | 12.748 | 2,039.74 | 1,790.40 | (249.34) ST | | |
| | 11/29/12 | 122.000 | 10.031 | 1,223.73 | 1,365 18 | 141.45 ST | | |
| | **Total** | 597.000 | | 8,505.31 | **6,680.43** | (1,716.99) LT<br>(107.89) ST | — | — |
| *Share Price: $11 190* | | | | | | | | |
| WEYERHAEUSER CO (WY) | 7/22/10 | 54.000 | 15 540 | 839.14 | 1,502.28 | 663.14 LT | | |
| | 8/2/11 | 15.000 | 18 999 | 284.99 | 417.30 | 132.31 LT | | |
| | **Total** | 69.000 | | 1,124 13 | **1,919.58** | 795 45 LT | 46 92 | 2.44 |
| *Share Price- $27.820; Next Dividend Payable 02/2013* | | | | | | | | |
| WISCONSIN ENERGY CORP (WEC) | 8/10/11 | 45.000 | 28 841 | 1,297.86 | 1,658.25 | 360 39 LT | | |
| | 12/2/11 | 16.000 | 33.356 | 533.70 | 589.60 | 55 90 LT | | |
| | 11/29/12 | 102.000 | 37 046 | 3,778.74 | 3,758.70 | (20.04) ST | | |
| | **Total** | 163.000 | | 5,610.30 | **6,006.55** | 416.29 LT<br>(20.04) ST | 221.68 | 3.69 |
| *Share Price: $36.850; Next Dividend Payable 03/2013* | | | | | | | | |

# Holdings

Select UMA Basic Securities Account 803-107614-009

THE DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| STOCKS | 49.2% | $578,869.37 | $676,490.50 | $92,371.92 LT | $18,029.02 | 2.66% |
| | | | | $5,248.82 ST | $0.00 | |

## MUTUAL FUNDS

### OTHER MUTUAL FUNDS

*"Total Purchases vs Market Value" is provided to assist you in comparing your "Total Purchases," excluding reinvested distributions, with the current value of the mutual fund positions in your account*

*"Cumulative Cash Distributions" when shown, may reflect distributions on shares no longer held in the account It may not reflect all distributions received in cash; due to but not limited to the following: investments made prior to addition of this information on statements, securities transfers, timing of recent distributions, and certain adjustments made in your account.*

*"Net Value Increase/ (Decrease)" reflects the difference between your total purchases, plus the cash distributions shown, and the current value of the fund's shares. This calculation is for informational purposes only and does not reflect your total unrealized gain or loss nor should it be used for tax purposes.*
*Consulting Group Investment Advisor Research (CG IAR) status codes (FL, AL or NL) may be shown for certain mutual funds Please refer to "CG IAR Statuses in Investment Advisory Programs" in the quarter-end statement (or your first statement, if you have not yet received a statement at the quarter-end) for a description of these status codes. All status codes represent the opinions of CG IAR and are not representations or guarantees of performance*

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **CALAMOS MARKET NEUTRAL INC I (CMNIX)** | 11/29/12 | 5,300.634 | $12.580 | $66,681.98 | **$66,363.94** | $(318.04) ST | $970.00 | 1 46 |
| Total Purchases vs Market Value | | | | 66,681.98 | 66,363.94 | | | |
| Cumulative Cash Distributions | | | | | 308.55 | | | |
| Net Value Increase/(Decrease) | | | | | (9.49) | | | |
| *Share Price: $12.520; CG IAR Status. AL; Dividend Cash; Capital Gains Cash* | | | | | | | | |
| **E V FLOATING RATE I (EIBLX)** | 5/3/11 | 9,508.901 | 9.100 | 86,531.00 | **86,721.18** | 190.18 LT | 3,851.00 | 4.44 |
| Total Purchases vs Market Value | | | | 86,531.00 | 86,721.18 | | | |
| Cumulative Cash Distributions | | | | | 5,843.29 | | | |
| Net Value Increase/(Decrease) | | | | | 6,033.47 | | | |
| *Share Price: $9.120; Dividend Cash; Capital Gains Cash* | | | | | | | | |
| **ING GLOBAL REAL ESTATE FD I (IGLIX)** | 12/10/09 | 1,142.561 | 14.810 | 16,921.33 | 20,623.22 | 3,701.89 LT | | |
| | 1/8/10 | 174.713 | 14 790 | 2,584.00 | 3,153 56 | 569.56 LT | | |
| | 1/22/10 | 113.506 | 13.920 | 1,580.00 | 2,048.78 | 468.78 LT | | |
| | 2/8/10 | 87 847 | 13.330 | 1,171.00 | 1,585.63 | 414.63 LT | | |
| | 2/16/10 | 89.257 | 13.870 | 1,238.00 | 1,611.08 | 373 08 LT | | |

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002856 MSDDT202 029349

# Holdings

Select UMA Basic Securities Account
803-107614-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

## MUTUAL FUNDS

### OTHER MUTUAL FUNDS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 2/22/10 | 64 996 | 13 970 | 908 00 | 1,173.17 | 265 17 LT | | |
| | 5/3/11 | 389 822 | 17.390 | 6,779.00 | 7,036 28 | 257 28 LT | | |
| | 11/29/12 | 1 731.310 | 17.630 | 30,522.99 | 31,250 14 | 727 15 ST | | |
| | Total | 3,794 012 | | 61,704 32 | **68,481.92** | 6,050 39 LT<br>727 15 ST | 1 529 00 | 2 23 |
| Total Purchases vs Market Value | | | | 61,704 32 | 68,481 92 | | | |
| Cumulative Cash Distributions | | | | | 3,225 28 | | | |
| Net Value Increase/(Decrease) | | | | | 10,002.88 | | | |
| *Share Price $18 050, Dividend Cash, Capital Gains Cash* | | | | | | | | |
| **INVESCO PREMIER INST (IPPXX)** | | 26,138 000 | 0 000 | 0 00 | **26,138.00** | | 26 00 | 0 09 |
| *Share Price: $1.000; Dividend Cash; Capital Gains Cash* | | | | | | | | |
| **LAZARD EMERGING MARKETS I (LZEMX)** | 12/10/09 | 3,071 936 | 18.120 | 55 663 49 | 60,025 63 | 4,362.14 LT | | |
| | 1/8/10 | 496 842 | 18.680 | 9,281 00 | 9,708 29 | 427.29 LT | | |
| | 1/22/10 | 379 637 | 17 630 | 6,693 00 | 7,418 10 | 725 10 LT | | |
| | 2/8/10 | 431 758 | 16 720 | 7,219 00 | 8,436 55 | 1,217.55 LT | | |
| | 2/16/10 | 234 648 | 17 490 | 4,104 00 | 4,585 02 | 481.02 LT | | |
| | 2/22/10 | 209 407 | 17 540 | 3,673 00 | 4,091 81 | 418.81 LT | | |
| | Total | 4,824.228 | | 86,633.49 | **94,265.42** | 7,631 91 LT | 1,717 00 | 1 82 |
| Total Purchases vs Market Value | | | | 86,633.49 | 94,265.42 | | | |
| Cumulative Cash Distributions | | | | | 14,338 33 | | | |
| Net Value Increase/(Decrease) | | | | | 21,970 26 | | | |
| *Share Price- $19 540, CG IAR Status- FL; Dividend Cash; Capital Gains Cash* | | | | | | | | |
| **METROPOLITAN WEST TOT RET BD I (MWTIX)** | 12/10/09 | 2,951 425 | 9 940 | 29,337 17 | 32,141 01 | 2,803 84 LT | | |
| | 1/8/10 | 484.148 | 10 030 | 4,856 00 | 5,272 37 | 416.37 LT | | |
| | 1/22/10 | 73.840 | 10 130 | 748.00 | 804 11 | 56 11 LT | | |
| | 2/8/10 | 53 162 | 10 120 | 538.00 | 578 93 | 40 93 LT | | |

CONTINUED

# Holdings

Select UMA Basic Securities Account 803-107614-009

THE DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

## MUTUAL FUNDS

### OTHER MUTUAL FUNDS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 2/16/10 | 284.950 | 10.100 | 2,878.00 | 3,103.10 | 225.10 LT | | |
| | 2/22/10 | 276.763 | 10.070 | 2,787.00 | 3,013.94 | 226.94 LT | | |
| | 11/29/12 | 3,084.594 | 11.100 | 34,238.99 | 33,591.22 | (647.77) ST | | |
| | **Total** | 7,208.882 | | 75,383.16 | **78,504.72** | 3,769 29 LT<br>(647.77) ST | 3,179.00 | 4.04 |
| Total Purchases vs Market Value | | | | 75,383 16 | 78,504.72 | | | |
| Cumulative Cash Distributions | | | | | 8,853.13 | | | |
| Net Value Increase/(Decrease) | | | | | 11,974.69 | | | |
| *Share Price: $10.890, CG IAR Status. FL; Dividend Cash; Capital Gains Cash* | | | | | | | | |
| **OPPENHEIMER INTL BOND Y (OIBYX)** | 12/10/09 | 1,467 670 | 6.600 | 9,686.62 | 9,657.26 | (29.36) LT | | |
| | 1/8/10 | 1,188.117 | 6.480 | 7,699.00 | 7,817.80 | 118.80 LT | | |
| | 1/22/10 | 274.103 | 6.410 | 1,757.00 | 1,803.59 | 46.59 LT | | |
| | 2/8/10 | 254.603 | 6.300 | 1,604.00 | 1,675.28 | 71.28 LT | | |
| | 2/16/10 | 507.717 | 6.350 | 3,224.00 | 3,340.77 | 116.77 LT | | |
| | 2/22/10 | 549.367 | 6.320 | 3,472.00 | 3,614.83 | 142.83 LT | | |
| | 11/29/12 | 1,854.489 . | 6 570 | 12,183.99 | 12,202 53 | 18.54 ST | | |
| | **Total** | 6,096.066 | | 39,626.61 | **40,112.11** | 466.91 LT<br>18.54 ST | 2,152.00 | 5.36 |
| Total Purchases vs Market Value | | | | 39,626.61 | 40,112.11 | | | |
| Cumulative Cash Distributions | | | | | 6,975.19 | | | |
| Net Value Increase/(Decrease) | | | | | 7,460.69 | | | |
| *Share Price: $6.580, CG IAR Status. AL; Dividend Cash; Capital Gains Cash* | | | | | | | | |
| **T ROWE PRICE EMERGING MKTS BD (PREMX)** | 11/29/12 | 4,679.437 | 14.250 | 66,681.98 | **66,541.59** | (140.39) ST | 3,861.00 | 5.80 |
| Total Purchases vs Market Value | | | | 66,681.98 | 66,541.59 | | | |
| Cumulative Cash Distributions | | | | | 701.92 | | | |
| Net Value Increase/(Decrease) | | | | | 561.53 | | | |
| *Share Price: $14.220; CG IAR Status. AL; Dividend Cash; Capital Gains Cash* | | | | | | | | |
| **VIRTUS INSIGHT EMERG MKTS I (HIEMX)** | 11/29/12 | 9,822.472 | 10.190 | 100,090.99 | **101,269.69** | 1,178.70 ST | 747.00 | 0.73 |
| Total Purchases vs Market Value | | | | 100,090.99 | 101,269.69 | | | |
| Cumulative Cash Distributions | | | | | 442.99 | | | |
| Net Value Increase/(Decrease) | | | | | 1,621.69 | | | |
| *Share Price. $10.310, CG IAR Status: FL; Dividend Cash; Capital Gains Cash* | | | | | | | | |

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# Holdings

**Select UMA Basic Securities Account**
**803-107614-009**

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| MUTUAL FUNDS | 45.7% | $583,333.53 | $628,398.57 | $18,108.68 LT | $18,032.00 | 2.87% |
| | | | | $818.19 ST | $0.00 | |

*Transactions in mutual fund positions held directly at the Fund Company are not included in the total above and are not reflected on the Summary Page.*
*For more information about the pricing of Money Market Funds, please see the Expanded Disclosures.*

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| TOTAL MARKET VALUE | 100.0% | ~~$1,162,202.90~~ | $1,374,730.21 | $110,480.60 LT | $36,068.02 | 2.62% |
| | | | | $6,067.01 ST | $0.00 | |
| TOTAL VALUE (includes accrued interest) | | 1,274,307.79 | $1,374,730.21 | | | |

*1 - This information reflects your requested adjustments to the transaction details.*
*C - This taxlot received a return of capital. This is a return of some or all of your investment in the security A return of capital reduces your basis in the security and is not taxed until your basis in the security is fully recovered.*
*Unrealized Gain/(Loss) totals only reflect positions that have cost basis and/or market value information available. Cash, MMF, Deposits and positions stating 'Please Provide' are not included*

# Holdings

Basic Securities Account 803-111039-009

THE DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

*This section reflects the impact of positions purchased/sold on a trade date basis, and will include positions purchased and omit positions sold in the current month. Please see the "Unsettled Purchases/Sales Activity" section for more information.*
*The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the statement period indicated, which may not reflect the value that could actually be obtained in the market See "Pricing of Securities" in the Expanded Disclosures Fixed Income securities are sorted by maturity or pre-refunding date, and alphabetically within date*
*Estimated annual income and estimated yield for certain securities can include return of principal or capital gains which could overstate such estimates. Estimated yield and estimated annual income are estimates and the actual income or yield may be lower or higher than the estimates. Estimated yield reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate*
*Structured products appear in various statement product categories and are identified as "Structured Products" in the Security Description column Estimated accrued interest, estimated annual income and estimated yield for structured products with a contingent income feature (such as Range Accrual Notes or Contingent Income Notes) assume specified accrual conditions are met during the relevant observation period and payment in full of all contingent interest. If you hold structured products, please see "Special Considerations Regarding Structured Products" in the Disclosures.*
*New Treasury regulations require that we report on Form 1099-B after the close of the tax year your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B Cost basis is reflected on monthly statements for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Expanded Disclosures for additional information.*

## CASH, DEPOSITS AND MONEY MARKET FUNDS

*Cash, Deposits and Money Market Funds are generally displayed on a settlement date basis However, Global Currency Deposits may include both settled and unsettled positions Estimated Annual Income, Accrued Interest and APY% will only be displayed for fully settled positions In the event, all or a portion of a Global Currency Deposit position is unsettled as of month end, this data will not be available*

| Description | Value | Estimated Annual Income | 7-Day Current Yield % | Annual Percentage Yield % |
|---|---|---|---|---|
| MS LIQUID ASSET FUND | $6,133.16 | $0.61 | 0 010 | --- |

| | Percentage of Assets % | Market Value | Estimated Annual Income / Accrued Interest |
|---|---|---|---|
| CASH, DEPOSITS AND MONEY MARKET FUNDS | 4 2% | $6,133.16 | $0 61<br>$0.00 |

*Money market funds seek to maintain a share price of $1 00, therefore the dollar amounts listed equal the number of shares. Additional information concerning these transactions is available upon request. For more information about the pricing of Money Market Funds, please see the Expanded Disclosures.*
*The money market funds reflected above include the balances in your automatic sweep feature, if any, and may include other money market funds that have been purchased in your account.*

# Holdings

Basic Securities Account 803-111039-009
THE DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS

*Morgan Stanley & Co LLC (Morgan Stanley), Citi Investment Research & Analysis (CIRA), and Standard & Poor's equity research ratings may be shown for certain securities All research ratings represent the "opinions" of the research provider and are not representations or guarantees of performance Because the applicable research report contains more complete information regarding the analyst's opinions, analysis, and rating, you should read the entire research report and not infer its contents from the rating Where a particular company is covered by both Morgan Stanley and CIRA, you can and should view both research reports CIRA's equity research ratings are (1) Buy, (2) Neutral and (3) Sell For ease of comparison, Morgan Stanley and Standard & Poor's equity research ratings have been normalized to a 1 (Buy), 2 (Hold), and 3 (Sell) Please refer to the quarter month-end statement (or your first statement, if you have not yet received a statement at the quarter-end) for a summary guide describing Morgan Stanley, CIRA and Standard & Poor's ratings Morgan Stanley Smith Barney LLC does not take responsibility for, and does not guarantee the accuracy, completeness, or timeliness of research prepared for Standard & Poor's*

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| COLGATE PALMOLIVE CO (CL) | 9/19/03 | 355.578 | $55.577 | $19,762.06 | $37,172.12 | $17,410.06 LT 1 | | |
| | 1/26/05 | 100.000 | 51 125 | 5,112.52 | 10,454.00 | 5,341 48 LT 1 | | |
| | Purchases | 455.578 | | 24,874.58 | **47,626.12** | 22,751 54 LT | | |
| Short Term Reinvestments | | 5.409 | | 566 58 | 565.46 | (1 12) ST | | |
| | Total | 460 987 | | 25,441.16 | **48,191.58** | 22,751 54 LT<br>(1 12) ST | 1,143.25 | 2 37 |

*Share Price. $104.540; Rating: Morgan Stanley: 1, Citigroup. 2, S&P· 1, Next Dividend Payable 02/2013*

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| FACEBOOK INC CL-A (FB) | 5/17/12 | 100 000 | 38.000 | 3,800 00 | 2,661.97 | (1,138.03) ST | | |
| | 5/17/12 | 400.000 | 38.000 | 15,200 00 | 10,647.88 | (4,552.12) ST | | |
| | Total | 500.000 | | 19,000.00 | **13,309.85** | (5,690.15) ST | — | — |

*Share Price. $26 620; Rating Morgan Stanley 1, Citigroup 1, S&P: 2*

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| STOCKS | 41.8% | $44,441.16 | $61,501.43 | $22,751.54 LT<br>$(5,691.27) ST | $1,143.25<br>$0.00 | 1.86% |

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Basic Securities Account 803-111039-009
THE DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

# Holdings

## MUNICIPAL BONDS

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|---|---|
| NEW YORK CITY GENL OBLIG SER-F | 12/16/10 | 20,000.000 | $103.030 | $20,606.00 | | | $1,329.20 | 5.38 |
| SUBSERIES F-1 BUILD AMERICA | | | $102.552 | $20,510.44 | $24,674.60 | $4,164.16 LT | $110.76 | |
| CUSIP 64966JAS5 | | | | | | | | |

*Unit Price. $123.373; Coupon Rate 6.646%; Matures 12/01/2031; Int. Semi-Annually Jun/Dec 01; Callable $100 00 on 12/01/20; Yield to Call 3.270%; Subject to Federal Tax; Moody AA2 S&P AA; Issued 12/21/10*

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|---|---|
| NASSAU CNTY N Y GEN IMPT-F BUILD | 12/16/10 | 20,000.000 | 102 782 | 20,556.40 | | | 1,480.00 | 6.34 |
| AMERICA BOND | | | 102.347 | 20,469.44 | 23,307.20 | 2,837.76 LT | 370 00 | |
| CUSIP 63165TFX8 | | | | | | | | |

*Unit Price: $116.536; Coupon Rate 7.400%; Matures 10/01/2035, Int. Semi-Annually Apr/Oct 01; Callable $100.00 on 10/01/20; Yield to Call 4.816%; Subject to Federal Tax; Moody A2 S&P A+; Issued 12/16/10*

| | Face Value / Percentage of Assets % | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| MUNICIPAL BONDS | 40,000.000 | $41,162.40 | | | $2,809.20 | 5.85% |
| | | $40,979.88 | $47,981.80 | $7,001.92 LT | $480.76 | |
| TOTAL MUNICIPAL BONDS (incl.accr.int.) | 33.0% | | $48,462.56 | | | |

## CORPORATE FIXED INCOME

### FIXED-RATE CAPITAL SECURITIES

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|---|---|
| MORGAN STANLEY IV 6.250 EXTENDABLE | 5/14/07 | 1,000.000 | $25.225 | $25,224.83 | | | | |
| TO 4/01/2052 (MWG) | | | $25.225 | $25,224.83 | $24,990.00 | $(234.83) LT 1 | | |
| | Purchases | 1,000 000 | | 25,224.83 | | | | |
| | | | | 25,224.83 | 24,990.00 | (234.83) LT | | |
| Long Term Reinvestments | | 193.998 | | 4,241.85 | | | | |
| | | | | 4,241.85 | 4,848.01 | 606.16 LT | | |

CONTINUED

Security Mark at Right

Basic Securities Account
803-111039-009

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

# Holdings

## CORPORATE FIXED INCOME

**FIXED-RATE CAPITAL SECURITIES** (CONTINUED)

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|---|---|
| Short Term Reinvestments | | 41.002 | | 931.84<br>931.84 | 1,024.64 | 92.80 ST | | |
| | Total | 1,235.000 | | 30,398.52<br>30,398.52 | 30,862.65 | 371.33 LT<br>92.80 ST | 1,929.69<br>— | 6.25 |

*Unit Price: $24.990; Coupon Rate 6.250%; Matures 04/01/2033; Interest Paid Quarterly Jan 02; Callable $25.00 on 01/29/13; Moody BA1 S&P BB+*

| | Face Value / Percentage of Assets % | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| CORPORATE FIXED INCOME | —<br>21.0% | $30,398.52<br>$30,398.52 | $30,862.65 | $371.33 LT<br>$92.80 ST | $1,929.69<br>$0.00 | 6.25% |

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| TOTAL MARKET VALUE | 100.0% | $115,819.56 | $146,479.04 | $30,124.79 LT<br>$(5,598.47) ST | $5,882.75<br>$480.76 | 4.00% |
| TOTAL VALUE (includes accrued interest) | | 121,952.72 | $146,959.80 | | | |

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

*Unrealized Gain/(Loss) totals only reflect positions that have cost basis and/or market value information available. Cash, MMF, Deposits and positions stating 'Please Provide' are not included.*

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# Holdings

Portfolio Management Basic Securities Account
803-107607-507

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

*This section reflects the impact of positions purchased/sold on a trade date basis, and will include positions purchased and omit positions sold in the current month. Please see the "Unsettled Purchases/Sales Activity" section for more information.*
*The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the statement period indicated, which may not reflect the value that could actually be obtained in the market. See "Pricing of Securities" in the Expanded Disclosures. Fixed Income securities are sorted by maturity or pre-refunding date, and alphabetically within date.*
*Estimated annual income and estimated yield for certain securities can include return of principal or capital gains which could overstate such estimates. Estimated yield and estimated annual income are estimates and the actual income or yield may be lower or higher than the estimates Estimated yield reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate.*
*Structured products appear in various statement product categories and are identified as "Structured Products" in the Security Description column. Estimated accrued interest, estimated annual income and estimated yield for structured products with a contingent income feature (such as Range Accrual Notes or Contingent Income Notes) assume specified accrual conditions are met during the relevant observation period and payment in full of all contingent interest If you hold structured products, please see "Special Considerations Regarding Structured Products" in the Disclosures.*
*New Treasury regulations require that we report on Form 1099-B after the close of the tax year your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. Cost basis is reflected on monthly statements for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Expanded Disclosures for additional information.*

## CASH, DEPOSITS AND MONEY MARKET FUNDS

*Cash, Deposits and Money Market Funds are generally displayed on a settlement date basis. However, Global Currency Deposits may include both settled and unsettled positions. Estimated Annual Income, Accrued Interest and APY% will only be displayed for fully settled positions In the event, all or a portion of a Global Currency Deposit position is unsettled as of month end, this data will not be available.*

| Description | Value | Estimated Annual Income | 7-Day Current Yield % | Annual Percentage Yield % |
|---|---|---|---|---|
| MS LIQUID ASSET FUND | $18,013.51 | $1 80 | 0.010 | — |

| | Percentage of Assets % | Market Value | Estimated Annual Income / *Accrued Interest* |
|---|---|---|---|
| CASH, DEPOSITS AND MONEY MARKET FUNDS | | $18,013.51 | $1.80<br>$0.00 |
| NET UNSETTLED PURCHASES/SALES | | $(2,476.72) | |
| CASH, DEPOSITS AND MONEY MARKET FUNDS (PROJECTED SETTLED BALANCE) | 3.7% | $15,536.79 | |

*Money market funds seek to maintain a share price of $1.00, therefore the dollar amounts listed equal the number of shares. Additional information concerning these transactions is available upon request. For more information about the pricing of Money Market Funds, please see the Expanded Disclosures.*
*The money market funds reflected above include the balances in your automatic sweep feature, if any, and may include other money market funds that have been purchased in your account.*
*The "Projected Settled Balance" includes accrued interest on deposits and reflects the impact of unsettled purchases/sales.*

# Holdings

Portfolio Management Basic Securities Account 803-107607-507

THE DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| AT&T INC (T) | 11/19/12 | 400.000 | $33.600 | $13,439.96 | **$13,484.00** | $44.04 ST | $720.00 | 5.33 |
| *Share Price: $33.710; Next Dividend Payable 02/2013* | | | | | | | | |
| CHEVRON CORP (CVX) | 2/16/11 | 300.000 | 96.699 | 29,009.64 | **32,442.00** | 3,432.36 LT | 1,080.00 | 3.32 |
| *Share Price- $108.140; Next Dividend Payable 03/2013* | | | | | | | | |
| CISCO SYS INC (CSCO) | 9/26/12 | 1,000.000 | 18.438 | 18,437.90 | 19,649 40 | 1,211.50 ST | | |
| | 11/28/12 | 400.000 | 18.834 | 7,533 40 | 7,859.76 | 326.36 ST | | |
| | **Total** | 1,400.000 | | 25,971 30 | **27,509.16** | 1,537.86 ST | 784 00 | 2.84 |
| *Share Price: $19.649; Next Dividend Payable 03/2013* | | | | | | | | |
| DU PONT EI DE NEMOURS & CO (DD) | 2/14/11 | 500.000 | 54 456 | 27,228.20 | 22,489.25 | (4,738.95) LT | | |
| | 9/16/11 | 100.000 | 46.758 | 4,675.78 | 4,497.85 | (177.93) LT | | |
| | **Total** | 600.000 | | 31,903.98 | **26,987.10** | (4,916.88) LT | 1,032 00 | 3.82 |
| *Share Price- $44.979; Next Dividend Payable 03/2013* | | | | | | | | |
| GENERAL ELECTRIC CO (GE) | 2/7/11 | 400.000 | 20 852 | 8,340.80 | 8,396.00 | 55 20 LT | | |
| | 3/23/11 | 200.000 | 19 398 | 3,879.56 | 4,198.00 | 318 44 LT | | |
| | 9/16/11 | 100.000 | 16 188 | 1,618.80 | 2,099.00 | 480 20 LT | | |
| | 9/26/12 | 300.000 | 22 123 | 6,636.90 | 6,297 00 | (339 90) ST | | |
| | **Total** | 1,000.000 | | 20,476.06 | **20,990.00** | 853.84 LT<br>(339.90) ST | 760.00 | 3.62 |
| *Share Price: $20.990, Next Dividend Payable 01/25/13* | | | | | | | | |
| HEWLETT PACKARD (HPQ) | 9/26/12 | 600 000 | 16.520 | 9,912.06 | **8,550.00** | (1,362.06) ST | 316.80 | 3.70 |
| *Share Price: $14.250; Next Dividend Payable 01/02/13* | | | | | | | | |
| INTEL CORP (INTC) | 9/16/11 | 100.000 | 21.878 | 2,187.80 | 2,062.00 | (125.80) LT | | |
| | 11/7/11 | 400.000 | 24.133 | 9,653.32 | 8,248.00 | (1,405.32) LT | | |
| | **Total** | 500.000 | | 11,841.12 | **10,310.00** | (1,531.12) LT | 450.00 | 4.36 |
| *Share Price: $20.620; Next Dividend Payable 03/2013* | | | | | | | | |
| JOHNSON & JOHNSON (JNJ) | 3/23/10 | 200.000 | 65.246 | 13,049.26 | 14,020.00 | 970.74 LT | | |
| | 10/13/10 | 300.000 | 63.607 | 19,082.13 | 21,030.00 | 1,947.87 LT | | |

CONTINUED

# Holdings

Portfolio Management Basic Securities Account 803-107607-507

THE DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | Total | 500.000 | | 32,131.39 | **35,050.00** | 2,918.61 LT | 1,220.00 | 3.48 |
| *Share Price· $70 100; Next Dividend Payable 03/2013* | | | | | | | | |
| JPMORGAN CHASE & CO (JPM) | 12/27/11 | 400 000 | 33.205 | 13,282 00 | 17,587.64 | 4,305.64 LT | | |
| | 1/31/12 | 400.000 | 37.498 | 14,999 36 | 17,587.64 | 2,588.28 ST | | |
| | Total | 800 000 | | 28,281 36 | **35,175.28** | 4,305.64 LT<br>2,588.28 ST | 960.00 | 2.72 |
| *Share Price: $43.969; Next Dividend Payable 01/2013* | | | | | | | | |
| MC DONALDS CORP (MCD) | 9/1/11 | 400.000 | 90.610 | 36,243.84 | **35,284.00** | (959 84) LT | 1,232.00 | 3.49 |
| *Share Price: $88.210; Next Dividend Payable 03/2013* | | | | | | | | |
| MERCK & CO INC NEW COM (MRK) | 6/14/11 | 500.000 | 35.759 | 17,879.30 | 20,470.00 | 2,590.70 LT | | |
| | 9/16/11 | 100.000 | 32.638 | 3,263.78 | 4,094 00 | 830.22 LT | | |
| | Total | 600.000 | | 21,143.08 | **24,564.00** | 3,420.92 LT | 1,032.00 | 4 20 |
| *Share Price· $40.940; Next Dividend Payable 01/08/13* | | | | | | | | |
| MICROSOFT CORP (MSFT) | 9/26/12 | 900.000 | 30.098 | 27,088.02 | **24,038.73** | (3,049.29) ST | 828.00 | 3.44 |
| *Share Price: $26.710; Next Dividend Payable 03/2013* | | | | | | | | |
| PFIZER INC (PFE) | 12/20/11 | 600.000 | 21.296 | 12,777.54 | 15,047.58 | 2,270.04 LT | | |
| | 9/26/12 | 300.000 | 24.902 | 7,470.48 | 7,523.79 | 53.31 ST | | |
| | Total | 900 000 | | 20,248.02 | **22,571.37** | 2,270.04 LT<br>53.31 ST | 864.00 | 3.82 |
| *Share Price· $25 079; Next Dividend Payable 03/2013* | | | | | | | | |
| PROCTER & GAMBLE (PG) | 9/26/12 | 500.000 | 69.664 | 34,831.90 | **33,945.00** | (886.90) ST | 1,124.00 | 3 31 |
| *Share Price: $67.890; Next Dividend Payable 02/2013* | | | | | | | | |
| VERIZON COMMUNICATIONS (VZ) | 1/20/95 | 200.000 | 22.914 | 4,582.88 | 8,654.00 | 4,071 12 LT 1 | | |
| | 12/9/09 | 100.000 | 31.072 | 3,107.21 | 4,327.00 | 1,219 79 LT | | |
| | 10/13/10 | 200.000 | 32.387 | 6,477.42 | 8,654.00 | 2,176.58 LT | | |
| | 3/23/11 | 100.000 | 36.896 | 3,689.60 | 4,327.00 | 637.40 LT | | |
| | 9/16/11 | 100.000 | 36.438 | 3,643.80 | 4,327.00 | 683.20 LT | | |
| | Total | 700.000 | | 21,500.91 | **30,289.00** | 8,788.09 LT | 1,442.00 | 4.76 |
| *Share Price: $43.270, Next Dividend Payable 02/2013* | | | | | | | | |
| WELLS FARGO & CO NEW (WFC) | 9/27/12 | 700.000 | 34.776 | 24,343.27 | **23,926.00** | (417.27) ST | 616.00 | 2 57 |
| *Share Price· $34.180; Next Dividend Payable 03/2013* | | | | | | | | |
| **COMMON STOCKS** | | | | **$388,365.91** | **$405,115.64** | **$18,581.66 LT<br>$(1,831.93) ST** | **$14,460.80<br>$0.00** | **3.57%** |

# Holdings

Portfolio Management Basic Securities Account 803-107607-507

THE DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

## STOCKS

### OPTIONS

| Security Description | Trade Date | Number of Contracts | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) |
|---|---|---|---|---|---|---|
| CALL AT&T INC AT 35.000 EXPIRES 01/19/2013 (T 130119C00035000) *Contract Price: $0.050; Short Position* | 12/26/12 | (4.000) | $0.060 | $(23.99) | $(20.00) | $3.99 ST |
| CALL CHEVRON TEXACO CORP AT 115.000 EXPIRES 02/16/2013 (CVX 130216C00115000) *Contract Price: $0.450; Short Position* | 12/26/12 | (3.000) | 0.516 | (154.91) | (135.00) | 19.91 ST |
| CALL CISCO SYS INC AT 20.000 EXPIRES 01/19/2013 (CSCO 130119C00020000) *Contract Price· $0.260; Short Position* | 12/10/12 | (10.000) | 0.420 | (419.99) | (260.00) | 159.99 ST |
| CALL CISCO SYS INC AT 21.000 EXPIRES 01/19/2013 (CSCO 130119C00021000) *Contract Price: $0.040; Short Position* | 12/10/12 | (4.000) | 0.110 | (43.99) | (16.00) | 27.99 ST |
| CALL DU PONT EI DE NEMOUR AT 45.000 EXPIRES 01/19/2013 (DD 130119C00045000) *Contract Price $0 770, Short Position* | 12/20/12 | (6 000) | 0.998 | (598.78) | (462.00) | 136.78 ST |
| CALL GENERAL ELECTRIC CO AT 22.500 EXPIRES 01/19/2013 (GE 130119C00022500) *Contract Price. $0 060, Short Position* | 12/26/12 | (10 000) | 0.051 | (50.89) | (60.00) | (9.11) ST |
| CALL HEWLETT PACKARD AT 15.000 EXPIRES 01/19/2013 (HPQ 130119C00015000) *Contract Price: $0.200; Short Position* | 12/5/12 | (6 000) | 0.399 | (239.57) | (120.00) | 119.57 ST |
| CALL INTEL CORP AT 22.500 EXPIRES 01/19/2013 (INTC 130119C00022500) *Contract Price: $0.050; Short Position* | 12/26/12 | (5.000) | 0.080 | (39.99) | (25.00) | 14.99 ST |

CONTINUED

## STOCKS

### OPTIONS (CONTINUED)

| Security Description | Trade Date | Number of Contracts | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) |
|---|---|---|---|---|---|---|
| CALL JOHNSON & JOHNSON AT 72.500 EXPIRES 01/19/2013 (JNJ 130119C00072500) *Contract Price: $0.050; Short Position* | 12/20/12 | (5.000) | 0.203 | (101.69) | **(25.00)** | 76.69 ST |
| CALL MC DONALDS CORP AT 90.000 EXPIRES 01/19/2013 (MCD 130119C00090000) *Contract Price· $0 540, Short Position* | 12/18/12 | (4.000) | 1.577 | (630.90) | **(216.00)** | 414 90 ST |
| CALL MERCK & CO INC NEW COM AT 43.000 EXPIRES 01/19/2013 (MRK 130119C00043000) *Contract Price· $0 110, Short Position* | 12/26/12 | (6.000) | 0.170 | (102.29) | **(66.00)** | 36.29 ST |
| CALL MICROSOFT CORP AT 28.000 EXPIRES 02/16/2013 (MSFT 130216C00028000) *Contract Price: $0 380; Short Position* | 12/26/12 | (9.000) | 0.460 | (413.99) | **(342.00)** | 71.99 ST |
| CALL PFIZER INC AT 26.000 EXPIRES 01/19/2013 (PFE 130119C00026000) *Contract Price $0 060; Short Position* | 12/19/12 | (9.000) | 0.190 | (170.99) | **(54.00)** | 116.99 ST |
| CALL PROCTER & GAMBLE AT 70.000 EXPIRES 01/19/2013 (PG 130119C00070000) *Contract Price: $0.190; Short Position* | 12/26/12 | (5 000) | 0.190 | (94.99) | **(95.00)** | (0.01) ST |
| CALL VERIZON COMMUNICATIO AT 45.000 EXPIRES 02/16/2013 (VZ 130216C00045000) *Contract Price: $0.280; Short Position* | 12/26/12 | (7.000) | 0.350 | (245.20) | **(196.00)** | 49 20 ST |
| CALL WELLS FARGO & CO NEW AT 36.000 EXPIRES 01/19/2013 (WFC 130119C00036000) *Contract Price: $0.180; Short Position* | 12/26/12 | (7.000) | 0.187 | (130.68) | **(126.00)** | 4.68 ST |
| OPTIONS | | | | **$(3,462.84)** | **$(2,218.00)** | **$1,244.84 ST** |

002853 MSDDT202 029215

# Holdings

Portfolio Management Basic Securities Account 803-107607-507

THE DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| STOCKS | 96.3% | $384,903.07 | $402,897.64 | $18,581.66 LT | $14,460.80 | 3.59% |
| | | | | $(587.09) ST | $0.00 | |
| TOTAL STOCKS (LONG) | | | $405,115.64 | | | |
| TOTAL STOCKS (SHORT) | | | $(2,218 00) | | | |

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| TOTAL MARKET VALUE | 100.0% | $384,903.07 | $418,434.43 | $18,581.66 LT | $14,462.60 | 3.46% |
| | | | | $(587.09) ST | $0.00 | |
| TOTAL VALUE (includes accrued interest) | | 400,439 86 | $418,434.43 | | | |

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

*Unrealized Gain/(Loss) totals only reflect positions that have cost basis and/or market value information available. Cash, MMF, Deposits and positions stating 'Please Provide' are not included*

SageRutty And Company, Inc.
Comprehensive Financial Services • Established 1915

DAN AND FLAVIA GERNATT
FAMILY FOUNDATION

DECEMBER 1 - DECEMBER 31, 2012
ACCOUNT NUMBER: 2624-7206

# Portfolio detail

## Cash and Sweep Balances

Bank Deposit Sweep - Consists of monies held at Wells Fargo Bank, N.A and (if amounts exceed $250,000) at one or more other Wells Fargo affiliated banks. These assets are not covered by SIPC, but are instead eligible for FDIC insurance of up to $250,000 per depositor, per institution, in accordance with FDIC rules. For additional information on the Bank Deposit Sweep for your account, please contact Your Registered Representative.

| DESCRIPTION | ANNUAL PERCENTAGE YIELD EARNED* | CURRENT MARKET VALUE | ESTIMATED ANNUAL INCOME |
|---|---|---|---|
| Cash | 0.00 | 4,259.60 | 0 00 |
| BANK DEPOSIT SWEEP<br>Interest Period 12/01/12 - 12/31/12 | 0 02 | 78,744.87 | 15 74 |
| **Total Cash and Sweep Balances** | | **$83,004.47** | **$15.74** |

* APYE measures the total amount of the interest paid on an account based on the interest rate and the frequency of the compounding during the interest period. The annual percentage yield earned is expressed as an annualized rate, based on a 365 day year.

## Mutual Funds

### Open End Mutual Funds

Open End Mutual Fund shares are priced at net asset value. Estimated Annual Income and Yield refer to Dividends and Interest Income only, and typically do not reflect Total return.

| DESCRIPTION | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED ANNUAL YIELD (%) |
|---|---|---|---|---|---|---|---|---|
| FRANKLIN HIGH INCOME FUND CLASS A<br>FHAIX<br>Acquired 03/17/08 nc | 21,935.60200 | 1 91 | 41,897.00 | 2.0900 | 45,845.40 | 3,948.40 | 3,158 72 | 6 88 |
| FRANKLIN INCOME FUND CLASS A<br>FKINX<br>Acquired 03/17/08 nc | 71,012.28800 | 2.36 | 167,589.00 | | 159,066 81 | -8,522 19 | | |
| Reinvestments nc | 56.43000 | 1 51 | 85 21 | | 127 11 | 41 90 | | |
| **Total** | **71,068.71800** | | **$167,674.21** | **2.2400** | **$159,193.92** | **-$8,480.29** | **$9,807.48** | **6.16** |
| FRANKLIN INVS SECS TR REAL RETURN FD CL A<br>FRRAX<br>Acquired 03/17/08 nc | 5,718.47100 | 10.99 | 62,846 00 | 10.8700 | 62,159 77 | -686.23 | 1,612.60 | 2.59 |

SageRutty And Company, Inc.
Comprehensive Financial Services • Established 1915

DAN AND FLAVIA GERNATT
FAMILY FOUNDATION

DECEMBER 1 - DECEMBER 31, 2012
ACCOUNT NUMBER: 2624-7206

## Mutual Funds

### Open End Mutual Funds continued

| DESCRIPTION | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED ANNUAL YIELD (%) |
|---|---|---|---|---|---|---|---|---|
| MUTUAL SERIES FD INC GLOBAL DISCOVERY FD CL A TEDIX | | | | | | | | |
| Acquired 03/17/08 nc | 1,453 74700 | 28.82 | 41,897 00 | | 41,097.41 | -799.59 | | |
| Reinvestments m | 203 64600 | 26.73 | 5,444 35 | | 5,757.09 | 312 74 | | |
| **Total** | **1,657.39300** | | **$47,341.35** | **28.2700** | **$46,854.50** | **-$486.85** | **$800.52** | **1.71** |
| TEMPLETON GLOBAL BOND FUND CL A TPINX | | | | | | | | |
| Acquired 03/17/08 nc | 4,513.27400 | 12.43 | 56,106.00 | | 60,387.56 | 4,281 56 | | |
| Acquired 03/17/08 nc | 550.90300 | 12.18 | 6,710.00 | | 7,371.11 | 661 11 | | |
| Reinvestments m | 98.53300 | 12.93 | 1,274.66 | | 1,318 38 | 43 72 | | |
| **Total** | **5,162.71000** | | **$64,090.66** | **13.3800** | **$69,077.05** | **$4,986.39** | **$2,891.11** | **4.19** |
| TEMPLETON FUNDS INC FOREIGN FUND CL A TEMFX | | | | | | | | |
| Acquired 10/30/07 nc | 1,124 02700 | 13.56 | 15,242.71 | | 7,722.05 | -7,520.66 | | |
| Reinvestments nc | 3,097 79100 | 9 01 | 27,934 51 | | 21,281.83 | -6,652.68 | | |
| **Total** | **4,221.81800** | | **$43,177.22** | **6.8700** | **$29,003.88** | **-$14,173.34** | **$629.05** | **2.17** |
| **Total Open End Mutual Funds** | | | **$427,026.44** | | **$412,134.52** | **-$14,891.92** | **$18,899.48** | **4.59** |
| **Total Mutual Funds** | | | **$427,026.44** | | **$412,134.52** | **-$14,891.92** | **$18,899.48** | **4.59** |

m This security contains multiple tax lots that may or may not include cost information that is reportable to the IRS.
nc Cost information for this tax lot is not covered by IRS reporting requirements Unless indicated, cost for all other lots will be reported to the IRS.

## Activity detail

| DATE | ACCOUNT TYPE | TRANSACTION | QUANTITY | DESCRIPTION | PRICE | AMOUNT | CASH AND SWEEP BALANCES |
|---|---|---|---|---|---|---|---|
| 12/01 | | | | BEGINNING BALANCE | | | 80,328.14 |
| 12/03 | Cash | CHECK ISSUED | | CHK ISS #RC088613725 | | -1,584 61 | 78,743.53 |
| 12/04 | Cash | DIVIDEND | | FRANKLIN INVS SECS TR REAL RETURN FD CL A 120412 5,718 47100 | | 164 12 | 78,907.65 |

LEGAL NOTICE

The annual report of the Dan and Flavia Gernatt Family Foundation is available for inspection during regular business hours by any citizen who requests it within 180 days after March 28, 2013 at its principal office, Taylor Hollow Road, Collins, NY

Daniel R. Gernatt Sr
Principal Manager

# AFFIDAVIT OF PUBLICATION

State of New York )
) SS
County of Erie )

The undersigned is the billing supervisor of The SUN, a weekly newspaper published in the county of Erie, in the state of New York

A notice regarding LEGALNOTICETHLANNUALREPOR was published in said newspaper commencing on: 3/28/13

and ending on: 3/28/13

The text of the notice as published in said newspaper is as set forth below, or in the annexed exhibit.

Linda Burdiggs

Sworn to before me on 1st day of April, 2013.

Mary E. Tenger

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