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 , and ending

Name of foundation
~~JOHN BURTON HARTER FOUNDATION~~
C/O DOUG NEAL

A Employer identification number
30-6048115

Number and street (or P O box number if mail is not delivered to street address) | Room/suite
295 N HUBBARDS LANE, SUITE 302

B Telephone number
(502) 400-6000

City or town, state, and ZIP code
LOUISVILLE, KY 40207

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: [X] 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) ▶$ 4,004,064.

J Accounting method: [X] 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).)

	Line	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received				
	2 Check ▶ [X] if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	101,305.	101,305.		STATEMENT 1
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	208,619.			
	b Gross sales price for all assets on line 6a 1,753,177.				
	7 Capital gain net income (from Part IV, line 2)		208,619.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss)				
	11 Other income	49.	49.	0.	STATEMENT 2
	12 **Total.** Add lines 1 through 11	309,973.	309,973.	0.	
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	76,152.	14,076.	0.	62,076.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees STMT 3	7,425.	0.	0.	7,425.
	b Accounting fees STMT 4	1,450.	0.	0.	1,450.
	c Other professional fees				
	17 Interest				
	18 Taxes STMT 5	805.	686.	0.	0.
	19 Depreciation and depletion				
	20 Occupancy	8,000.	0.	0.	8,000.
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses STMT 6	4,272.	0.	0.	4,272.
	24 **Total operating and administrative expenses.** Add lines 13 through 23	98,104.	14,762.	0.	83,223.
	25 Contributions, gifts, grants paid	160,334.			160,334.
	26 **Total expenses and disbursements.** Add lines 24 and 25	258,438.	14,762.	0.	243,557.
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	51,535.			
	b **Net investment income** (if negative, enter -0-)		295,211.		
	c **Adjusted net income** (if negative, enter -0-)			0.	

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

		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			
	2 Savings and temporary cash investments	134,243.	198,446.	198,446.
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations STMT 8	107,211.	114,952.	130,813.
	b Investments - corporate stock STMT 9	1,293,636.	1,450,552.	1,699,963.
	c Investments - corporate bonds STMT 10	1,510,571.	1,488,245.	1,557,758.
	11 Investments - land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other STMT 11	234,564.	85,052.	94,858.
	14 Land, buildings, and equipment: basis ▶			
	Less accumulated depreciation ▶			
	15 Other assets (describe ▶ ART COLLECTION)	322,226.	322,226.	322,226.
	16 **Total assets** (to be completed by all filers)	3,602,451.	3,659,473.	4,004,064.
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
	23 **Total liabilities** (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances	**Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.**			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	3,602,451.	3,659,473.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	0.	0.	
	30 **Total net assets or fund balances**	3,602,451.	3,659,473.	
	31 **Total liabilities and net assets/fund balances**	3,602,451.	3,659,473.	

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	3,602,451.
2	Enter amount from Part I, line 27a	2	51,535.
3	Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 7	3	5,487.
4	Add lines 1, 2, and 3	4	3,659,473.
5	Decreases not included in line 2 (itemize) ▶	5	0.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	3,659,473.

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	PNC - SEE ATTACHED SCHEDULE			
b	PNC - SEE ATTACHED SCHEDULE			
c	FKT - SEE ATTACHED SCHEDULE			
d	FKT - SEE ATTACHED SCHEDULE			
e	CAPITAL GAINS DIVIDENDS			

	(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	196,776.		190,056.	6,720.
b	134,710.		106,157.	28,553.
c	262,283.		226,460.	35,823.
d	1,156,274.		1,021,885.	134,389.
e	3,134.			3,134.

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				6,720.
b				28,553.
c				35,823.
d				134,389.
e				3,134.

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** 208,619.

3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8 **3** N/A

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2011	178,720.	3,957,065.	.045165
2010	154,026.	3,512,857.	.043846
2009	188,091.	3,172,289.	.059292
2008	145,977.	3,819,973.	.038214
2007	123,109.	4,304,796.	.028598

2	**Total** of line 1, column (d)	2	.215115
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	.043023
4	Enter the net value of noncharitable-use assets for 2012 from Part X, line 5	4	3,947,374.
5	Multiply line 4 by line 3	5	169,828.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	2,952.
7	Add lines 5 and 6	7	172,780.
8	Enter qualifying distributions from Part XII, line 4	8	243,557.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. 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	2,952.
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	2,952.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			4	0.
5 **Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-			5	2,952.
6 Credits/Payments:				
a 2012 estimated tax payments and 2011 overpayment credited to 2012	6a	630.		
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	630.
8 Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached			8	37.
9 **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶			9	2,359.
10 **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶			10	
11 Enter the amount of line 10 to be: **Credited to 2013 estimated tax** ▶	**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		X
b Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for definition)?	1b		X
If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities			
c Did the foundation file **Form 1120-POL** for this year?	1c		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ $ 0. (2) On foundation managers. ▶ $ 0.			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0.			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.*	2		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		X
4a Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A	4b		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7 Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col. (c), and Part XV*	7	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ KY			
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation*	8b	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		X

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

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

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15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** - Check here ▶ ☐
and enter the amount of tax-exempt interest received or accrued during the year ▶ 15 N/A

		Line	Yes	No
16	At any time during calendar year 2012, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		X
	See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ▶			

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

	File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.		Line	Yes	No
1a	During the year did the foundation (either directly or indirectly):				
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☒ Yes ☐ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☒ Yes ☐ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?		1b		X
	Organizations relying on a current notice regarding disaster assistance check here	▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2012?		1c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):				
a	At the end of tax year 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 ▶ ____, ____, ____, ____				
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions.)	N/A	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. ▶ ____, ____, ____, ____				
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2012 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969; **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2012.)*	N/A	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2012?		4b		X

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 12		76,152.	0.	0.

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

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

Total number of other employees paid over $50,000 ▶ 0

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

3 Five highest-paid independent contractors for professional services. If none, enter "NONE."

(a) Name and address of each person paid more than $50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over $50,000 for professional services ▶		0

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

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
1 N/A	
2	
3	
4	

Part IX-B **Summary of Program-Related Investments**

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.	Amount
1 N/A	
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3 ▶	0.

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	3,332,043.
b	~~Average of monthly cash balances~~	1b	353,217.
c	Fair market value of all other assets	1c	322,226.
d	**Total** (add lines 1a, b, and c)	1d	4,007,486.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e: 0.		
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	4,007,486.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	60,112.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	3,947,374.
6	**Minimum investment return** Enter 5% of line 5	6	197,369.

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	197,369.
2a	Tax on investment income for 2012 from Part VI, line 5	2a	2,952.		
b	Income tax for 2012. (This does not include the tax from Part VI.)	2b			
c	Add lines 2a and 2b			2c	2,952.
3	Distributable amount before adjustments. Subtract line 2c from line 1			3	194,417.
4	Recoveries of amounts treated as qualifying distributions			4	0.
5	Add lines 3 and 4			5	194,417.
6	Deduction from distributable amount (see instructions)			6	0.
7	**Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1			7	194,417.

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	243,557.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	243,557.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	2,952.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	240,605.

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				194,417.
2 Undistributed income, if any, as of the end of 2012				
a Enter amount for 2011 only			183,260.	
b Total for prior years: ____ , ____ , ____		0.		
3 Excess distributions carryover, if any, to 2012:				
a From 2007				
b From 2008				
c From 2009				
d From 2010				
e From 2011				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2012 from Part XII, line 4: ▶ $ 243,557.				
a Applied to 2011, but not more than line 2a			183,260.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2012 distributable amount				60,297.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2011. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2012. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2013				134,120.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2007 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a	0.			
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				

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

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

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

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

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

1 **Information Regarding Foundation Managers:**

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

NONE

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

NONE

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

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

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

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: 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				
TENNESSEE WILLIAMS/NEW ORLEANS LITERARY FESTIVAL 938 LAFAYETTE STREET NEW ORLEANS, LA 70113	N/A	PUBLIC CHARITY	GENERAL SUPPORT	15,000.
TACOMA ART MUSEUM 1701 PACIFIC AVENUE TACOMA, WA 98402	N/A	PUBLIC CHARITY	GENERAL SUPPORT	5,000.
UNIVSERSITY OF LOUISVILLE FOUNDATION UNIVERSITY OF LOUISVILLE LOUISVILLE, KY 40292	N/A	PUBLIC CHARITY	GENERAL SUPPORT	10,000.
LESLIE LOHMAN MUSEUM OF GAY AND LESBIAN ART 26 WOOSTER STREET NEW YORK, NY 10013	N/A	PUBLIC CHARITY	GENERAL SUPPORT	12,000.
NO AIDS TASK FORCE 601 TULANE AVE SUITE 500 NEW ORLEANS, LA 70119	N/A	PUBLIC CHARITY	GENERAL SUPPORT	15,000.
Total SEE CONTINUATION SHEET(S)			▶ 3a	160,334.
b Approved for future payment				
NONE				
Total			▶ 3b	0.

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
UNIVERSITY AT BUFFALO FOUNDATION, INC. P.O. BOX 900 BUFFALO, NY 14226	N/A	PUBLIC CHARITY	GENERAL SUPPORT	103,334.
Total from continuation sheets				103,334.

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05-01-12

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

Enter gross amounts unless otherwise indicated.	Unrelated business income (a) Business code	(b) Amount	Excluded by section 512, 513, or 514 (c) Exclusion code	(d) Amount	(e) Related or exempt function income
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	101,305.	
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			14	49.	
8 Gain or (loss) from sales of assets other than inventory			18	208,619.	
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)		0.		309,973.	0.

13 **Total.** Add line 12, columns (b), (d), and (e) . . . 13 309,973.

(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).

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

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

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

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

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
N/A		

Sign Here

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

First KY Trust Co Trustee
by: [signature] 5/14/13 VP & Trust Officer

Signature of officer or trustee VP & Trust Officer 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
CHRISTINE N KOENIG	Christine N Koenig	5.10.13		P01022180
Firm's name ▶ DEMING MALONE LIVESAY & OSTROFF PSC			Firm's EIN ▶ 61-1064249	
Firm's address ▶ 9300 SHELBYVILLE RD STE 1100 LOUISVILLE, KY 40222-5187			Phone no. (502)426-9660	

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 1

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
FKT - DIVIDENDS	90,623.	3,134.	87,489.
FKT - INTEREST	186.	0.	186.
PNC - DIVIDENDS	12,354.	0.	12,354.
PNC - INTEREST	1,276.	0.	1,276.
TOTAL TO FM 990-PF, PART I, LN 4	104,439.	3,134.	101,305.

FORM 990-PF OTHER INCOME STATEMENT 2

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME
PROCEEDS FROM CLASS ACTION SETTLEMENT	49.	49.	0.
TOTAL TO FORM 990-PF, PART I, LINE 11	49.	49.	0.

FORM 990-PF LEGAL FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEES	7,425.	0.	0.	7,425.
TO FM 990-PF, PG 1, LN 16A	7,425.	0.	0.	7,425.

FORM 990-PF ACCOUNTING FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
TAX PREPARATION FEE	1,450.	0.	0.	1,450.
TO FORM 990-PF, PG 1, LN 16B	1,450.	0.	0.	1,450.

FORM 990-PF TAXES STATEMENT 5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
EXCISE TAX PAYMENTS	119.	0.	0.	0.
FOREIGN TAXES	686.	686.	0.	0.
TO FORM 990-PF, PG 1, LN 18	805.	686.	0.	0.

FORM 990-PF OTHER EXPENSES STATEMENT 6

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ADMINISTRATIVE EXPENSES	4,272.	0.	0.	4,272.
TO FORM 990-PF, PG 1, LN 23	4,272.	0.	0.	4,272.

FORM 990-PF OTHER INCREASES IN NET ASSETS OR FUND BALANCES STATEMENT 7

DESCRIPTION	AMOUNT
CHANGE IN ACCRUED INCOME	5,324.
BOOK VALUE ADJUSTMENT	163.
TOTAL TO FORM 990-PF, PART III, LINE 3	5,487.

FORM 990-PF U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS STATEMENT 8

DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE
PNC	X		0.	0.
FKT - SEE ATTACHED SCHEDULE	X		114,952.	130,813.
TOTAL U.S. GOVERNMENT OBLIGATIONS			114,952.	130,813.
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS				
TOTAL TO FORM 990-PF, PART II, LINE 10A			114,952.	130,813.

FORM 990-PF CORPORATE STOCK STATEMENT 9

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
PNC	0.	0.
FKT - SEE ATTACHED SCHEDULE	1,450,552.	1,699,963.
TOTAL TO FORM 990-PF, PART II, LINE 10B	1,450,552.	1,699,963.

FORM 990-PF CORPORATE BONDS STATEMENT 10

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
PNC	0.	0.
FKT - SEE ATTACHED SCHEDULE	1,488,245.	1,557,758.
TOTAL TO FORM 990-PF, PART II, LINE 10C	1,488,245.	1,557,758.

FORM 990-PF — OTHER INVESTMENTS — STATEMENT 11

DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
PNC	COST	0.	0.
FKT - SEE ATTACHED SCHEDULE	COST	85,052.	94,858.
TOTAL TO FORM 990-PF, PART II, LINE 13		85,052.	94,858.

FORM 990-PF — PART VIII - LIST OF OFFICERS, DIRECTORS TRUSTEES AND FOUNDATION MANAGERS — STATEMENT 12

NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN-SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
GEORGE JORDAN 295 N HUBBARDS LANE, SUITE 302 LOUISVILLE, KY 40207	DIRECTOR 1.00	16,000.	0.	0.
JOHN J. SULLIVAN 295 N HUBBARDS LANE, SUITE 302 LOUISVILLE, KY 40207	DIRECTOR 1.00	16,000.	0.	0.
MICHEL G. DELHAISE 295 N HUBBARDS LANE, SUITE 302 LOUISVILLE, KY 40207	DIRECTOR 1.00	16,000.	0.	0.
PNC BANK NA PO BOX 94651 CLEVELAND , OH 44101	TRUSTEE 2.00	8,124.	0.	0.
FIRST KENTUCKY TRUST 295 N HUBBARDS LANE, SUITE 302 LOUISVILLE, KY 40207	TRUSTEE 2.00	20,028.	0.	0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		76,152.	0.	0.

BANK 21 PNC BANK (21)
TAX OFCR 715 JOHN R KULLANDER
OFFICE 080 KENTUCKY

REGION 75 CLEVELAND-C&E
ADM OFCR 10I KEVIN MCMANAMON
INV OFCR 1F7 BETTY RAPP

- T A X W O R K S H E E T -
[redacted] JOHN B HARTER CHAR FDN TRU/A
01/01/12 THRU 12/31/12 (POSTING-DATE)

REQUESTED
FTS: SERVICE=8, ACCT TYPE=9, REV CODE=9
TAX RESP=15,

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DATE 01/31/13
EIN # 30-6048115

JULAN-SEQNO POSTED EFFECT ST BENE TRN TRN-DT		CASH INCOME	CASH PRINCIPAL	COST FEDERAL	COST STATE	GAIN/LOSS FEDERAL S/L	GAIN/LOSS STATE
830 SALES		*******************		WS=99		**********	
4.COVIDIEN PLC	(G2554F113)						
5.ISIN IE00B68SQD29 SEDOL B68SQD2							
41453-00001 011312 011012	085A121411 U:	55.000	2,533.80	2,324.57	2324.57		209.23
1.SOLD 55.000 PAR ON 01/10/12	REG:77					209.23 S	
** TOTAL FOR ASSET (G2554F113)		.00	2,533.80	2324.57	2324.57	.00 L	209.23
						209.23 S	
4.AT&T INC	(00206R102)						
41453-00002 011312 011012	085A121411 U:	65.000	1,935.66	1,876.84	1876.84		58.82
1.SOLD 65.000 PAR ON 01/10/12	REG:77					58.82 S	
** TOTAL FOR ASSET (00206R102)		.00	1,935.66	1876.84	1876.84	.00 L	58.82
						58.82 S	
4.ALLERGAN INC	(018490102)						
41453-00003 011312 011012	085A121411 U:	35.000	3,111.44	2,890.42	2890.42		221.02
1.SOLD 35.000 PAR ON 01/10/12	REG:77					221.02 S	
** TOTAL FOR ASSET (018490102)		.00	3,111.44	2890.42	2890.42	.00 L	221.02
						221.02 S	
4.AMERICAN EXPRESS CO	(025816109)						
41453-00004 011312 011012	085A121411 U:	45.000	2,185.60	2,120.15	2120.15		65.45
1.SOLD 45.000 PAR ON 01/10/12	REG:77					65.45 S	
** TOTAL FOR ASSET (025816109)		.00	2,185.60	2120.15	2120.15	.00 L	65.45
						65.45 S	
4.AMERISOURCEBERGEN CORP	(03073E105)						
41453-00005 011312 011012	085A121411 U:	55.000	2,140.00	1,960.45	1960.45		179.55
1.SOLD 55.000 PAR ON 01/10/12	REG:77					179.55 S	
** TOTAL FOR ASSET (03073E105)		.00	2,140.00	1960.45	1960.45	.00 L	179.55
						179.55 S	
4.AMERIPRISE FINANCIAL INC	(03076C106)						
41453-00006 011312 011012	085A121411 U:	50.000	2,592.95	2,242.73	2242.73		350.22
1.SOLD 50.000 PAR ON 01/10/12	REG:77					350.22 S	
** TOTAL FOR ASSET (03076C106)		.00	2,592.95	2242.73	2242.73	.00 L	350.22
						350.22 S	
4.APPLE INC	(037833100)						
41453-00007 011312 011012	085A060606 U:	15.000	6,344.73	896.66	896.66	5,448.07 L	5,448.07
1.SOLD 15.000 PAR ON 01/10/12	REG:77						
** TOTAL FOR ASSET (037833100)		.00	6,344.73	896.66	896.66	5,448.07 L	5,448.07
						.00 S	
4.BANK OF AMERICA CORP	(060505104)						
41453-00008 011312 011012	085A121411 U:	120.000	791.98	628.80	628.80		163.18
1.SOLD 120.000 PAR ON 01/10/12	REG:77					163.18 S	

BANK 21 PNC BANK (21)
TAX OFCR 715 JOHN R KULLANDER
OFFICE 080 KENTUCKY

REGION 75 CLEVELAND C&E
ADM OFCR 10I KEVIN MCMANAMON
INV OFCR 1F7 BETTY RAPP

- T A X W O R K S H E E T -
[redacted] JOHN B HARTER CHAR FDN TRU/A
01/01/12 THRU 12/31/12 (POSTING-DATE)

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TAX RESP=15,

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DATE 01/31/13
EIN # 30-6048115

JULAN-SEQNO POSTED EFFECT ST BENE TRN TRN-DT		CASH INCOME	CASH PRINCIPAL	COST FEDERAL	COST STATE	GAIN/LOSS FEDERAL S/L	GAIN/LOSS STATE
830 CONTINUED							
** TOTAL FOR ASSET (060505104)		.00	791.98	628.80	628.80	.00 L 163.18 S	163.18
4.BORG WARNER INC.	(099724106)						
41453-00009 011312 011012 1.SOLD 30.000 PAR ON 01/10/12	085A121411 U: REG:77	30.000	2,164.45	1,848.93	1848.93	315.52 S	315.52
** TOTAL FOR ASSET (099724106)		.00	2,164.45	1848.93	1848.93	.00 L 315.52 S	315.52
4.BRISTOL MYERS SQUIBB CO	(110122108)						
41453-00010 011312 011012 1.SOLD 60.000 PAR ON 01/10/12	085A021710 U: REG:77	60.000	2,075.36	1,475.27	1475.27	600.09 L	600.09
** TOTAL FOR ASSET (110122108)		.00	2,075.36	1475.27	1475.27	600.09 L .00 S	600.09
4.CAPITAL ONE FINANCIAL CORP	(14040H105)						
41453-00011 011312 011012 1.SOLD 50.000 PAR ON 01/10/12	085A121411 U: REG:77	50.000	2,384.95	2,227.70	2227.70	157.25 S	157.25
41477-00002 020612 020112 1.SOLD 190.000 PAR ON 02/01/12	085A121411 U: REG:77	190.000	8,874.94	8,465.26	8465.26	409.68 S	409.68
** TOTAL FOR ASSET (14040H105)		.00	11,259.89	10692.96	10692.96	.00 L 566.93 S	566.93
4.CELANESE CORP-SERIES A	(150870103)						
41453-00012 011312 011012 1.SOLD 45.000 PAR ON 01/10/12	085A080709 U: REG:77	45.000	2,052.86	1,235.13	1235.13	817.73 L	817.73
** TOTAL FOR ASSET (150870103)		.00	2,052.86	1235.13	1235.13	817.73 L .00 S	817.73
4.CHEVRON CORPORATION	(166764100)						
41453-00013 011312 011012 1.SOLD 55.000 PAR ON 01/10/12	085A121411 U: REG:77	55.000	6,010.83	5,487.60	5487.60	523.23 S	523.23
** TOTAL FOR ASSET (166764100)		.00	6,010.83	5487.60	5487.60	.00 L 523.23 S	523.23
4.CHUBB CORP	(171232101)						
41453-00014 011312 011012 1.SOLD 40.000 PAR ON 01/10/12	085A121411 U: REG:77	40.000	2,774.74	2,688.96	2688.96	85.78 S	85.78
** TOTAL FOR ASSET (171232101)		.00	2,774.74	2688.96	2688.96	.00 L 85.78 S	85.78
4.CISCO SYSTEMS INC	(17275R102)						
41453-00015 011312 011012 1.SOLD 115.000 PAR ON 01/10/12	085A010912 U: REG:77	115.000	2,164.26	2,187.94	2187.94	23.68-S	23.68-
41453-00015 011312 011012 1.SOLD 20.000 PAR ON 01/10/12	085A030405 U: REG:77	20.000	376.39	360.80	360.80	15.59 L	15.59

BANK · 21 PNC BANK (21)
TAX OFCR 715 JOHN R KULLANDER
OFFICE 080 KENTUCKY

- T A X W O R K S H E E T -
[redacted] JOHN B HARTER CHAR FDN TRU/A
01/01/12 THRU 12/31/12 (POSTING-DATE)

REPORT TAX-20-97
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REGION 75 CLEVELAND-C&E
ADM OFCR 10I KEVIN MCMANAMON
INV OFCR 1F7 BETTY RAPP

REQUESTED
FTS: SERVICE=8, ACCT TYPE=9, REV CODE=9
TAX RESP=15,

DATE 01/31/13
EIN # 30-6048115

		CASH		COST		GAIN / LOSS	
JULAN-SEQNO POSTED EFFECT ST BENE	TRN TRN-DT	INCOME	PRINCIPAL	FEDERAL	STATE	FEDERAL S/L	STATE
830 CONTINUED							
** TOTAL FOR ASSET (17275R102)		.00	2,540.65	2548.74	2548.74	15.59 L 23.68- S	8.09-
4.CITIGROUP INC 41453-00016 011312 011012 1.SOLD 55.000 PAR ON 01/10/12	(172967424) 085A121411 U: REG:77	55.000	1,645.01	1,441.28	1441.28	203.73 S	203.73
** TOTAL FOR ASSET (172967424)		.00	1,645.01	1441.28	1441.28	.00 L 203.73 S	203.73
4.COCA COLA CO 41453-00017 011312 011012 1.SOLD 35.000 PAR ON 01/10/12	(191216100) 085A121411 U: REG:77	35.000	2,427.90	2,316.46	2316.46	111.44 S	111.44
** TOTAL FOR ASSET (191216100)		.00	2,427.90	2316.46	2316.46	.00 L 111.44 S	111.44
4.COMCAST CORPORATION CL A 41453-00018 011312 011012 1.SOLD 105.000 PAR ON 01/10/12	(20030N101) 085A121411 U: REG:77	105.000	2,663.79	2,427.07	2427.07	236.72 S	236.72
** TOTAL FOR ASSET (20030N101)		.00	2,663.79	2427.07	2427.07	.00 L 236.72 S	236.72
4.CONOCOPHILLIPS 41453-00019 011312 011012 1.SOLD 30.000 PAR ON 01/10/12	(20825C104) 085A010906 U: REG:77	30.000	2,196.25	1,828.01	1828.01	368.24 L	368.24
** TOTAL FOR ASSET (20825C104)		.00	2,196.25	1828.01	1828.01	368.24 L .00 S	368.24
4.CUMMINS INC 41453-00020 011312 011012 1.SOLD 20.000 PAR ON 01/10/12	(231021106) 085A121411 U: REG:77	20.000	1,973.76	1,759.90	1759.90	213.86 S	213.86
** TOTAL FOR ASSET (231021106)		.00	1,973.76	1759.90	1759.90	.00 L 213.86 S	213.86
4.DOLLAR TREE INC 41453-00021 011312 011012 1.SOLD 40.000 PAR ON 01/10/12	(256746108) 085A121411 U: REG:77	40.000	3,307.93	3,250.20	3250.20	57.73 S	57.73
** TOTAL FOR ASSET (256746108)		.00	3,307.93	3250.20	3250.20	.00 L 57.73 S	57.73
4.DOVER CORP 41453-00022 011312 011012 1.SOLD 40.000 PAR ON 01/10/12	(260003108) 085A121411 U: REG:77	40.000	2,369.15	2,204.94	2204.94	164.21 S	164.21
** TOTAL FOR ASSET (260003108)		.00	2,369.15	2204.94	2204.94	.00 L 164.21 S	164.21
4.DUPONT E I DE NEMOURS & CO 41453-00023 011312 011012 1.SOLD 45.000 PAR ON 01/10/12	(263534109) 085A121411 U: REG:77	45.000	2,119.00	1,953.20	1953.20	165.80 S	165.80

BANK 21 PNC BANK (21)
TAX OFCR 715 JOHN R KULLANDER
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REGION 75 CLEVELAND-C&E
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INV OFCR 1F7 BETTY RAPP

- T A X W O R K S H E E T -
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JULAN-SEQNO POSTED EFFECT ST BENE TRN TRN-DT		CASH INCOME	CASH PRINCIPAL	COST FEDERAL	COST STATE	GAIN/LOSS FEDERAL S/L	GAIN/LOSS STATE
830 CONTINUED							
** TOTAL FOR ASSET (263534109)		.00	2,119.00	1953.20	1953.20	.00 L 165.80 S	165.80
4.EMC CORP	(268648102)						
41453-00024 011312 011012 1.SOLD 110.000 PAR ON 01/10/12	085A121411 U: REG:77	110.000	2,400.15	2,434.34	2434.34	34.19-S	34.19-
** TOTAL FOR ASSET (268648102)		.00	2,400.15	2434.34	2434.34	.00 L 34.19- S	34.19-
4.EQT CORPORATION	(26884L109)						
41453-00025 011312 011012 1.SOLD 50.000 PAR ON 01/10/12	085A121411 U: REG:77	50.000	2,679.94	2,672.13	2672.13	7.81 S	7.81
41466-00001 012612 012312 1.SOLD 190.000 PAR ON 01/23/12	085A121411 U: REG:77	190.000	9,401.82	10,154.07	10154.07	752.25-S	752.25-
** TOTAL FOR ASSET (26884L109)		.00	12,081.76	12826.20	12826.20	.00 L 744.44- S	744.44-
4.EATON CORP	(278058102)						
41453-00026 011312 011012 1.SOLD 45.000 PAR ON 01/10/12	085A121411 U: REG:77	45.000	2,143.75	1,881.63	1881.63	262.12 S	262.12
41477-00004 020612 020112 1.SOLD 165.000 PAR ON 02/01/12	085A121411 U: REG:77	165.000	8,207.42	6,899.31	6899.31	1,308.11 S	1,308.11
** TOTAL FOR ASSET (278058102)		.00	10,351.17	8780.94	8780.94	.00 L 1,570.23 S	1,570.23
4.EBAY INC	(278642103)						
41453-00027 011312 011012 1.SOLD 55.000 PAR ON 01/10/12	085A121411 U: REG:77	55.000	1,711.56	1,666.77	1666.77	44.79 S	44.79
** TOTAL FOR ASSET (278642103)		.00	1,711.56	1666.77	1666.77	.00 L 44.79 S	44.79
4.EQUITY RESIDENTIAL 5.SH BEN INT REIT	(29476L107)						
41453-00029 011312 011012 1.SOLD 30.000 PAR ON 01/10/12	085A121411 U: REG:77	30.000	1,657.46	1,647.44	1647.44	10.02 S	10.02
** TOTAL FOR ASSET (29476L107)		.00	1,657.46	1647.44	1647.44	.00 L 10.02 S	10.02
4.EXXON MOBIL CORP	(30231G102)						
41453-00030 011312 011012 1.SOLD 75.000 PAR ON 01/10/12	085A121411 U: REG:77	75.000	6,417.62	5,944.12	5944.12	473.50 S	473.50
** TOTAL FOR ASSET (30231G102)		.00	6,417.62	5944.12	5944.12	.00 L 473.50 S	473.50
4.FMC CORPORATION NEW	(302491303)						
41453-00031 011312 011012 1.SOLD 20.000 PAR ON 01/10/12	085A121611 U: REG:77	20.000	1,777.36	1,692.80	1692.80	84.56 S	84.56

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DATE 01/31/13
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JULAN-SEQNO POSTED EFFECT ST BENE TRN TRN-DT		CASH INCOME	CASH PRINCIPAL	COST FEDERAL	COST STATE	GAIN/LOSS FEDERAL S/L	GAIN/LOSS STATE
830 CONTINUED							
** TOTAL FOR ASSET (302491303)		.00	1,777.36	1692.80	1692.80	.00 L 84.56 S	84.56
4.GENERAL ELECTRIC CO	(369604103)						
41453-00032 011312 011012	085A121411 U:	130.000	2,423.41	2,169.70	2169.70		253.71
1.SOLD 130.000 PAR ON 01/10/12	REG:77					253.71 S	
** TOTAL FOR ASSET (369604103)		.00	2,423.41	2169.70	2169.70	.00 L 253.71 S	253.71
4.GOOGLE INC-CL A	(38259P508)						
41453-00033 011312 011012	085A053007 U:	10.000	6,239.08	4,899.69	4899.69	1,339.39 L	1,339.39
1.SOLD 10.000 PAR ON 01/10/12	REG:77						
** TOTAL FOR ASSET (38259P508)		.00	6,239.08	4899.69	4899.69	1,339.39 L .00 S	1,339.39
4.THE HERSHEY COMPANY	(427866108)						
41453-00034 011312 011012	085A121411 U:	55.000	3,346.68	3,227.65	3227.65		119.03
1.SOLD 55.000 PAR ON 01/10/12	REG:77					119.03 S	
** TOTAL FOR ASSET (427866108)		.00	3,346.68	3227.65	3227.65	.00 L 119.03 S	119.03
4.HOME DEPOT INC	(437076102)						
41453-00035 011312 011012	085A010912 U:	60.000	2,608.14	2,592.05	2592.05		16.09
1.SOLD 60.000 PAR ON 01/10/12	REG:77					16.09 S	
** TOTAL FOR ASSET (437076102)		.00	2,608.14	2592.05	2592.05	.00 L 16.09 S	16.09
4.INTEL CORP	(458140100)						
41453-00036 011312 011012	085A082907 U:	115.000	2,945.09	2,875.55	2875.55	69.54 L	69.54
1.SOLD 115.000 PAR ON 01/10/12	REG:77						
** TOTAL FOR ASSET (458140100)		.00	2,945.09	2875.55	2875.55	69.54 L .00 S	69.54
4.INTERNATIONAL BUSINESS MACHS 5.CORP	(459200101)						
41453-00037 011312 011012	085A121411 U:	20.000	3,626.53	3,772.10	3772.10		145.57-
1.SOLD 20.000 PAR ON 01/10/12	REG:77					145.57-S	
** TOTAL FOR ASSET (459200101)		.00	3,626.53	3772.10	3772.10	.00 L 145.57- S	145.57-
4.JPMORGAN CHASE & CO	(46625H100)						
41453-00038 011312 011012	085A102202 U:	95.000	3,417.08	1,905.70	1905.70	1,511.38 L	1,511.38
1.SOLD 95.000 PAR ON 01/10/12	REG:77						
** TOTAL FOR ASSET (46625H100)		.00	3,417.08	1905.70	1905.70	1,511.38 L .00 S	1,511.38
4.JOHNSON & JOHNSON	(478160104)						
41453-00039 011312 011012	085A051607 U:	65.000	4,232.71	4,102.20	4102.20	130.51 L	130.51
1.SOLD 65.000 PAR ON 01/10/12	REG:77						

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REGION 75 CLEVELAND-CRE
ADM OFCR 1OI KEVIN MCMANAMON
INV OFCR 1F7 BETTY RAPP

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FTS: SERVICE=8, ACCT TYPE=9, REV CODE=9
TAX RESP=15,

DATE 01/31/13
EIN # 30-6048115

JULAN-SEQNO POSTED EFFECT ST BENE TRN TRN-DT		CASH INCOME	CASH PRINCIPAL	COST FEDERAL	COST STATE	GAIN/LOSS FEDERAL S/L	GAIN/LOSS STATE
830 CONTINUED							
** TOTAL FOR ASSET (478160104)		.00	4,232.71	4102.20	4102.20	130.51 L .00 S	130.51
4.JOY GLOBAL INC	(481165108)						
41453-00040 011312 011012	085A121411 U:	20.000	1,635.76	1,499.30	1499.30		136.46
1.SOLD 20.000 PAR ON 01/10/12	REG:77					136.46 S	
** TOTAL FOR ASSET (481165108)		.00	1,635.76	1499.30	1499.30	.00 L 136.46 S	136.46
4.KRAFT FOODS INC - A	(50075N104)						
5.SEDOL 2764296 ISIN US50075N1046							
41453-00042 011312 011012	085A121411 U:	55.000	2,088.85	1,989.60	1989.60		99.25
1.SOLD 55.000 PAR ON 01/10/12	REG:77					99.25 S	
** TOTAL FOR ASSET (50075N104)		.00	2,088.85	1989.60	1989.60	.00 L 99.25 S	99.25
4.LAUDER ESTEE COS INC	(518439104)						
5.CL A							
41453-00043 011312 011012	085A121411 U:	25.000	2,799.44	2,640.26	2640.26		159.18
1.SOLD 25.000 PAR ON 01/10/12	REG:77					159.18 S	
** TOTAL FOR ASSET (518439104)		.00	2,799.44	2640.26	2640.26	.00 L 159.18 S	159.18
4.LIMITED BRANDS INC	(532716107)						
41453-00044 011312 011012	085A121411 U:	55.000	2,154.85	2,163.92	2163.92		9.07-
1.SOLD 55.000 PAR ON 01/10/12	REG:77					9.07-S	
** TOTAL FOR ASSET (532716107)		.00	2,154.85	2163.92	2163.92	.00 L 9.07- S	9.07-
4.MACY'S INC	(55616P104)						
41453-00045 011312 011012	085A121411 U:	100.000	3,481.93	3,081.45	3081.45		400.48
1.SOLD 100.000 PAR ON 01/10/12	REG:77					400.48 S	
** TOTAL FOR ASSET (55616P104)		.00	3,481.93	3081.45	3081.45	.00 L 400.48 S	400.48
4.MATTEL INC	(577081102)						
41453-00046 011312 011012	085A121411 U:	90.000	2,590.15	2,504.24	2504.24		85.91
1.SOLD 90.000 PAR ON 01/10/12	REG:77					85.91 S	
** TOTAL FOR ASSET (577081102)		.00	2,590.15	2504.24	2504.24	.00 L 85.91 S	85.91
4.MCDONALD'S CORP	(580135101)						
41453-00047 011312 011012	085A121008 U:	25.000	2,488.20	1,549.19	1549.19	939.01 L	939.01
1.SOLD 25.000 PAR ON 01/10/12	REG:77						
** TOTAL FOR ASSET (580135101)		.00	2,488.20	1549.19	1549.19	939.01 L .00 S	939.01

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REPORT TAX-20-97
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REGION 75 CLEVELAND-C&E
ADM OFCR 10I KEVIN MCMANAMON
INV OFCR 1F7 BETTY RAPP

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JULAN-SEQNO POSTED EFFECT ST BENE	TRN TRN-DT	CASH INCOME	CASH PRINCIPAL	COST FEDERAL	COST STATE	GAIN/LOSS FEDERAL	S/L	GAIN/LOSS STATE
830 CONTINUED								
4.MERCK & CO INC	(58933Y105)							
41453-00048 011312 011012	085A021710 U:	35.000	1,348.17	1,306.86	1306.86	41.31	L	41.31
1.SOLD 35.000 PAR ON 01/10/12	REG:77							
** TOTAL FOR ASSET (58933Y105)		.00	1,348.17	1306.86	1306.86	41.31	L	41.31
						.00	S	
4.MICROSOFT CORP	(594918104)							
41453-00049 011312 011012	085A032405 U:	20.000	555.59	488.91	488.91	66.68	L	66.68
1.SOLD 20.000 PAR ON 01/10/12	REG:77							
41453-00049 011312 011012	085A032205 U:	120.000	3,333.53	2,900.09	2900.09	433.44	L	433.44
1.SOLD 120.000 PAR ON 01/10/12	REG:77							
** TOTAL FOR ASSET (594918104)		.00	3,889.12	3389.00	3389.00	500.12	L	500.12
						.00	S	
4.MOODY'S CORP	(615369105)							
41453-00050 011312 011012	085A121411 U:	45.000	1,632.11	1,484.30	1484.30			147.81
1.SOLD 45.000 PAR ON 01/10/12	REG:77					147.81	S	
** TOTAL FOR ASSET (615369105)		.00	1,632.11	1484.30	1484.30	.00	L	147.81
						147.81	S	
4.NATIONAL OILWELL VARCO INC	(637071101)							
41453-00051 011312 011012	085A121411 U:	40.000	2,948.34	2,639.34	2639.34			309.00
1.SOLD 40.000 PAR ON 01/10/12	REG:77					309.00	S	
** TOTAL FOR ASSET (637071101)		.00	2,948.34	2639.34	2639.34	.00	L	309.00
						309.00	S	
4.NORTHEAST UTILITIES	(664397106)							
41453-00052 011312 011012	085A121411 U:	50.000	1,721.96	1,719.23	1719.23			2.73
1.SOLD 50.000 PAR ON 01/10/12	REG:77					2.73	S	
** TOTAL FOR ASSET (664397106)		.00	1,721.96	1719.23	1719.23	.00	L	2.73
						2.73	S	
4.OGE ENERGY CORP	(670837103)							
41453-00053 011312 011012	085A121411 U:	30.000	1,672.46	1,562.81	1562.81			109.65
1.SOLD 30.000 PAR ON 01/10/12	REG:77					109.65	S	
** TOTAL FOR ASSET (670837103)		.00	1,672.46	1562.81	1562.81	.00	L	109.65
						109.65	S	
4.ORACLE CORP	(68389X105)							
41452-00003 011212 010912	085A121411 U:	225.000	6,056.66	6,739.72	6739.72			683.06-
1.SOLD 225.000 PAR ON 01/09/12	REG:77					683.06-	S	
41453-00054 011312 011012	085A121411 U:	65.000	1,747.81	1,947.03	1947.03			199.22-
1.SOLD 65.000 PAR ON 01/10/12	REG:77					199.22-	S	
** TOTAL FOR ASSET (68389X105)		.00	7,804.47	8686.75	8686.75	.00	L	882.28-
						882.28-	S	

REGION 75 CLEVELAND-C&E
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830 CONTINUED							
4.PFIZER INC	(717081103)						
41453-00055 011312 011012	085A121411 U:	160.000	3,502.33	3,338.19	3338.19		164.14
1.SOLD 160.000 PAR ON 01/10/12	REG:77					164.14 S	
** TOTAL FOR ASSET (717081103)		.00	3,502.33	3338.19	3338.19	.00 L 164.14 S	164.14
4.PROCTER & GAMBLE CO	(742718109)						
41453-00056 011312 011012	085A121411 U:	55.000	3,643.13	3,546.66	3546.66		96.47
1.SOLD 55.000 PAR ON 01/10/12	REG:77					96.47 S	
41466-00004 012612 012312	085A121411 U:	50.000	3,248.54	3,224.24	3224.24		24.30
1.SOLD 50.000 PAR ON 01/23/12	REG:77					24.30 S	
** TOTAL FOR ASSET (742718109)		.00	6,891.67	6770.90	6770.90	.00 L 120.77 S	120.77
4.QUALCOMM INC	(747525103)						
41453-00057 011312 011012	085A010912 U:	25.000	1,396.73	1,395.32	1395.32		1.41
1.SOLD 25.000 PAR ON 01/10/12	REG:77					1.41 S	
41453-00057 011312 011012	085A121411 U:	35.000	1,955.41	1,860.77	1860.77		94.64
1.SOLD 35.000 PAR ON 01/10/12	REG:77					94.64 S	
** TOTAL FOR ASSET (747525103)		.00	3,352.14	3256.09	3256.09	.00 L 96.05 S	96.05
4.SHIRE PLC 5.SPONSORED ADR	(82481R106)						
41453-00058 011312 011012	085A121411 U:	15.000	1,521.42	1,469.78	1469.78		51.64
1.SOLD 15.000 PAR ON 01/10/12	REG:77					51.64 S	
** TOTAL FOR ASSET (82481R106)		.00	1,521.42	1469.78	1469.78	.00 L 51.64 S	51.64
4.JM SMUCKER CO/THE-NEW COM WI	(832696405)						
41453-00059 011312 011012	085A121411 U:	30.000	2,357.35	2,296.31	2296.31		61.04
1.SOLD 30.000 PAR ON 01/10/12	REG:77					61.04 S	
** TOTAL FOR ASSET (832696405)		.00	2,357.35	2296.31	2296.31	.00 L 61.04 S	61.04
4.TARGET CORP	(87612E106)						
41452-00005 011212 010912	085A121411 U:	210.000	10,181.49	11,042.83	11042.83		861.34-
1.SOLD 210.000 PAR ON 01/09/12	REG:77					861.34-S	
** TOTAL FOR ASSET (87612E106)		.00	10,181.49	11042.83	11042.83	.00 L 861.34- S	861.34-
4.UNION PACIFIC CORP	(907818108)						
41453-00060 011312 011012	085A121411 U:	25.000	2,782.44	2,467.33	2467.33		315.11
1.SOLD 25.000 PAR ON 01/10/12	REG:77					315.11 S	
** TOTAL FOR ASSET (907818108)		.00	2,782.44	2467.33	2467.33	.00 L 315.11 S	315.11

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830 CONTINUED								
4.UNITED TECHNOLOGIES CORP	(913017109)							
41453-00061 011312 011012	085A081402 U:	30.000	2,282.65	932.70	932.70	1,349.95	L	1,349.95
1.SOLD 30.000 PAR ON 01/10/12	REG:77							
** TOTAL FOR ASSET (913017109)		.00	2,282.65	932.70	932.70	1,349.95	L	1,349.95
						.00	S	
4.UNITEDHEALTH GROUP INC	(91324P102)							
41453-00062 011312 011012	085A121411 U:	50.000	2,637.44	2,402.73	2402.73			234.71
1.SOLD 50.000 PAR ON 01/10/12	REG:77					234.71	S	
** TOTAL FOR ASSET (91324P102)		.00	2,637.44	2402.73	2402.73	.00	L	234.71
						234.71	S	
4.VODAFONE GROUP PLC	(92857W209)							
5.SPONSORED ADR NEW								
41453-00063 011312 011012	085A121411 U:	85.000	2,359.55	2,299.67	2299.67			59.88
1.SOLD 85.000 PAR ON 01/10/12	REG:77					59.88	S	
** TOTAL FOR ASSET (92857W209)		.00	2,359.55	2299.67	2299.67	.00	L	59.88
						59.88	S	
4.WAL-MART STORES INC	(931142103)							
41453-00064 011312 011012	085A072108 U:	45.000	2,657.64	2,604.15	2604.15	53.49	L	53.49
1.SOLD 45.000 PAR ON 01/10/12	REG:77							
** TOTAL FOR ASSET (931142103)		.00	2,657.64	2604.15	2604.15	53.49	L	53.49
						.00	S	
4.WELLS FARGO & COMPANY	(949746101)							
41453-00065 011312 011012	085A121411 U:	95.000	2,784.39	2,460.98	2460.98			323.41
1.SOLD 95.000 PAR ON 01/10/12	REG:77					323.41	S	
** TOTAL FOR ASSET (949746101)		.00	2,784.39	2460.98	2460.98	.00	L	323.41
						323.41	S	
4.WHOLE FOODS MKT INC	(966837106)							
41453-00066 011312 011012	085A121411 U:	35.000	2,536.40	2,319.62	2319.62			216.78
1.SOLD 35.000 PAR ON 01/10/12	REG:77					216.78	S	
** TOTAL FOR ASSET (966837106)		.00	2,536.40	2319.62	2319.62	.00	L	216.78
						216.78	S	
4.WISCONSIN ENERGY CORP	(976657106)							
41453-00067 011312 011012	085A121411 U:	85.000	2,929.04	2,773.08	2773.08			155.96
1.SOLD 85.000 PAR ON 01/10/12	REG:77					155.96	S	
** TOTAL FOR ASSET (976657106)		.00	2,929.04	2773.08	2773.08	.00	L	155.96
						155.96	S	
**** TOTAL FOR TAX CODE 830		.00	221,485.29	201287.13	201287.13	13,184.42	L	20,198.16
						7,013.74	S	

831 SALES-COLLECTIVE FUNDS ******************** WS=99 **********

BANK 21 PNC BANK (21)
TAX OFCR 715 JOHN R KULLANDER
OFFICE 080 KENTUCKY

REGION 75 CLEVELAND-C&E
ADM OFCR 101 KEVIN MCMANAMON
INV OFCR 1F7 BETTY RAPP

[redacted] T A X W O R K S H E E T -
JOHN B HARTER CHAR FDN TRU/A
01/01/12 THRU 12/31/12 (POSTING-DATE)

REQUESTED
FTS: SERVICE=8, ACCT TYPE=9, REV CODE=9
TAX RESP=15,

REPORT TAX-20-97
TAX YEAR 12
PAGE 62

DATE 01/31/13
EIN # 30-6048115

	CASH		COST		GAIN / LOSS	
JULAN-SEQNO POSTED EFFECT ST BENE TRN TRN-DT	INCOME	PRINCIPAL	FEDERAL	STATE	FEDERAL S/L	STATE
4.FEDERATED CAP APPRECIATION - A (314172701)						
5.FUND # 674						
41474-00001 020312 020212 085A020211 U:	523.560	10,000.00	10,183.24	10183.24		183.24-
1.SOLD 523.560 PAR ON 02/02/12 REG:40					183.24-S	
** TOTAL FOR ASSET (314172701)	.00	10,000.00	10183.24	10183.24	.00 L	183.24-
					183.24- S	
4.HARBOR INTERNATIONAL FUND (411511306)						
5.CLASS INS						
41474-00002 020312 020212 085A101503 U:	516.885	30,000.00	17,889.39	17889.39	12,110.61 L	12,110.61
1.SOLD 516.885 PAR ON 02/02/12 REG:72						
** TOTAL FOR ASSET (411511306)	.00	30,000.00	17889.39	17889.39	12,110.61 L	12,110.61
					.00 S	
4.PIMCO FDS (693390700)						
5.TOTAL RETURN BD FUND						
6.INSTL CLASS, FD #35						
41474-00003 020312 020212 085A121103 U:	337.464	3,759.35	3,597.37	3597.37	161.98 L	161.98
1.SOLD 337.464 PAR ON 02/02/12 REG:72						
41474-00003 020312 020212 085A121604 U:	842.697	9,387.65	9,000.00	9000.00	387.65 L	387.65
1.SOLD 842.697 PAR ON 02/02/12 REG:72						
41474-00003 020312 020212 085A121304 U:	252.573	2,813.66	2,700.00	2700.00	113.66 L	113.66
1.SOLD 252.573 PAR ON 02/02/12 REG:72						
41474-00003 020312 020212 085A032003 U:	1,635.112	18,215.15	17,479.35	17479.35	735.80 L	735.80
1.SOLD 1,635.112 PAR ON 02/02/12 REG:72						
41474-00003 020312 020212 085A122904 U:	396.898	4,421.44	4,223.00	4223.00	198.44 L	198.44
1.SOLD 396.898 PAR ON 02/02/12 REG:72						
41474-00003 020312 020212 085A121103 U:	1,023.586	11,402.75	10,911.43	10911.43	491.32 L	491.32
1.SOLD 1,023.586 PAR ON 02/02/12 REG:72						
** TOTAL FOR ASSET (693390700)	.00	50,000.00	47911.15	47911.15	2,088.85 L	2,088.85
					.00 S	
4.T ROWE PRICE EQUITY INCOME FUND (779547108)						
5.SH BEN INT						
6.FUND #71						
41474-00004 020312 020212 085A020211 U:	410.341	10,000.00	10,110.80	10110.80		110.80-
1.SOLD 410.341 PAR ON 02/02/12 REG:40					110.80-S	
** TOTAL FOR ASSET (779547108)	.00	10,000.00	10110.80	10110.80	.00 L	110.80-
					110.80- S	
4.ROYCE TOTAL RETURN FUND INV (780905881)						
5.FUND #267						
41474-00005 020312 020212 085A072108 U:	739.645	10,000.00	8,831.36	8831.36	1,168.64 L	1,168.64
1.SOLD 739.645 PAR ON 02/02/12 REG:40						

BANK 21 PNC BANK (21)
TAX OFCR 715 JOHN R KULLANDER
OFFICE 080 KENTUCKY

- T A X W O R K S H E E T -
[redacted] JOHN B HARTER CHAR FDN TRU/A
[redacted] 12/31/12 (POSTING-DATE)

REPORT TAX-20-97
TAX YEAR 12
PAGE 63

REGION 75 CLEVELAND-C&E
ADM OFCR 10I KEVIN MCMANAMON
INV OFCR 1F7 BETTY RAPP

REQUESTED
FTS: SERVICE=8, ACCT TYPE=9, REV CODE=9
TAX RESP=15,

DATE 01/31/13
EIN # 30-6048115

JULAN-SEQNO POSTED EFFECT ST BENE TRN TRN-DT		CASH INCOME	CASH PRINCIPAL	COST FEDERAL	COST STATE	GAIN/LOSS FEDERAL	S/L	GAIN/LOSS STATE
** TOTAL FOR ASSET (780905881)		.00	10,000.00	8831.36	8831.36	1,168.64	L	1,168.64
						.00	S	
**** TOTAL FOR TAX CODE 831		.00	110,000.00	94925.94	94925.94	15,368.10	L	15,074.06
						294.04-	S	
916 TAX COST BASIS ADJUSTMENT -		********************		WS=99		**********		
4.DIVIDEND CAPITAL INDUSTRIAL	(456163104)							
5.INCOME TRUST								
41501-00001 030112 030112	087 022912 U:	.000	.00					
1.COST ADJUST FOR OID ACCRETION YEAR-END	REG:02							
** TOTAL FOR ASSET (456163104)		.00	.00	.00	.00	.00	L	.00
						.00	S	
**** TOTAL FOR TAX CODE 916		.00	.00	.00	.00	.00	L	.00
						.00	S	
997 REVERSAL TRANSACTION AND THE ORIGINAL		********************		WS=99		**********		
41723-00001 101012 101012	081 100912 U:	.000	335,000.00					
1.TO REVERSE ENTRY OF 10/9/12	REG:98							
41723-00001 100912 100912	086 100912 U:	.000	335,000.00-					
1.TRANSFER TO SUCCESSOR TRUSTEE	REG:98							
4.DIVIDEND CAPITAL INDUSTRIAL	(456163104)							
5.INCOME TRUST								
41495-00001 022712 022712	087 020411 U:	.000	.00					
1.TRANSACTION REVERSAL	REG:02							
41495-00001 022412 022412	082 022312 U:	.000	.00					
1.COST BASIS ADJUSTMENT	REG:02							
** TOTAL FOR ASSET (456163104)		.00	.00	.00	.00	.00	L	.00
						.00	S	
**** TOTAL FOR TAX CODE 997		.00	.00	.00	.00	.00	L	.00
						.00	S	

- - - - - - - - - - - - - - - - - - - TRANSACTION RECAP - - - - - - - - - - - - - - - - -

	INCOME	PRINCIPAL	FEDERAL	S/L	STATE
TRANSACTION ACTIVITY	4,847.03	85,566.11-	28,552.52	L	35,272.22
			6,719.70	S	
CURRENT CARRYOVER LOSS STATUS			.00	L	.00
			.00	S	
UPDATED GAIN/LOSS POSITION			28,552.52	L	35,272.22
			6,719.70	S	

2012 **Realized Capital Gains/Losses**

Quantity	Security	Reg	Date Acquired	Date Sold	Sale Proceeds	Investment Cost Basis	Wash Sale Loss Disallowed	Gain/Loss
SHORT-TERM TRANSACTIONS								
205.00	AMERISOURCEBERGEN CORP 03073E105		12/14/11	03/23/12	7,977 02	7,307 12	0.00	669.90
175.00	AMERIPRISE FINANCIAL INC 03076C106		12/14/11	03/23/12	9,931.14	7,849 54	0.00	2,081 60
750.00	ANCESTRY COM INC 032803108		06/05/12	10/31/12	23,651.47	17,073.30	0.00	6,578.17
105.00	BORG WARNER INC 099724106		12/14/11	03/23/12	8,773.65	6,471.25	0.00	2,302 40
145.00	CHUBB CORP 171232101		12/14/11	08/07/12	10,481.81	9,747.49	0.00	734 32
65 00	CUMMINS INC 231021106		12/14/11	03/23/12	7,858.36	5,719.68	0.00	2,138.68
150.00	DOLLAR TREE INC 256746108		12/14/11	03/23/12	14,182.29	12,188.23	0.00	1,994 06
160.00	DOVER CORPORATION 260003108		12/14/11	08/07/12	8,934.21	8,819 76	0.00	114.45
115 00	EQUITY RESIDENTIAL 29476L107		12/14/11	08/07/12	7,062.57	6,315.17	0.00	747.40
35.00	F M C CORP 302491303		12/16/11	03/23/12	3,426.79	2,962.39	0.00	464.40
50.00			12/15/11	03/23/12	4,895.41	4,162.77	0.00	732 64
Security Total:					8,322.20	7,125.16	0.00	1,197.04

2012

Realized Capital Gains/Losses (continued)

Quantity	Security	Reg	Date Acquired	Date Sold	Sale Proceeds	Investment Cost Basis	Wash Sale Loss Disallowed	Gain/Loss*
SHORT-TERM TRANSACTIONS								
150 00	ISHARES BARCLAYS INTERMEDIATECREDIT BOND FUND 464288638		03/16/11	02/17/12	16,274 74	15,951 00	0.00	323.74
85 00	JOY GLOBAL INC 481165108		12/14/11	03/23/12	6,407 19	6,372.02	0.00	35 17
0.33	KRAFT FOODS GROUP INC 50076Q106		12/14/11	10/09/12	15 20	12 62	0.00	2.58
68 00			12/14/11	11/05/12	3,032.05	2,577.55	0.00	454.50
Security Total:					3,047.25	2,590.17	0.00	457.08
200.00	LAUDER ESTEE INC CL A 518439104		12/14/11	03/23/12	12,435 79	10,561.06	0.00	1,874.73
365.00	MACYS INC 55616P104		12/14/11	03/23/12	14,504 87	11,247.30	0.00	3,257.57
340.00	MATTEL INC 577081102		12/14/11	03/23/12	11,448.61	9,460.47	0.00	1,988.14
205.00	MONDELEZ INTERNATIONAL INC 609207105		12/14/11	11/05/12	5,338 08	4,825.60	0.00	512.48
25.00	MOODYS CORP 615369105		02/01/12	03/23/12	1,031 98	944 32	0.00	87 66
165 00			12/14/11	03/23/12	6,811.09	5,442.45	0.00	1,368.64
Security Total:					7,843.07	6,386.77	0.00	1,456.30
70.00	NOBLE ENERGY INC 655044105		01/23/12	08/07/12	6,242.46	7,119.01	0.00	-876 55

2012 **Realized Capital Gains/Losses (continued)**

Quantity	Security	Reg	Date Acquired	Date Sold	Sale Proceeds	Investment Cost Basis	Wash Sale Loss Disallowed	Gain/Loss
SHORT-TERM TRANSACTIONS								
180.00	NORTHEAST UTILITIES 664397106		12/14/11	03/23/12	6,573.84	6,189.21	0.00	384.63
125.00	OGE ENERGY CORP 670837103		12/14/11	03/23/12	6,538.63	6,511.69	0.00	26.94
45.00	PHILLIPS 66 718546104		03/23/12	08/07/12	1,785 11	1,658.29	0.00	126 82
110.00	T ROWE PRICE GROUP INC 74144T108		02/01/12	08/07/12	6,772.55	6,450 72	0.00	321.83
65.00	SHIRE PLC SPONSORED ADR 82481R106		12/14/11	03/23/12	6,604.53	6,369 02	0.00	235 51
120.00	J M SMUCKER CO 832696405		12/14/11	03/23/12	9,596 26	9,185 22	0.00	411.04
175 00	UNITEDHEALTH GROUP INC 91324P102		12/14/11	08/07/12	9,183.81	8,409 54	0.00	774.27
120.00	WHOLE FOODS MARKET INC 966837106		12/14/11	08/07/12	11,297.79	7,952.99	0.00	3,344.80
325.00	WISCONSIN ENERGY CORP 976657106		12/14/11	08/07/12	12,970.48	10,602 97	0.00	2,367.51
Total SHORT-TERM TRANSACTIONS					262,039.78	226,459.75	0.00	35,580.03
LONG-TERM TRANSACTIONS								
15.00	APPLE INC 037833100		06/06/06	08/07/12	9,311.04	896.65	0.00	8,414.39

2012 Realized Capital Gains/Losses (continued)

Quantity	Security	Reg	Date Acquired	Date Sold	Sale Proceeds	Investment Cost Basis	Wash Sale Loss Disallowed	Gain/Loss
LONG-TERM TRANSACTIONS								
230.00	BRISTOL MYERS SQUIBB 110122108		02/17/10	08/07/12	7,482.72	5,655 19	0.00	1,827.53
170.00	CELANESE CORP SERIES A 150870103		08/07/09	08/07/12	6,670 65	4,666.06	0.00	2,004 59
5.00	CISCO SYSTEMS INC 17275R102		03/04/05	08/07/12	85.61	90.20	0.00	-4.59
110.00			12/19/05	08/07/12	1,883.32	1,936.00	0.00	-52.68
110.00			08/01/06	08/07/12	1,883.32	1,945.90	0.00	-62.58
140 00			08/08/06	08/07/12	2,396.95	2,430 40	0.00	-33.45
160 00			10/26/05	08/07/12	2,739.38	2,745.57	0.00	-6 19
Security Total:					**8,988.58**	**9,148.07**	**0.00**	**-159.49**
20000 00	CREDIT SUISSE ABSOLUTE RETURN0% 07/19/2012 22546EBS2		08/11/08	07/19/12	20,952.00	20,952.00	0.00	0.00
3583 94	FEDERATED CAPITAL APPRECIATIONFUND #674 314172701		02/02/11	03/23/12	71,642.92	69,707.60 ~~1.00~~	0.00	[redacted]
1250 00	HARBOR INTERNATIONAL FD 411511306		10/15/03	11/05/12	74,350.00	43,262.50	0.00	31,087.50
100 00	ISHARES CORE US BOND MARKETETF 464287226		03/12/08	03/02/12	11,041.25	10,194.97	0 00	846.28
200 00			08/07/09	03/23/12	21,893.62	20,380.96	0.00	1,512.66
1900.00			03/12/08	03/23/12	207,989 44	193,704 43	0.00	14,285.01
Security Total:					**240,924.31**	**224,280.36**	**0.00**	**16,643.95**
2100.00	ISHARES MSCI EMERGING MARKETSINDEX 464287234		12/10/08	03/23/12	89,794 38	52,500.00	0.00	37,294.38

2012 **Realized Capital Gains/Losses (continued)**

LONG-TERM TRANSACTIONS

Quantity	Security	Reg	Date Acquired	Date Sold	Sale Proceeds	Investment Cost Basis	Wash Sale Loss Disallowed	Gain/Loss*
300 00	ISHARES RUSSELL MIDCAP INDEX 464287499		05/29/09	11/05/12	33,023.28	19,377 28	0 00	13,646.00
500.00	ISHARES JPMORGAN USD EMERGINGMARKETS BOND 464288281		03/16/11	11/05/12	60,548 94	53,060 00	0.00	7,488.94
750.00	ISHARES BARCLAYS INTERMEDIATECREDIT BOND FUND 464288638		03/16/11	08/07/12	82,652.12	79,755.00	0.00	2,897.12
13000.00	PIMCO TOTAL RETURN FUNDINSTITUTIONAL 693390700		01/02/01	03/23/12	143,910 00	137,730.02	0.00	6,179.98
55.00	PHILLIPS 66 718546104		01/09/06	08/07/12	2,181.81	1,606.82	0.00	574.99
2842.42	T ROWE PRICE EQUITY INCOME 779547108		02/02/11	03/23/12	72,453.18	70,037.1 ~~1.00~~	[redacted]	~~72,452.18~~
7684.43	T ROWE PRICE INTERNATIONALBOND FUND 77956H104		03/05/10	11/05/12	77,382.18	75,000 00	0.00	2,382 18
206.61	T ROWE PRICE SHORT TERM BOND#55 77957P105		03/16/11	07/10/12	1,000.00	1,004.13	0.00	-4.13
21293 39			03/16/11	09/11/12	103,485.87	103,485 87	0.00	0.00
Security Total:					104,485.87	104,490.00	0.00	-4.13
1543.46	ROYCE TOTAL RETURN INVMT 780905881		07/21/08	08/07/12	20,636.06	18,428.92	0.00	2,207.14

2012 **Realized Capital Gains/Losses (continued)**

Quantity	Security	Reg	Date Acquired	Date Sold	Sale Proceeds	Investment Cost Basis	Wash Sale Loss Disallowed	Gain/Loss
LONG-TERM TRANSACTIONS								
47.93	THIRD AVENUE SMALL CAP VALUEFUND 884116203		05/19/08	08/07/12	1,017 47	1,193.84	0.00	-176 37
1312.62			07/21/08	08/07/12	27,866 88	30,137.70	0.00	-2,270.82
Security Total:					28,884.35	31,331.54	0.00	-2,447.19
Total LONG-TERM TRANSACTIONS					1,156,274.39	882,142.41	0.00	274,131.98
UNDETERMINED TERM TRANSACTIONS								
0.00	ETFS PHYSICAL SILVER SHARES 26922X107		N/A	12/01/12	8.40	N/A CL,16		
0.00	SPDR GOLD SHARES 78463V107		N/A	02/14/12	20 13	N/A CL,16		
0.00			N/A	03/13/12	20.71	N/A CL,16		
0 00			N/A	04/10/12	22 52	N/A CL,16		
0.00			N/A	05/16/12	23 82	N/A CL,16		
0.00			N/A	06/12/12	20.25	N/A CL,16		
0 00			N/A	07/06/12	20 43	N/A CL,16		
0.00			N/A	08/10/12	20 63	N/A CL,16		
0 00			N/A	09/12/12	21 12	N/A CL,16		
0 00			N/A	10/08/12	23.38	N/A CL,16		
0.00			N/A	11/19/12	21.59	N/A CL,16		
0.00			N/A	12/11/12	20 41	N/A CL,16		
Security Total:					234.99		0.00	
Total UNDETERMINED TERM TRANSACTIONS					243.39		0.00	
Grand Total:					1,418,557.56	1,108,602.16	0.00	309,712.01

309,712.01 +
71,641.92 -
72,452.18 -
1,935.32 +
2,416.04 +
243.39 +
170,212.66 *

Detail

Portfolio - income

Cash and cash equivalents

Mutual funds - money market

Description	Market value last period Quantity	Current market value Current price per unit	% of total portfolio	Total tax cost Avg. tax cost per unit	Unrealized gain/loss	Current yield	Estimated annual income	Accrued income
PNC MONEY MARKET FUND	$6,221.45	$6,223.89	32.09 %	$6,223.89		0 14 %	$8 20	$0 34
FUND #417	6,223 890	$1 0000		$1.00				

Portfolio - principal

Cash and cash equivalents

Mutual funds - money market

Description	Market value last period Quantity	Current market value Current price per unit	% of total portfolio	Total tax cost Avg tax cost per unit	Unrealized gain/loss	Current yield	Estimated annual income	Accrued income
PNC MONEY MARKET FUND	$13,172.83	$13,172 83	67.92 %	$13,172.83		0.14 %	$17.36	$0 69
FUND #417	13,172.830	$1.0000		$1 00				
Total portfolio		**$19,396.72**	**100.00 %**	**$19,396.72**		**0.13 %**	**$25.56**	**$1.03**

Detail

Portfolio - income

Cash and cash equivalents
Mutual funds - money market

Description	Market value last period / Quantity	Current market value / Current price per unit	% of total portfolio	Total tax cost / Avg. tax cost per unit	Unrealized gain/loss	Current yield	Estimated annual income	Accrued income
PNC MONEY MARKET FUND FUND #417 PNC	$505 38 528.050	$528 05 $1.0000	1.61 %	$528 05 $1 00		0 05 %	$0 26	$0 03

Portfolio - principal

Cash and cash equivalents
Mutual funds - money market

Description	Market value last period / Quantity	Current market value / Current price per unit	% of total portfolio	Total tax cost / Avg tax cost per unit	Unrealized gain/loss	Current yield	Estimated annual income	Accrued income
PNC MONEY MARKET FUND FUND #417 PNC	$367,445 47 32,469 300	$32,469.30 $1 0000	98.40 %	$32,469 30 $1 00		0.06 %	$16.24	$1 70
Total portfolio		$32,997.35	100.00 %	$32,997.35		0.05 %	$16.50	$1.73

PORTFOLIO DETAIL - PRINCIPAL

DESCRIPTION	TICKER	SHARES	TOTAL MARKET/ TOTAL COST	MARKET PRICE/ COST PRICE	EST ANNUAL INCOME/ GAIN / LOSS	CURRENT YIELD
CASH AND EQUIVALENTS						
NORTHERN INSTL GOVERNMENT SELECT MONEY MARKET 010%	BGSXX	36,738.010	36,738 01 36,738.01	1.00 1 00	3 67	0 01
FCBOK MONEY MARKET FDIC 0 5%	FCBOK	100,000 000	100,000 00 100,000 00	1 00 1.00	500 00	0 50
PRINCIPAL CASH			39,638 10- 39,638.10-			
* TOTAL CASH AND EQUIVALENTS			97,099.91 97,099.91		503.67 0.00	0.62
EQUITIES						
AT&T INC COM	T	400 000	13,484 00 12,524 82	33.71 31 31	720 00 959 18	5 34
ALLERGAN INC	AGN	120 000	11,007 60 9,910 03	91 73 82 58	24 00 1,097 57	0 22
AMERICAN EXPRESS CO CO	AXP	175 000	10,059.00 8,300 04	57 48 47.43	140 00 1,758 96	1 39
AMERICAN WATER WORKS CO	AWK	500 000	18,565.00 19,028 85	37 13 38.06	500.00 463 85-	2.69
APPLE INC	AAPL	50.000	26,608 65 2,943 18	532.17 58.86	530 00 23,665.47	1 99
BANK OF AMERICA CORP	BAC	2,500 000	29,025 00 22,476 75	11 61 8 99	100 00 6,548 25	0 34
CATERPILLAR INC	CAT	150 000	13,441 28 14,807 53	89 61 98 72	312 00 1,366 25-	2 32
CHEVRON CORP	CVX	195 000	21,087 30 19,456 03	108 14 99.77	702 00 1,631 27	3 33
CITIGROUP INC	C	525 000	20,769.00 17,411.88	39.56 33 17	21 00 3,357.12	0 10
COCA COLA CO	KO	600 000	21,750 00 22,040 21	36 25 36 73	612 00 290 21-	2 81
COMCAST CORP NEW CL A	CMCSA	600 000	22,416.00 15,370 46	37.36 25 62	390 00 7,045 54	1 74
CONOCOPHILLIPS	COP	200.000	11,598 00 10,355.00	57.99 51 78	528 00 1,243 00	4 55
DU PONT E I DE NEMOURS & CO	DD	340.000	15,292 69 14,911.47	44 98 43.86	584.80 381 22	3 82
EMC CORP MASS	EMC	705 000	17,836 50 16,421 89	25 30 23.29	 1,414.61	
EBAY INC	EBAY	205 000	10,454 53 6,212 50	51 00 30 30	 4,242 03	

ACCOUNT NUM[redacted]

STATEMENT PERIOD JANUARY 01, 2012 THROUGH DECEMBER 31, 2012

PORTFOLIO DETAIL - PRINCIPAL (CONTINUED)

DESCRIPTION	TICKER	SHARES	TOTAL MARKET/ TOTAL COST	MARKET PRICE/ COST PRICE	EST ANNUAL INCOME/ GAIN / LOSS	CURRENT YIELD
EQUITIES						
EXXON MOBIL CORP	XOM	290 000	25,099 50 21,332 40	86 55 73 56	661 20 3,767 10	2 63
GENERAL ELECTRIC CO	GE	700 000	14,693 00 12,383 88	20.99 17.69	532 00 2,309 12	3 62
GOOGLE INC	GOOG	25.000	17,684 50 12,249.22	707 38 489 97	 5,435 28	
HARBOR INTERNATIONAL FD	HAINX	1,963.588	121,978 09 67,959 79	62 12 34 61	2,466 27 54,018.30	2 02
HERSHEY CO FOODS CORP	HSY	195 000	14,082 90 11,443 48	72 22 58 68	327 60 2,639 42	2 33
HOME DEPOT INC	HD	400.000	24,740 00 18,357 99	61.85 45.89	464 00 6,382.01	1 88
INTEL CORP	INTC	600 000	12,372 00 15,506 71	20.62 25 84	540.00 3,134 71-	4 36
INTERNATIONAL BUSINESS MACHINES	IBM	70 000	13,408.50 13,202 35	191.55 188.61	238 00 206 15	1 77
ISHARES RUSSELL MIDCAP INDEX	IWR	1,200.000	135,720.00 77,509 12	113 10 64 59	2,462 40 58,210 88	1 81
ISHARES RUSSELL 2000 INDEX	IWM	1,000.000	84,317 80 79,107.94	84.32 79 11	1,687.00 5,209.86	2 00
ISHARES DJ US TELECOMM SECTOR INDEX	IYZ	800 000	19,408 00 23,640.00	24.26 29.55	509.60 4,232 00-	2 63
JPMORGAN CHASE & CO	JPM	750 000	32,976.83 21,680 34	43.97 28 91	900 00 11,296 49	2 73
JOHNSON & JOHNSON	JNJ	240 000	16,824 00 15,126.30	70 10 63 03	585.60 1,697.70	3 48
KOHLS CORP	KSS	350 000	15,043 00 18,199 97	42.98 52 00	448 00 3,156.97-	2 98
LIMITED BRANDS INC		400.000	18,824.00 17,420.34	47 06 43 55	400.00 1,403.66	2 12
MCDONALDS CORP	MCD	100 000	8,821.00 6,196 75	88 21 61 97	308 00 2,624.25	3 49
MERCK & CO INC	MRK	300 000	12,282 00 11,309.04	40 94 37.70	516 00 972 96	4 20
MICROSOFT CORP	MSFT	530 000	14,156 14 12,341.38	26 71 23 29	487.60 1,814.76	3 44
MOSAIC CO NEW	MOS	200.000	11,326.00 11,625.90	56 63 58.13	200 00 299 90-	1.77
NATIONAL OIL WELL VARCO INC	NOV	170 000	11,619 50 11,463 71	68 35 67 43	88 40 155 79	0.76

ACCOUNT NUMB[redacted]

STATEMENT PERIOD JANUARY 01, 2012 THROUGH DECEMBER 31, 2012

PORTFOLIO DETAIL - PRINCIPAL (CONTINUED)

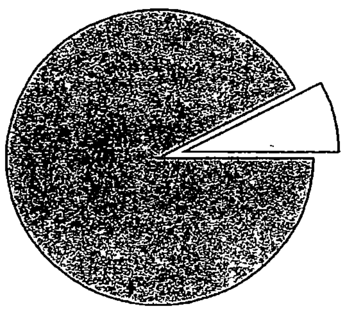
DESCRIPTION	TICKER	SHARES	TOTAL MARKET/ TOTAL COST	MARKET PRICE/ COST PRICE	EST ANNUAL INCOME/ GAIN / LOSS	CURRENT YIELD
EQUITIES						
NORTHERN TRUST CORP	NTRS	400.000	20,064.00 18,479.96	50.16 46.20	480.00 1,584.04	2 39
NOVARTIS A G SPONSORED ADR	NVS	300 000	18,990 00 17,807 01	63.30 59 36	631 80 1,182 99	3 33
ORACLE CORP	ORCL	500 000	16,660 00 15,256 80	33.32 30.51	120.00 1,403.20	0.72
PFIZER INC	PFE	595.000	14,922 18 12,413 90	25 08 20.86	571 20 2,508 28	3.83
POWERSHARES DYNAMIC BIOTECHNOLOGY & GENOME PORTFOLIO	PBE	750.000	17,127.75 17,144.93	22 84 22 86	57.00 17 18-	0.33
PROCTER & GAMBLE CO	PG	275 000	18,669 75 18,129 20	67 89 65 92	618 20 540 55	3 31
QUALCOMM INC	QCOM	225 000	13,918 41 11,962.10	61.86 53.16	225 00 1,956 31	1 62
SOUTHERN CO	SO	300 000	12,843 00 13,265 10	42 81 44.22	588.00 422.10-	4 58
UNION PACIFIC CORP	UNP	100 000	12,572 00 9,869.30	125 72 98 69	276 00 2,702 70	2 20
UNITED PARCEL SERVICE INC	UPS	300 000	22,119.00 23,610 99	73 73 78 70	684 00 1,491 99-	3 09
UNITED TECHNOLOGIES CORP	UTX	350.000	28,703.50 22,050 38	82 01 63 00	749 00 6,653.12	2 61
VANGUARD HIGH DIVIDEND YIELD INDX ETF	VYM	5,000 000	246,900 00 243,900.05	49 38 48 78	7,965 00 2,999 95	3 23
VANGUARD MSCI EMERGING MARKETS ETF	VWO	4,000 000	178,120.00 170,874 65	44 53 42 72	3,900.00 7,245.35	2 19
VANGUARD MATERIALS ETF	VAW	200 000	16,842 00 16,040 00	84 21 80 20	314 20 802 00	1 87
VODAFONE GROUP PLC SPONSORED ADR NEW	VOD	500 000	12,595.00 13,658.51	25 19 27.32	750 00 1,063.51-	5.95
WAL MART STORES INC	WMT	300 000	20,469 00 17,759.24	68.23 59 20	477.00 2,709.76	2 33
WELLS FARGO & CO COMPANY NEW	WFC	460.000	15,722.80 12,432.02	34 18 27 03	404.80 3,290.78	2.57
DIVIDEND CAPITAL INDUSTRIAL INCOME TRUST REIT		10,752.688	111,827 96 96,794 40	10 40 9 00	 15,033 56	
COVIDIEN PLC (NEW)	COV	210.000	12,125 40 8,875 63	57 74 42 26	218 40 3,249.77	1 80
*** TOTAL EQUITIES**			1,699,963.06 1,450,551.42		38,015.07 249,411.64	2.24

First Kentucky Trust

ACCOUNT NUMBER [redacted]
STATEMENT PERIOD JANUARY 01, 2012 THROUGH DECEMBER 31, 2012

PORTFOLIO DETAIL - PRINCIPAL (CONTINUED)

BOND QUALITY SUMMARY



S & P QUALITY RATING	MARKET VALUE	PERCENT
TREASURY / AGENCY	130, 812 66	7 7%
NOT RATED	1, 557, 758 34	92 3%
Total	1, 688, 571 00	100. 0%

DESCRIPTION	RATING	PAR VALUE	TOTAL MARKET/ TOTAL COST	MARKET PRICE/ COST PRICE	EST ANNUAL INCOME/ GAIN / LOSS	YIELD CURRENT/ MATURITY
FIXED INCOME						
BARCLAYS BANK PLC COMMODITY LINKED NOTE VAR RT 0% 03/05/2013		40,000 000	38,936 00 38,820 00	97 34 97 05	 116 00	
DODGE & COX INCOME FUND		19,908 738	275,935 11 247,870 92	13.86 12 45	9,635.83 28,064.19	3 49
EATON VANCE FLOATING RATE I		13,885.840	126,638 86 125,000 00	9 12 9 00	5,623.77 1,638 86	4 44
ISHARES BARCLAYS TIPS BONDS		720 000	87,415 20 74,864.02	121 41 103 98	1,938 96 12,551 18	2 22
ISHARES BARCLAYS INTERMEDIATE CREDIT BOND FUND		1,750 000	194,757 50 186,095 00	111 29 106 34	6,137 25 8,662 50	3 15
JPMORGAN CHASE & CO GLOBAL MEDIUM TERM NOTE ENHANCED NOTE IDX LKD 0% 07/02/2013	NR	20,000.000	16,952 00 20,500 00	84.76 102.50	 3,548 00-	
NORTHERN ULTRA-SHORT FIXED INCOME		9,796 675	100,024 05 100,121 90	10.21 10.22	1,146 21 97 85-	1.15
NORTHERN HIGH YIELD FIXED INCOME FUND		6,684 492	50,467 91 50,000 00	7 55 7 48	3,516 04 467 91	6.97
PIMCO TOTAL RETURN FUND INSTITUTIONAL		21,077 015	236,905.65 219,091 91	11 24 10 39	7,672 03 17,813 74	3 24
PIMCO ALL ASSET ALL AUTHORITY INSTL		17,048.872	189,071 99 187,300.00	11 09 10.99	10,246 37 1,771 99	5 42
PIMCO UNCONSTRAINED BOND INSTL		4,493 604	51,586 57 50,061 44	11 48 11.14	822 33 1,525 13	1.59
U S TREASURY INFLATION PROTECTED 2 125% 01/15/2019		107,741.000	130,812 66 114,952.05	121 41 106.69	2,289 50 15,860 61	1 75

PORTFOLIO DETAIL - PRINCIPAL (CONTINUED)

DESCRIPTION	RATING	PAR VALUE	TOTAL MARKET/ TOTAL COST	MARKET PRICE/ COST PRICE	EST ANNUAL INCOME/ GAIN / LOSS	YIELD CURRENT/ MATURITY
FIXED INCOME						
VANGUARD TOTAL BOND MARKET ETF		2,250.000	189,067 50 188,519 93	84 03 83 79	5,042.25 547 57	2 67
* TOTAL FIXED INCOME			1,688,571.00 1,603,197.17		54,070.54 85,373.83	3.20

DESCRIPTION	TICKER	SHARES	TOTAL MARKET/ TOTAL COST	MARKET PRICE/ COST PRICE	EST ANNUAL INCOME/ GAIN / LOSS	CURRENT YIELD
OTHER						
BURT'S ART COLLECTIONS		1.000	322,226.00 322,226.00	 322,226.00		
* TOTAL OTHER			322,226.00 322,226.00		0.00 0 00	0.00
ALTERNATIVE INVESTMENTS						
ETFS PHYSICAL SILVER SHARES	SIVR	1,000 000	30,050.00 30,760 00	30.05 30 76	 710 00-	
SPDR GOLD SHARES	GLD	400 000	64,808 16 54,292 00	162 02 135 73	 10,516 16	
* TOTAL ALTERNATIVE INVESTMENTS			94,858.16 85,052.00		0.00 9,806.16	0.00
TOTAL PRINCIPAL ASSETS			3,902,718 13 3,558,126.50		92,689.28 344,591.63	2.37

PORTFOLIO DETAIL - INCOME

DESCRIPTION	TICKER	SHARES	TOTAL MARKET/ TOTAL COST	MARKET PRICE/ COST PRICE	EST ANNUAL INCOME/ GAIN / LOSS	CURRENT YIELD
CASH AND EQUIVALENTS						
NORTHERN INSTL GOVERNMENT SELECT MONEY MARKET 010%	BGSXX	54 400	54 40 54.40	1.00 1.00	0 01	0.02
INCOME CASH			48,897 01 48,897.01			
* TOTAL CASH AND EQUIVALENTS			48,951.41 48,951.41		0.01 0.00	0.00
TOTAL INCOME ASSETS			48,951.41 48,951.41		0 01 0.00	0 00