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** , 2012, and ending , 20

| Name of foundation | | A Employer identification number |
|---|---|---|
| TOM STOCKERT FOUNDATION R72737001 | | 54-6423244 |
| Number and street (or P O box number if mail is not delivered to street address) | Room/suite | B Telephone number (see instructions) |
| 10 S DEARBORN IL1-0117 | | 866- 888-5157 |
| City or town, state, and ZIP code | | C If exemption application is pending, check here ▶ [ ] |
| CHICAGO, IL 60603 | | |

**G** Check all that apply: [ ] Initial return [ ] Initial return of a former public charity [ ] Final return [ ] Amended return [X] 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)* ▶ $ 715,432.

**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) (see instructions).)*

| | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|
| Revenue | 1 Contributions, gifts, grants, etc , received (attach schedule) | | | | |
| | 2 Check ▶ [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 | 15,048. | 15,048. | | |
| | 5a Gross rents | 7,200. | 7,200. | NONE | |
| | b Net rental income or (loss) 4,193 | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 9,596. | | | |
| | b Gross sales price for all assets on line 6a 200,025. | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 9,596. | | |
| | 8 Net short-term capital gain | | | | |
| | 9 Income modifications | | | | |
| | 10 a Gross sales less returns and allowances | | | | |
| | b Less Cost of goods sold | | | | |
| | c Gross profit or (loss) (attach schedule) | | | | |
| | 11 Other income (attach schedule) | 174. | 174. | | STMT 1 |
| | 12 **Total.** Add lines 1 through 11 | 32,018. | 32,018. | NONE | |
| Operating and Administrative Expenses | 13 Compensation of officers, directors, trustees, etc | 8,145. | 6,109. | | 2,036. |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees (attach schedule) | | | | |
| | b Accounting fees (attach schedule) | | | | |
| | c Other professional fees (attach schedule) | | | | |
| | 17 Interest | | | | |
| | 18 Taxes (attach schedule) (see instructions) STMT. 2 | 3,006. | 712. | | |
| | 19 Depreciation (attach schedule) and depletion | 1,079. | 1,079. | | |
| | 20 Occupancy | 24. | | | 24. |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses (attach schedule) STMT. 3 | 3,007. | | | |
| | 24 **Total operating and administrative expenses.** Add lines 13 through 23 | 15,261. | 7,900. | | 2,060. |
| | 25 Contributions, gifts, grants paid | 31,250. | | | 31,250. |
| | 26 **Total expenses and disbursements** Add lines 24 and 25 | 46,511. | 7,900. | | 33,310. |
| | 27 Subtract line 26 from line 12 | | | | |
| | a **Excess of revenue over expenses and disbursements** | -14,493. | | | |
| | b **Net investment income** (if negative, enter -0-) | | 24,118. | | |
| | c **Adjusted net income** (if negative, enter -0-) | | | NONE | |

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| **Part II** Balance Sheets | Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions) | Beginning of year (a) Book Value | End of year (b) Book Value | (c) Fair Market Value |
|---|---|---|---|---|
| Assets | 1 Cash - non-interest-bearing | 38,421. | 47,750. | 47,750. |
| | 2 Savings and temporary cash investments | | | |
| | 3 Accounts receivable ▶ | | | |
| | Less allowance for doubtful accounts ▶ | | | |
| | 4 Pledges receivable ▶ | | | |
| | Less allowance for doubtful accounts ▶ | | | |
| | 5 Grants receivable | | | |
| | 6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) | | | |
| | 7 Other notes and loans receivable (attach schedule) ▶ | | | |
| | Less allowance for doubtful accounts ▶ | | | |
| | 8 Inventories for sale or use | | | |
| | 9 Prepaid expenses and deferred charges | | | |
| | 10 a Investments - U S and state government obligations (attach schedule) | | | |
| | b Investments - corporate stock (attach schedule) | 291,194. | 311,138. | 336,432. |
| | c Investments - corporate bonds (attach schedule) | 270,854. | 188,791. | 192,470. |
| | 11 Investments - land, buildings, and equipment basis ▶ | | | |
| | Less accumulated depreciation (attach schedule) ▶ | | | |
| | 12 Investments - mortgage loans | | | |
| | 13 Investments - other (attach schedule) | 51,692. | 90,621. | 93,780. |
| | 14 Land, buildings, and equipment basis ▶ 42,500. | | | |
| | Less accumulated depreciation (attach schedule) ▶ 17,512. | 26,067. | 24,988. | 45,000. |
| | 15 Other assets (describe ▶ ) | | | |
| | 16 Total assets (to be completed by all filers - see the instructions Also, see page 1, item I) | 678,228. | 663,288. | 715,432. |
| 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) | | NONE | |
| 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. ▶ [X]** | | | |
| | 27 Capital stock, trust principal, or current funds | 678,228. | 663,288. | |
| | 28 Paid-in or capital surplus, or land, bldg, and equipment fund | | | |
| | 29 Retained earnings, accumulated income, endowment, or other funds | | | |
| | 30 **Total net assets or fund balances** (see instructions) | 678,228. | 663,288. | |
| | 31 **Total liabilities and net assets/fund balances** (see instructions) | 678,228. | 663,288. | |

## 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 | 678,228. |
| 2 | Enter amount from Part I, line 27a | 2 | -14,493. |
| 3 | Other increases not included in line 2 (itemize) ▶ PRIOR PERIOD ADJUSTMENT | 3 | 61. |
| 4 | Add lines 1, 2, and 3 | 4 | 663,796. |
| 5 | Decreases not included in line 2 (itemize) ▶ DEFERRED INCOME - MUTUAL FUND TIMING DIFFERENCE | 5 | 508. |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 663,288. |

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

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

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | 200,025. | | 190,429. | 9,596. |
| 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 | | | | 9,596. |
| 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 9,596.

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

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

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

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

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

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

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

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col (b) divided by col (c)) |
|---|---|---|---|
| 2011 | 29,478. | 727,730. | 0.040507 |
| 2010 | 36,067. | 676,879. | 0.053284 |
| 2009 | 38,801. | 629,579. | 0.061630 |
| 2008 | 41,278. | 767,076. | 0.053812 |
| 2007 | 40,512. | 842,624. | 0.048078 |

| | | | |
|---|---|---|---|
| 2 | Total of line 1, column (d) . . . | 2 | 0.257311 |
| 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 | 0.051462 |
| 4 | Enter the net value of noncharitable-use assets for 2012 from Part X, line 5 . . . | 4 | 714,966. |
| 5 | Multiply line 4 by line 3 . . . | 5 | 36,794. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) . . . | 6 | 241. |
| 7 | Add lines 5 and 6 . . . | 7 | 37,035. |
| 8 | Enter qualifying distributions from Part XII, line 4 . . . | 8 | 33,310. |

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

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

| | | | |
|---|---|---|---|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1<br>Date of ruling or determination letter ________ (attach copy of letter if necessary - see instructions) | | |
| b | Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b | 1 | 482. |
| c | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b). | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | 2 | |
| 3 | Add lines 1 and 2 | 3 | 482. |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | 4 | NONE |
| 5 | **Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0- | 5 | 482. |
| 6 | Credits/Payments | | |
| a | 2012 estimated tax payments and 2011 overpayment credited to 2012 — 6a: 760. | | |
| b | Exempt foreign organizations - tax withheld at source — 6b: NONE | | |
| c | Tax paid with application for extension of time to file (Form 8868) — 6c: 400. | | |
| d | Backup withholding erroneously withheld — 6d: | | |
| 7 | Total credits and payments Add lines 6a through 6d | 7 | 1,160. |
| 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 | 678. |
| 11 | Enter the amount of line 10 to be **Credited to 2013 estimated tax** ▶ 484. **Refunded** ▶ | 11 | 194. |

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

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

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

Website address ▶ N/A

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

Located at ▶ 10 S. DEARBORN, IL1-0117, CHICAGO, IL ZIP+4 ▶ 60603-2300

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

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

| | | | Yes | No |
|---|---|---|---|---|
| 16 | At any time during calendar year 2012, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? | 16 | | X |
| | See the instructions for exceptions and filing requirements for Form TD F 90-22 1 If "Yes," enter the name of the foreign country ▶ | | | |

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

**File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.** Yes No

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

| | | | 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 | | |
| | 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 ▶ ________ , ________ , ________ , ________

| | | | Yes | No |
|---|---|---|---|---|
| b | Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions ) | 2b | | X |

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

| | | | 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 | | 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)? (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** | | 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? **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 |
|---|---|---|---|---|
| JPMORGAN CHASE BANK, NA<br>10 S. DEARBORN, IL1-0117, CHICAGO, IL 60603-2300 | TRUSTEE<br>40 | 8,145 | -0- | -0- |
| | | | | |
| | | | | |
| | | | | |

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

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

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

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

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

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

## Part IX-A Summary of Direct Charitable Activities

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

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

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

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

| | | | |
|---|---|---|---|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes: | | |
| a | Average monthly fair market value of securities | 1a | 682,965. |
| b | Average of monthly cash balances | 1b | 42,889. |
| c | Fair market value of all other assets (see instructions) | 1c | NONE |
| d | **Total** (add lines 1a, b, and c) | 1d | 725,854. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | 2 | NONE |
| 3 | Subtract line 2 from line 1d | 3 | 725,854. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 10,888. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 714,966. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 35,748. |

**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 | 35,748. |
| 2a | Tax on investment income for 2012 from Part VI, line 5 | 2a | 482. | | |
| b | Income tax for 2012 (This does not include the tax from Part VI.) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 482. |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1 | | | 3 | 35,266. |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | NONE |
| 5 | Add lines 3 and 4 | | | 5 | 35,266. |
| 6 | Deduction from distributable amount (see instructions) | | | 6 | NONE |
| 7 | **Distributable amount** as adjusted. Subtract line 6 from line 5 Enter here and on Part XIII, line 1 | | | 7 | 35,266. |

**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 | 33,310. |
| b | Program-related investments - total from Part IX-B | 1b | |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes | 2 | NONE |
| 3 | Amounts set aside for specific charitable projects that satisfy the: | | |
| a | Suitability test (prior IRS approval required) | 3a | NONE |
| b | Cash distribution test (attach the required schedule) | 3b | NONE |
| 4 | **Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 33,310. |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions) | 5 | N/A |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 33,310. |

**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 | | | | 35,266. |
| 2 | Undistributed income, if any, as of the end of 2012 | | | | |
| a | Enter amount for 2011 only | | | 31,829. | |
| b | Total for prior years 20____, 20____, 20____ | | NONE | | |
| 3 | Excess distributions carryover, if any, to 2012 | | | | |
| a | From 2007 ...... NONE | | | | |
| b | From 2008 ...... NONE | | | | |
| c | From 2009 ...... NONE | | | | |
| d | From 2010 ...... NONE | | | | |
| e | From 2011 ...... NONE | | | | |
| f | Total of lines 3a through e | NONE | | | |
| 4 | Qualifying distributions for 2012 from Part XII, line 4 ▶ $ 33,310. | | | | |
| a | Applied to 2011, but not more than line 2a | | | 31,829. | |
| b | Applied to undistributed income of prior years (Election required - see instructions) | | NONE | | |
| c | Treated as distributions out of corpus (Election required - see instructions) | NONE | | | |
| d | Applied to 2012 distributable amount | | | | 1,481. |
| e | Remaining amount distributed out of corpus | NONE | | | |
| 5 | Excess distributions carryover applied to 2012 *(If an amount appears in column (d), the same amount must be shown in column (a).)* | NONE | | | NONE |
| 6 | **Enter the net total of each column as indicated below:** | | | | |
| a | Corpus Add lines 3f, 4c, and 4e Subtract line 5 | NONE | | | |
| b | Prior years' undistributed income Subtract line 4b from line 2b | | NONE | | |
| c | Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | NONE | | |
| d | Subtract line 6c from line 6b Taxable amount - see instructions | | NONE | | |
| e | Undistributed income for 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 | | | | 33,785. |
| 7 | Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions) | NONE | | | |
| 8 | Excess distributions carryover from 2007 not applied on line 5 or line 7 (see instructions) | NONE | | | |
| 9 | **Excess distributions carryover to 2013.** Subtract lines 7 and 8 from line 6a | NONE | | | |
| 10 | Analysis of line 9 | | | | |
| a | Excess from 2008 ... NONE | | | | |
| b | Excess from 2009 ... NONE | | | | |
| c | Excess from 2010 ... NONE | | | | |
| d | Excess from 2011 ... NONE | | | | |
| e | Excess from 2012 ... NONE | | | | |

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 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 |
| 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 foundation had $5,000 or more in assets at any time during the year - see instructions.)**

1 **Information Regarding Foundation Managers:**

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

N/A

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

N/A

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

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

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

SEE STATEMENT 4

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

SEE ATTACHED STATEMENT FOR LINE 2

c Any submission deadlines:

SEE ATTACHED STATEMENT FOR LINE 2

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

SEE ATTACHED STATEMENT FOR LINE 2

## Part XV Supplementary Information (continued)

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

| Recipient<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| VARIOUS CHARITABLE RECIPIENTS SEE ATTACHED ST | NONE | PUBLIC | GENERAL | 31,250. |
| **Total** ▶ 3a | | | | 31,250. |
| **b** *Approved for future payment* | | | | |
| **Total** ▶ 3b | | | | |

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

| Enter gross amounts unless otherwise indicated | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income (See instructions.) |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | | | |
| 4 Dividends and interest from securities | | | 14 | 15,048. | |
| 5 Net rental income or (loss) from real estate | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | 16 | NONE | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | 14 | 174. | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 9,596. | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue a | | | | | |
| b RENTAL INCOME | 0 | | 14 | 7,200. | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal Add columns (b), (d), and (e) | | | | 32,018. | |

13 **Total.** Add line 12, columns (b), (d), and (e) . . . 13 32,018.

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

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

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

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

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

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

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

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

b If "Yes," complete the following schedule.

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

**Sign Here**

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

Anthony Ward | 07/10/2013 | Auth officer

Signature of officer or trustee | Date | Title

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

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

# RENT AND ROYALTY INCOME

| Taxpayer's Name | Identifying Number |
|---|---|
| TOM STOCKERT FOUNDATION R72737001 | 54-6423244 |

**DESCRIPTION OF PROPERTY**
MILLERS DRUGSTORE

[ ] Yes [ ] No Did you actively participate in the operation of the activity during the tax year?

**TYPE OF PROPERTY:** 4 - COMMERCIAL

| | | | |
|---|---|---|---|
| RENTAL INCOME | | 7,200. | |
| **OTHER INCOME:** | | | |
| | | | |
| | | | |
| **TOTAL GROSS INCOME** | | | 7,200. |
| **OTHER EXPENSES:** | | | |
| AUTO AND TRAVEL | | 16. | |
| INSURANCE | | 1,866. | |
| LEGAL AND OTHER PROFESSIONAL FEES | | 1,125. | |
| **DEPRECIATION (SHOWN BELOW)** | | | |
| LESS: Beneficiary's Portion | | | |
| **AMORTIZATION** | | | |
| LESS. Beneficiary's Portion | | | |
| **DEPLETION** | | | |
| LESS: Beneficiary's Portion | | | |
| **TOTAL EXPENSES** | | | 3,007. |
| **TOTAL RENT OR ROYALTY INCOME (LOSS)** | | | 4,193. |
| **Less Amount to** | | | |
| Rent or Royalty | | | |
| Depreciation | | | |
| Depletion | | | |
| Investment Interest Expense | | | |
| Other Expenses | | | |
| Net Income (Loss) to Others | | | |
| **Net Rent or Royalty Income (Loss)** | | | 4,193. |
| **Deductible Rental Loss (if Applicable)** | | | |

## SCHEDULE FOR DEPRECIATION CLAIMED

| (a) Description of property | (b) Cost or unadjusted basis | (c) Date acquired | (d) ACRS des | (e) Bus % | (f) Basis for depreciation | (g) Depreciation in prior years | (h) Method | (i) Life or rate | (j) Depreciation for this year |
|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | |
| Totals | | | | | | | | | |

JSA
2E7000 1 000

FORM 990PF, PART I - OTHER INCOME

| DESCRIPTION | | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|---|
| POWERSHARES K1 INCOME | | 174. | 174. |
| | TOTALS | 174. | 174. |

## FORM 990PF, PART I - TAXES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| REAL ESTATE TAX ON NON-RENTAL | 525. | 525. |
| FEDERAL TAX PAYMENT - PRIOR YE | 2,294. | |
| FOREIGN TAXES ON QUALIFIED FOR | 171. | 171. |
| FOREIGN TAXES ON NONQUALIFIED | 16. | 16. |
| TOTALS | 3,006. | 712. |

## FORM 990PF, PART I - OTHER EXPENSES

| DESCRIPTION | | REVENUE AND EXPENSES PER BOOKS |
|---|---|---|
| RENT AND ROYALTY EXPENSES | | 3,007. |
| | TOTALS | 3,007. |

STATEMENT 3

RECIPIENT NAME:
JPMORGAN CHASE BANK, NA, ATTN: NCAA
ADDRESS:
2200 ROSS AVE
DALLAS, TX 75201
RECIPIENT'S PHONE NUMBER: 214-965-2874
E-MAIL ADDRESS: CHARLOTTESVILLE, VA; TO HIGHEST QUALIFIED STUDENTS
FORM, INFORMATION AND MATERIALS:
WRITTEN LETTER FORM. ACADEMIC HISTORY, EXTRA CURRICULAR ACTIVITIES, STATE OF RESIDENCE AND INSTITUTIONS ATTENDED.
SUBMISSION DEADLINES:
LAST WEEK OF APRIL EACH YEAR.
RESTRICTIONS OR LIMITATIONS ON AWARDS:
SCHOLARSHIPS ARE MADE TO STUDENTS SEEKING POST SECONDARY EDUCATION PROGRAMS. PREFERENCE IS TO BE GIVEN TO WEST VIRGINIA RESIDENTS WHO WANT TO ATTEND UNIV OF VIRGINIA COLLEGE OF LAW

RENT AND ROYALTY SUMMARY

| PROPERTY | TOTAL INCOME | DEPLETION/ DEPRECIATION | OTHER EXPENSES | ALLOWABLE NET INCOME |
|---|---|---|---|---|
| MILLERS DRUGSTORE | 7,200. | | 3,007. | 4,193. |
| TOTALS | 7,200. | | 3,007. | 4,193. |

STATEMENT 5

**Description of Property**

## DEPRECIATION

| Asset description | Date placed in service | Unadjusted Cost or basis | Bus. % | 179 exp. reduction in basis | Basis Reduction | Basis for depreciation | Beginning Accumulated depreciation | Ending Accumulated depreciation | Method | Conv | Life | ACRS class | MACRS class | Current-year 179 expense | Current-year depreciation |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 8 EAST MAIN ST- LA | 08/08/1992 | 8,500. | 100.000 | | | 8,500. | | | | | | | | | |
| 8 EAST MAIN ST-BUI | 08/08/1992 | 34,000. | 100.000 | | | 34,000. | 15,582. | 16,661 | SL | MM | 31.500 | | | | 1,079. |
| Less Retired Assets | | | | | | | | | | | | | | | |
| **Subtotals** | | 42,500. | | | | 42,500. | 15,582. | 16,661 | | | | | | | 1,079 |
| Listed Property | | | | | | | | | | | | | | | |
| Less: Retired Assets | | | | | | | | | | | | | | | |
| **Subtotals** | | | | | | | | | | | | | | | |
| **TOTALS** | | 42,500. | | | | 42,500 | 15,582 | 16,661. | | | | | | | 1,079. |

## AMORTIZATION

| Asset description | Date placed in service | Cost or basis | Accumulated amortization | Ending Accumulated amortization | Code | Life | Current-year amortization |
|---|---|---|---|---|---|---|---|
| **TOTALS** | | | | | | | |

*Assets Retired
JSA
2X9024 1 000

**SCHEDULE D (Form 1041)**

Department of the Treasury
Internal Revenue Service

# Capital Gains and Losses

▶ Attach to Form 1041, Form 5227, or Form 990-T.
▶ Information about Schedule D (Form 1041) and its separate instructions is at *www.irs.gov/form1041*.

OMB No 1545-0092

**2012**

Name of estate or trust: TOM STOCKERT FOUNDATION R72737001

Employer identification number: 54-6423244

**Note:** *Form 5227 filers need to complete **only** Parts I and II.*

## Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

| | (a) Description of property (Example 100 shares 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo , day, yr ) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) for the entire year Subtract (e) from (d) |
|---|---|---|---|---|---|---|
| 1a | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

| | | | |
|---|---|---|---|
| b | Enter the short-term gain or (loss), if any, from Schedule D-1, line 1b | 1b | -597. |
| 2 | Short-term capital gain or (loss) from Forms 4684, 6252, 6781, and 8824 | 2 | |
| 3 | Net short-term gain or (loss) from partnerships, S corporations, and other estates or trusts | 3 | |
| 4 | Short-term capital loss carryover Enter the amount, if any, from line 9 of the 2011 Capital Loss Carryover Worksheet | 4 | ( ) |
| 5 | **Net short-term gain or (loss).** Combine lines 1a through 4 in column (f). Enter here and on line 13, column (3) on the back ▶ | 5 | -597. |

## Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

| | (a) Description of property (Example 100 shares 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo , day, yr ) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) for the entire year Subtract (e) from (d) |
|---|---|---|---|---|---|---|
| 6a | LONG-TERM CAPITAL GAIN DIVIDENDS | | | | | 4,940. |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

| | | | |
|---|---|---|---|
| b | Enter the long-term gain or (loss), if any, from Schedule D-1, line 6b | 6b | 5,253. |
| 7 | Long-term capital gain or (loss) from Forms 2439, 4684, 6252, 6781, and 8824 | 7 | |
| 8 | Net long-term gain or (loss) from partnerships, S corporations, and other estates or trusts | 8 | |
| 9 | Capital gain distributions | 9 | |
| 10 | Gain from Form 4797, Part I | 10 | |
| 11 | Long-term capital loss carryover. Enter the amount, if any, from line 14 of the 2011 Capital Loss Carryover Worksheet | 11 | ( ) |
| 12 | **Net long-term gain or (loss).** Combine lines 6a through 11 in column (f) Enter here and on line 14a, column (3) on the back ▶ | 12 | 10,193. |

**For Paperwork Reduction Act Notice, see the Instructions for Form 1041.** **Schedule D (Form 1041) 2012**

| **Part III** Summary of Parts I and II<br>**Caution:** *Read the instructions **before** completing this part.* | | (1) Beneficiaries' (see instr ) | (2) Estate's or trust's | (3) Total |
|---|---|---|---|---|
| 13 **Net short-term gain or (loss)** | 13 | | | -597. |
| 14 **Net long-term gain or (loss):** | | | | |
| a Total for year | 14a | | | 10,193. |
| b Unrecaptured section 1250 gain (see line 18 of the wrksht.) | 14b | | | |
| c 28% rate gain | 14c | | | |
| 15 **Total net gain or (loss).** Combine lines 13 and 14a ▶ | 15 | | | 9,596. |

**Note:** *If line 15, column (3), is a net gain, enter the gain on Form 1041, line 4 (or Form 990-T, Part I, line 4a) If lines 14a and 15, column (2), are net gains, go to Part V, and **do not** complete Part IV If line 15, column (3), is a net loss, complete Part IV and the **Capital Loss Carryover Worksheet,** as necessary*

## Part IV Capital Loss Limitation

16 Enter here and enter as a (loss) on Form 1041, line 4 (or Form 990-T, Part I, line 4c, if a trust), the **smaller** of:
a The loss on line 15, column (3) **or** b $3,000 . . . 16 ( )

**Note:** *If the loss on line 15, column (3), is more than $3,000, **or** if Form 1041, page 1, line 22 (or Form 990-T, line 34), is a loss, complete the **Capital Loss Carryover Worksheet** in the instructions to figure your capital loss carryover*

## Part V Tax Computation Using Maximum Capital Gains Rates

**Form 1041 filers.** Complete this part **only** if both lines 14a and 15 in column (2) are gains, or an amount is entered in Part I or Part II and there is an entry on Form 1041, line 2b(2), **and** Form 1041, line 22, is more than zero.

**Caution:** *Skip this part and complete the **Schedule D Tax Worksheet** in the instructions if:*
- *Either line 14b, col (2) or line 14c, col. (2) is more than zero, or*
- *Both Form 1041, line 2b(1), and Form 4952, line 4g are more than zero.*

**Form 990-T trusts.** Complete this part **only** if both lines 14a and 15 are gains, or qualified dividends are included in income in Part I of Form 990-T, **and** Form 990-T, line 34, is more than zero. Skip this part and complete the **Schedule D Tax Worksheet** in the instructions if either line 14b, col (2) or line 14c, col (2) is more than zero.

| | | |
|---|---|---|
| 17 Enter taxable income from Form 1041, line 22 (or Form 990-T, line 34) | 17 | |
| 18 Enter the **smaller** of line 14a or 15 in column (2) but not less than zero | 18 | |
| 19 Enter the estate's or trust's qualified dividends from Form 1041, line 2b(2) (or enter the qualified dividends included in income in Part I of Form 990-T) | 19 | |
| 20 Add lines 18 and 19 | 20 | |
| 21 If the estate or trust is filing Form 4952, enter the amount from line 4g; otherwise, enter -0- ▶ | 21 | |
| 22 Subtract line 21 from line 20 If zero or less, enter -0- | 22 | |
| 23 Subtract line 22 from line 17. If zero or less, enter -0- | 23 | |
| 24 Enter the **smaller** of the amount on line 17 or $2,400 | 24 | |
| 25 Is the amount on line 23 equal to or more than the amount on line 24?<br>☐ **Yes.** Skip lines 25 and 26; go to line 27 and check the "No" box.<br>☐ **No.** Enter the amount from line 23 | 25 | |
| 26 Subtract line 25 from line 24 | 26 | |
| 27 Are the amounts on lines 22 and 26 the same?<br>☐ **Yes.** Skip lines 27 thru 30, go to line 31 ☐ **No.** Enter the smaller of line 17 or line 22 | 27 | |
| 28 Enter the amount from line 26 (If line 26 is blank, enter -0-) | 28 | |
| 29 Subtract line 28 from line 27 | 29 | |
| 30 Multiply line 29 by 15% (.15) | 30 | |
| 31 Figure the tax on the amount on line 23 Use the 2012 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041) | 31 | |
| 32 Add lines 30 and 31 | 32 | |
| 33 Figure the tax on the amount on line 17. Use the 2012 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041) | 33 | |
| 34 **Tax on all taxable income.** Enter the **smaller** of line 32 or line 33 here and on Form 1041, Schedule G, line 1a (or Form 990-T, line 36) | 34 | |

**SCHEDULE D-1 (Form 1041)**

Department of the Treasury
Internal Revenue Service

# Continuation Sheet for Schedule D (Form 1041)

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.
▶ Information about Schedule D (Form 1041) and its separate instructions is at *www.irs gov/form1041*

OMB No 1545-0092

**2012**

| Name of estate or trust | Employer identification number |
|---|---|
| TOM STOCKERT FOUNDATION R72737001 | 54-6423244 |

**Part I** **Short-Term Capital Gains and Losses - Assets Held One Year or Less**

| (a) Description of property (Example 100 sh 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo , day, yr ) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| **1a** 111.116 JPMORGAN LARGE CAP | 04/11/2011 | 03/13/2012 | 2,739.00 | 2,420.00 | 319.00 |
| 908.132 EATON VANCE MUT FD | 05/12/2011 | 05/10/2012 | 8,219.00 | 8,264.00 | -45.00 |
| 446.662 DREYFUS/LAUREL FDS | 08/12/2011 | 06/06/2012 | 6,088.00 | 6,655.00 | -567.00 |
| 526.969 JPMORGAN INTERNATI CURRENCY | 08/12/2011 | 06/06/2012 | 5,686.00 | 6,144.00 | -458.00 |
| 611.397 EATON VANCE FLOATI | 05/10/2012 | 07/05/2012 | 6,652.00 | 6,701.00 | -49.00 |
| 71.834 MATTHEWS PACIFIC TI FUND | 06/22/2012 | 10/18/2012 | 1,712.00 | 1,509.00 | 203.00 |

**1b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . . . . . . . . . . . . . . . . . -597.00

Name of estate or trust as shown on Form 1041 Do not enter name and employer identification number if shown on the other side: TOM STOCKERT FOUNDATION R72737001

Employer identification number: 54-6423244

**Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year**

| (a) Description of property (Example 100 sh 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo , day, yr ) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 6a 264.837 ARTISAN INTL VALUE | 02/19/2010 | 03/13/2012 | 7,381.00 | 6,022.00 | 1,359.00 |
| 54.48 FMI FDS INC | 11/13/2008 | 03/13/2012 | 912.00 | 593.00 | 319.00 |
| 82.651 JPMORGAN INTREPID A | 06/12/2006 | 03/13/2012 | 2,120.00 | 2,008.00 | 112.00 |
| 155.402 JPMORGAN US LARGE PLUS FUND SEL | 04/16/2007 | 03/13/2012 | 3,481.00 | 3,000.00 | 481.00 |
| 1452.371 EATON VANCE MUT F | 09/24/2010 | 05/10/2012 | 13,144.00 | 12,737.00 | 407.00 |
| 543.663 JPMORGAN STRATEGIC OPPTYS FUND SEL | 02/06/2009 | 05/24/2012 | 6,263.00 | 5,507.00 | 756.00 |
| 961.416 RIDGEWORTH SEIX FL FD I* | 04/13/2011 | 05/24/2012 | 8,422.00 | 8,682.00 | -260.00 |
| 752.253 JPMORGAN ASIA EQUI | VAR | 06/22/2012 | 21,138.00 | 24,538.00 | -3,400.00 |
| 940.99 JPMORGAN HIGH YIELD | 12/27/2007 | 06/28/2012 | 7,415.00 | 7,185.00 | 230.00 |
| 418.308 THORNBURG VALUE FU | VAR | 07/23/2012 | 12,169.00 | 14,161.00 | -1,992.00 |
| 368.49 MANNING & NAPIER FU | 05/12/2011 | 08/13/2012 | 7,005.00 | 7,561.00 | -556.00 |
| 174. ISHARES TR S & P MIDC FD | VAR | 10/18/2012 | 17,412.00 | 14,532.00 | 2,880.00 |
| 783.318 JPM TR I INFL MANA - SEL | 07/06/2011 | 10/18/2012 | 8,499.00 | 8,295.00 | 204.00 |
| 137.975 JPM TAX AWARE EQUI | 06/12/2006 | 10/18/2012 | 2,794.00 | 2,367.00 | 427.00 |
| 66.881 JPMORGAN INTREPID V SELECT CL | 04/11/2011 | 10/18/2012 | 1,767.00 | 1,641.00 | 126.00 |
| 89.402 JPMORGAN US LARGE C FUND SEL | 04/16/2007 | 10/18/2012 | 2,109.00 | 1,726.00 | 383.00 |
| 822.955 JPMORGAN HIGH YIEL | 12/27/2007 | 10/18/2012 | 6,740.00 | 6,284.00 | 456.00 |
| 1361.217 JPMORGAN SHORT DU FUND | 10/22/2007 | 10/18/2012 | 14,987.00 | 14,537.00 | 450.00 |
| 199.728 JPMORGAN MARKET EX INDEX FUND | 05/13/2009 | 10/18/2012 | 2,201.00 | 1,292.00 | 909.00 |
| 297.071 MATTHEWS PACIFIC T FUND | VAR | 10/18/2012 | 7,079.00 | 5,730.00 | 1,349.00 |
| 129.785 JPMORGAN REALTY IN | 09/24/2010 | 10/18/2012 | 1,512.00 | 1,168.00 | 344.00 |
| 856.534 JPMORGAN SHORT DUR FUND | VAR | 11/19/2012 | 9,439.00 | 9,170.00 | 269.00 |
| | | | | | |
| | | | | | |
| | | | | | |

**6b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 6b . . . . . . . . . . . . . . . . . . . . 5,253.00

FORM 990-PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

| RECIPIENT NAME AND ADDRESS | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT | PURPOSE OF GRANT OR CONTRIBUTION | AMOUNT |
|---|---|---|---|
| WHEELING JESUIT UNIVERSITY fbo KYLE G FIESLER Wheeling, WV | NONE EDUCATIONAL | 2011-12 and 2012-13 Stockert Scholarship Recipient | $ 2,750 00 |
| WEST VIRGINIA WESLEYAN COLLEGE fbo VICTORIA A GIFFEN Buckhannon, WV | NONE EDUCATIONAL | 2012-2013 Stockert Scholarship Recipient | $ 1,250 00 |
| WEST VIRGINIA UNIVERSITY FOUNDATION fbo SHANE PIATT Morgantown, WV | NONE EDUCATIONAL | 2012-2013 Stockert Scholarship Recipient | $ 1,250 00 |
| WHEELING JESUIT UNIVERSITY fbo ASHLEY D WHITE Wheeling, WV | NONE EDUCATIONAL | 2012-2013 Stockert Scholarship Recipient | $ 1,000 00 |
| WEST VIRGINIA WESLEYAN COLLEGE fbo ANGELICA HARVEY Buckhannon, WV | NONE EDUCATIONAL | 2012-2013 Stockert Scholarship Recipient | $ 1,250 00 |
| WEST VIRGINIA UNIVERSITY FOUNDATION fbo AMANDA SEEFONG Morgantown, WV | NONE EDUCATIONAL | 2012-2013 Stockert Scholarship Recipient | $ 1,750 00 |
| WEST VIRGINIA UNIVERSITY FOUNDATION fbo ABIGAIL HATHAWAY Morgantown, WV | NONE EDUCATIONAL | 2012-2013 Stockert Scholarship Recipient | $ 1,500 00 |
| WEST VIRGINIA UNIVERSITY FOUNDATION fbo JOHN J STARKEY Morgantown, WV | NONE EDUCATIONAL | 2012-2013 Stockert Scholarship Recipient | $ 1,250 00 |
| WEST VIRGINIA UNIVERSITY FOUNDATION fbo ASHLEY PRATT Morgantown, WV | NONE INDIVIDUAL | 2012-2013 Stockert Scholarship Recipient | $ 1,000 00 |
| WEST VIRGINIA WESLEYAN COLLEGE fbo LINDSEY NICOLE SAYRE Buckhannon, WV | NONE EDUCATIONAL | 2012-2013 Stockert Scholarship Recipient | $ 1,250 00 |
| FAIRMONT STATE UNIVERSITY fbo BRENNAN LEE BROOKS Fairmont, WV | NONE EDUCATIONAL | 2012-2013 Stockert Scholarship Recipient | $ 1,500 00 |
| WEST VIRGINIA UNIVERSITY FOUNDATION fbo MALLORY DIANE MILLER Morgantown, WV | NONE EDUCATIONAL | 2012-2013 Stockert Scholarship Recipient | $ 1,500 00 |
| WEST VIRGINIA WESLEYAN COLLEGE fbo EMERSON TALBOTT Buckhannon, WV | NONE INDIVIDUAL | 2012-2013 Stockert Scholarship Recipient | $ 1,250 00 |
| GROVE CITY COLLEGE fbo BETHANY DZIELSKI Grove City, PA | NONE EDUCATIONAL | 2012-2013 Stockert Scholarship Recipient | $ 1,750 00 |
| WVUH DIAGNOSTIC MEDICAL fbo AMANDA STARKEY Morgantown, WV | NONE EDUCATIONAL | 2012-2013 Stockert Scholarship Recipient | $ 1,250 00 |
| WEST VIRGINIA UNIVERSITY FOUNDATION fbo KATHERINE GRISSO Morgantown, WV | NONE EDUCATIONAL | 2012-2013 Stockert Scholarship Recipient | $ 1,250 00 |
| LIBERTY UNIVERSITY fbo KELSEY HILLEGAS Lynchburg, VA | NONE EDUCATIONAL | 2012-2013 Stockert Scholarship Recipient | $ 1,750 00 |

| | | | |
|---|---|---|---|
| FAIRMONT STATE UNIVERSITY fbo BRIANNA L FEALY<br>Fairmont, WV | NONE<br>INDIVIDUAL | 2012-2013 Stockert Scholarship Recipient | $ 1,750 00 |
| WEST VIRGINIA UNIVERSITY FOUNDATION fbo MARINA P FLEECE<br>Morgantown, WV | NONE<br>INDIVIDUAL | 2012-2013 Stockert Scholarship Recipient | $ 1,250 00 |
| FAIRMONT STATE UNIVERSITY fbo NATHANIEL CRITES<br>Fairmont, WV | NONE<br>INDIVIDUAL | 2012-2013 Stockert Scholarship Recipient | $ 1,000 00 |
| WEST VIRGINIA WESLEYAN COLLEGE fbo JESSICA HARVEY<br>Buckhannon, WV | NONE<br>INDIVIDUAL | 2012-2013 Stockert Scholarship Recipient | $ 500 00 |
| WEST VIRGINIA WESLEYAN COLLEGE fbo CASEY WRIGHT<br>Buckhannon, WV | NONE<br>EDUCATIONAL | 2012-2013 Stockert Scholarship Recipient | $ 500 00 |
| WEST VIRGINIA UNIVERSITY FOUNDATION fbo ANDREA ALFORD<br>Morgantown, WV | NONE<br>INDIVIDUAL | 2012-2013 Stockert Scholarship Recipient | $ 1,750 00 |
| | | **TOTAL** | **$ 31,250 00** |

JPMorgan Chase Bank, N.A.
270 Park Avenue, New York, NY 10017-2014

TOM STOCKERT FOUNDATION ACCT. R72737001
For the Period 12/1/12 to 12/31/12

# Fiduciary Account

| J.P. Morgan Team | | |
|---|---|---|
| Jeffrey Griffin | T & E Officer | 214/965-2904 |
| Jennifer Cuadra | T & E Administrator | 214/965-2221 |
| **Online access** | **www.jpmorganonline.com** | |



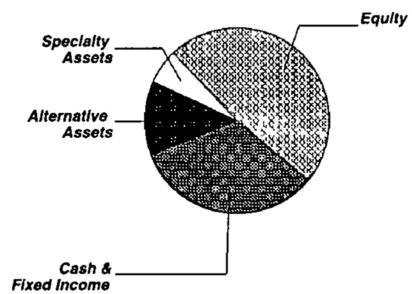
Please see disclosures located at the end of this statement package for important information relating to each J P Morgan account(s)

# Account Summary

## PRINCIPAL

| Asset Allocation | Beginning Market Value | Ending Market Value | Change In Value | Estimated Annual Income | Current Allocation |
|---|---|---|---|---|---|
| Equity | 337,709 73 | 336,431 92 | (1,277 81) | 4,734 19 | 48% |
| Alternative Assets | 95,139 70 | 93,780.27 | (1,359 43) | 1,866 76 | 13% |
| Cash & Fixed Income | 230,150 64 | 234,571 95 | 4,421.31 | 5,494 41 | 33% |
| Specialty Assets | 45,000 00 | 45,000 00 | 0 00 | | 6% |
| **Market Value** | **$708,000.07** | **$709,784.14** | **$1,784.07** | **$12,095.36** | **100%** |

**Asset Allocation**




## INCOME

| Cash Position | Beginning Market Value | Ending Market Value | Change In Value |
|---|---|---|---|
| Cash Balance | 6 58 | 5,648 13 | 5,641 55 |
| Accruals | 324 01 | 871 10 | 547 09 |
| **Market Value** | **$330.59** | **$6,519.23** | **$6,188.64** |

# Account Summary CONTINUED

| Portfolio Activity | PRINCIPAL Current Period Value | PRINCIPAL Year-to-Date Value | INCOME Current Period Value | INCOME Year-to-Date Value |
|---|---|---|---|---|
| **Beginning Market Value** | **708,000.07** | **696,325.59** | **6.58** | **6,636.12** |
| Additions | | 500 00 | | 19,085 00 |
| Withdrawals & Fees | (338 75) | (22,892 50) | (338.75) | (41,297.35) |
| **Net Additions/Withdrawals** | **($338.75)** | **($22,392.50)** | **($338.75)** | **($22,212.35)** |
| Income | | | 5,980 30 | 21,224 36 |
| Change In Investment Value | 2,122 82 | 35,851 05 | | |
| **Ending Market Value** | **$709,784.14** | **$709,784.14** | **$5,648.13** | **$5,648.13** |
| Accruals | -- | -- | 871.10 | 871 10 |
| **Market Value with Accruals** | **--** | **--** | **$6,519.23** | **$6,519.23** |

# Account Summary CONTINUED

| Tax Summary | Current Period Value | Year-to-Date Value |
|---|---|---|
| Domestic Dividends/Distributions | 5,379 40 | 14,010 57 |
| Interest Income | 0 90 | 13 79 |
| **Taxable Income** | **$5,380.30** | **$14,024.36** |
| Specialty Asset Income | 600 00 | 7,200 00 |
| **Other Income & Receipts** | **$600.00** | **$7,200.00** |

| | Current Period Value | Year-to-Date Value |
|---|---|---|
| LT Capital Gain Distributions | 4,707 78 | 4,867 83 |
| ST Realized Gain/Loss | | (598 58) |
| LT Realized Gain/Loss | | 5,251 59 |
| **Realized Gain/Loss** | **$4,707.78** | **$9,520.84** |

| | To-Date Value |
|---|---|
| **Unrealized Gain/Loss** | **$32,132.36** |

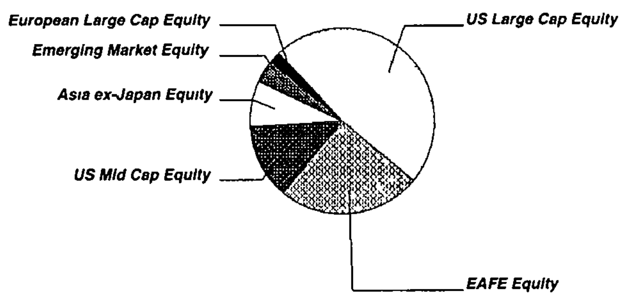
| Cost Summary | Cost |
|---|---|
| Equity | 311,138 21 |
| Cash & Fixed Income | 230,893 07 |
| **Total** | **$542,031.28** |

# Equity Summary

| Asset Categories | Beginning Market Value | Ending Market Value | Change In Value | Current Allocation |
|---|---|---|---|---|
| US Large Cap Equity | 167,859 62 | 164,269 91 | (3,589 71) | 23% |
| US Mid Cap Equity | 39,976 76 | 39,531.45 | (445 31) | 6% |
| EAFE Equity | 80,594 19 | 81,865 32 | 1,271.13 | 12% |
| European Large Cap Equity | 6,608 00 | 6,837 60 | 229 60 | 1% |
| Asia ex-Japan Equity | 28,124 81 | 28,608 38 | 483 57 | 4% |
| Emerging Market Equity | 14,546 35 | 15,319 26 | 772 91 | 2% |
| **Total Value** | **$337,709.73** | **$336,431.92** | **($1,277.81)** | **48%** |

| Market Value/Cost | Current Period Value |
|---|---|
| Market Value | 336,431 92 |
| Tax Cost | 311,138 21 |
| Unrealized Gain/Loss | 25,293 71 |
| Estimated Annual Income | 4,734.19 |
| Accrued Dividends | 336 21 |
| Yield | 1 40% |

**Asset Categories**




Equity as a percentage of your portfolio - 48 %

# Equity Detail

| | Price | Quantity | Value | Adjusted Tax Cost<br>Original Cost | Unrealized Gain/Loss | Est Annual Inc.<br>Accrued Div. | Yield |
|---|---|---|---|---|---|---|---|
| **US Large Cap Equity** | | | | | | | |
| **FMI FDS INC**<br>LARGE CAP FD<br>302933-20-5 FMIH X | 17 10 | 819 372 | 14,011 26 | 8,922 96 | 5,088.30 | 160 59<br>60 04 | 1.15% |
| **JPM EQUITY INCOME FD - SEL**<br>FUND 3128<br>4812C0-49-8 HLIE X | 10 29 | 371 813 | 3,825.96 | 3,179 00 | 646 96 | 81.79<br>19 46 | 2 14% |
| **JPM INTREPID AMERICA FD - SEL**<br>FUND 1206<br>4812A2-10-8 JPIA X | 26.09 | 538 305 | 14,044 38 | 13,075 43 | 968 95 | 266.46 | 1 90% |
| **JPM INTREPID VALUE FD - SEL**<br>FUND 1136<br>4812A2-30-6 JPIV X | 25 97 | 511 513 | 13,283.99 | 12,547.41 | 736 58 | 230.18 | 1.73% |
| **JPM LARGE CAP GROWTH FD - SEL**<br>FUND 3118<br>4812C0-53-0 SEEG X | 23 95 | 699 162 | 16,744 93 | 15,014 89 | 1,730 04 | 73.41<br>3 76 | 0.44% |
| **JPM TAX AWARE EQUITY FD - SEL**<br>48121L-57-7 JPES X | 19 83 | 995 514 | 19,741 04 | 14,477.41 | 5,263 63 | 273.76 | 1 39% |
| **JPM US LRGE CAP CORE PLUS FD - SEL**<br>FUND 1002<br>4812A2-38-9 JLPS X | 22 12 | 1,140 833 | 25,235 23 | 20,749.17 | 4,486 06 | 192 80 | 0 76% |
| **MANNING & NAPIER FUND INC**<br>EQUITY SERIES<br>563821-60-2 EXEY X | 17.14 | 1,052.603 | 18,041 62 | 21,599.41 | (3,557 79) | 36 84 | 0 20% |
| **PRIMECAP ODYSSEY FUNDS**<br>ODYSSEY STK FD<br>74160Q-30-1 POSK X | 15 98 | 412 215 | 6,587 20 | 6,682 00 | (94 80) | 101.40 | 1.54% |

| | Price | Quantity | Value | Adjusted Tax Cost / Original Cost | Unrealized Gain/Loss | Est Annual Inc / Accrued Div | Yield |
|---|---|---|---|---|---|---|---|
| **US Large Cap Equity** | | | | | | | |
| **SPDR S&P 500 ETF TRUST**<br>78462F-10-3 SPY | 142 41 | 230 000 | 32,754 30 | 31,615 08 | 1,139 22 | 713 69<br>235 02 | 2 18% |
| **Total US Large Cap Equity** | | | **$164,269.91** | **$147,862.76** | **$16,407.15** | **$2,130.92**<br>**$318.28** | **1.30%** |
| **US Mid Cap Equity** | | | | | | | |
| **ISHARES CORE S&P MID-CAP ETF**<br>464287-50-7 IJH | 101 70 | 67 000 | 6,813.90 | 6,501 01 | 312 89 | 97 21 | 1 43% |
| **JPM MARKET EXPANSION INDEX FD - SEL**<br>FUND 3708<br>4812C1-63-7 PGMI X | 10 61 | 1,220 385 | 12,948 28 | 7,895.89 | 5,052 39 | 142.78 | 1 10% |
| **JPM TR I MIDCAP CORE - SEL**<br>48121L-75-9 JMRS X | 17 86 | 1,106 902 | 19,769.27 | 20,046 00 | (276.73) | 167 14<br>15 57 | 0 85% |
| **Total US Mid Cap Equity** | | | **$39,531.45** | **$34,442.90** | **$5,088.55** | **$407.13**<br>**$15.57** | **1.03%** |
| **EAFE Equity** | | | | | | | |
| **ARTISAN INTL VALUE FUND - INV**<br>04314H-88-1 ARTK X | 30 38 | 685 442 | 20,823 73 | 18,005.04 | 2,818.69 | | |
| **ISHARES MSCI EAFE INDEX FUND**<br>464287-46-5 EFA | 56 86 | 240 000 | 13,646 40 | 13,966 39 | (319 99) | 422.16 | 3 09% |
| **JPM INTL VALUE FD - SEL**<br>FUND 1296<br>4812A0-56-5 JIES X | 12 86 | 2,138 079 | 27,495 70 | 31,292 09 | (3,796 39) | 677 77 | 2 47% |

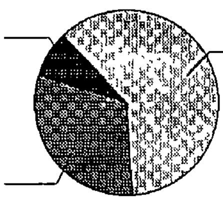
| | Price | Quantity | Value | Adjusted Tax Cost / Original Cost | Unrealized Gain/Loss | Est Annual Inc / Accrued Div | Yield |
|---|---|---|---|---|---|---|---|
| **EAFE Equity** | | | | | | | |
| **MFS INTL VALUE-I** 55273E-82-2 MINI X | 28 17 | 706 407 | 19,899 49 | 18,041 00 | 1,858 49 | 363 09 | 1 82% |
| **Total EAFE Equity** | | | **$81,865.32** | **$81,304.52** | **$560.80** | **$1,463.02** | **1.79%** |
| **European Large Cap Equity** | | | | | | | |
| **VANGUARD MSCI EUROPE ETF** 922042-87-4 VGK | 48 84 | 140 000 | 6,837 60 | 6,792 16 | 45 44 | 205.66 | 3 01% |
| **Asia ex-Japan Equity** | | | | | | | |
| **ABERDEEN ASIA PACIFIC (EX JAPAN)** EQUITY FUND - INSTITUTIONAL SERVICE SHARES 003021-69-8 AAPI X | 12 03 | 1,241.004 | 14,929.28 | 13,105 00 | 1,824 28 | 212 21 | 1.42% |
| **MATTHEWS PACIFIC TIGER INSTL FUND** 577130-83-4 MIPT X | 24 41 | 560 389 | 13,679 10 | 11,773 77 | 1,905 33 | 113 19 | 0 83% |
| **Total Asia ex-Japan Equity** | | | **$28,608.38** | **$24,878.77** | **$3,729.61** | **$325.40** | **1.14%** |
| **Emerging Market Equity** | | | | | | | |
| **JPM EM MKTS EQUITY FD - SEL** FUND 1235 4812A0-62-3 JEMS X | 23 90 | 329 822 | 7,882 75 | 7,905 84 | (23 09) | 39 24 / 2 36 | 0 50% |

| | Price | Quantity | Value | Adjusted Tax Cost / Original Cost | Unrealized Gain/Loss | Est Annual Inc / Accrued Div | Yield |
|---|---|---|---|---|---|---|---|
| **Emerging Market Equity** | | | | | | | |
| **VANGUARD MSCI EMERGING MARKETS ETF** 922042-85-8 VWO | 44 53 | 167.000 | 7,436 51 | 7,951.26 | (514 75) | 162 82 | 2 19% |
| **Total Emerging Market Equity** | | | **$15,319.26** | **$15,857.10** | **($537.84)** | **$202.06** **$2.36** | **1.32%** |

# Alternative Assets Summary

| Asset Categories | Beginning Estimated Value | Ending Estimated Value | Change In Value | Current Allocation |
|---|---|---|---|---|
| Hedge Funds | 60,726 75 | 59,899 32 | (827 43) | 8% |
| Real Estate & Infrastructure | 6,535 40 | 6,720.31 | 184 91 | 1% |
| Hard Assets | 27,877 55 | 27,160 64 | (716 91) | 4% |
| **Total Value** | **$95,139.70** | **$93,780.27** | **($1,359.43)** | **13%** |

**Asset Categories**




Alternative Assets as a percentage of your portfolio - 13 %

# Alternative Assets Detail

| | Price | Quantity | Estimated Value | Cost |
|---|---|---|---|---|
| **Hedge Funds** | | | | |
| **AIM INVT FDS**<br>BAL RISK ALL Y<br>00141V-69-7 ABRY X | 12 53 | 1,045 138 | 13,095 58 | 12,897.00 |
| **ARBITRAGE FUNDS - I**<br>CL I<br>03875R-20-5 ARBN X | 12 77 | 552 343 | 7,053 42 | 7,224 65 |

## Hedge Funds

| | Price | Quantity | Estimated Value | Cost |
|---|---|---|---|---|
| **EATON VANCE FLOATING-RATE**<br>ADVANTAGE I<br>277923-63-7 EIFA X | 11 10 | 1,212 691 | 13,460.87 | 13,291 09 |
| **EATON VANCE MUT FDS TR GB MACRO**<br>ABSOLUTE RTN I<br>277923-72-8 EIGM X | 9 83 | 697 097 | 6,852 46 | 7,238.40 |
| **GATEWAY FUND - Y**<br>367829-88-4 GTEY X | 27 11 | 482 834 | 13,089 63 | 13,012 00 |
| **PIMCO FDS**<br>UNCONSTR BD<br>72201M-45-3 PUCP X | 11 48 | 552.906 | 6,347.36 | 6,469 00 |
| **Total Hedge Funds** | | | **$59,899.32** | **$60,132.14** |

| | Quantity/Original Commitment Amount | Cost/Net Capital Called Since Inception | Net Distributions Since Inception | Estimated Value | Est Annual Inc Accrued Div. | Yield |
|---|---|---|---|---|---|---|
| **Real Estate & Infrastructure** | | | | | | |
| **JPM REALTY INCOME FD - INSTL** FUND 1372 904504-50-3 URTL X | 577 84 | 5,200 59 | | 6,720 31 | 127 12 | 1 89% |

Amounts shown above under "Estimated Value" for private equity funds are estimates based on the latest fund values received from each underlying fund, which value may be as of a date (underlying fund value date) prior to the period covered by this statement. The values provided by the underlying fund have been adjusted for any cash flows between your account and such fund that have occurred subsequent to the underlying fund value date to derive the "Estimated Value" Therefore, such "Estimated Value" may not reflect the value of your interest shown on any fund's actual books and records as of the date of this statement For additional information, please contact your J P Morgan representative.
For private equity funds, Estimated Values are based on estimates provided by the underlying funds that are generally presented on a US GAAP basis, which records investments at fair value, or "marked-to-market" Most of these underlying funds also present their audited financial statements on a US GAAP basis (i.e , "marked-to-market") However, some of these underlying funds present their audited financial statements using the Income Tax Basis of Accounting, which records investments "at cost" based on the accrual basis of accounting for Federal income taxes Where the underlying fund provides periodic estimates on a "marked-to-market" basis but reflects investments "at cost" in its audited financial statements, the marked-to-market Estimated Value shown herein for a private equity fund may be materially different from the value reflected on such fund's audited financial statements (which are also based on the audited financial statements of the underlying fund)

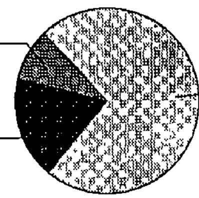
| | Price | Quantity | Estimated Value | Cost |
|---|---|---|---|---|
| **Hard Assets** | | | | |
| **HIGHBRIDGE DYNAMIC COMM STRG FD -SEL** 48121A-67-0 HDCS X | 13 97 | 338 583 | 4,730.00 | 6,450 00 |
| **POWERSHARES DB COMMODITY INDEX** TRACKING FUND 73935S-10-5 DBC | 27 78 | 475 000 | 13,195 50 | 13,676 98 |

| | Price | Quantity | Estimated Value | Cost |
|---|---|---|---|---|
| **Hard Assets** | | | | |
| **SPDR GOLD TRUST** 78463V-10-7 GLD | 162 02 | 57 000 | 9,235 14 | 5,160.79 |
| **Total Hard Assets** | | | **$27,160.64** | **$25,287.77** |

# Cash & Fixed Income Summary

| Asset Categories | Beginning Market Value | Ending Market Value | Change In Value | Current Allocation |
|---|---|---|---|---|
| Cash | 37,732 68 | 42,101 71 | 4,369 03 | 6% |
| US Fixed Income | 171,698 90 | 171,642.85 | (56.05) | 24% |
| Foreign Exchange & Non-USD Fixed Income | 20,719 06 | 20,827 39 | 108 33 | 3% |
| **Total Value** | **$230,150.64** | **$234,571.95** | **$4,421.31** | **33%** |

**Asset Categories**




Cash & Fixed Income as a percentage of your portfolio - 33 %

| Market Value/Cost | Current Period Value |
|---|---|
| Market Value | 234,571.95 |
| Tax Cost | 230,893 07 |
| Unrealized Gain/Loss | 3,678 88 |
| Estimated Annual Income | 5,494 41 |
| Accrued Interest | 445 68 |
| Yield | 2 34% |

### SUMMARY BY MATURITY

| Cash & Fixed Income | Market Value | % of Bond Portfolio |
|---|---|---|
| 0-6 months[1] | 234,571 95 | 100% |

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

### SUMMARY BY TYPE

| Cash & Fixed Income | Market Value | % of Bond Portfolio |
|---|---|---|
| Cash | 42,101 71 | 17% |
| International Bonds | 20,752 69 | 8% |
| Mutual Funds | 171,717 55 | 75% |
| **Total Value** | **$234,571.95** | **100%** |

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

# Cash & Fixed Income Detail

| | Price | Quantity | Value | Adjusted Tax Cost / Original Cost | Unrealized Gain/Loss | Est Annual Income / Accrued Interest | Yield |
|---|---|---|---|---|---|---|---|
| **Cash** | | | | | | | |
| **US DOLLAR PRINCIPAL** | 1.00 | 42,101.71 | 42,101 71 | 42,101 71 | | 12 63 | 0 03% [1] |
| **US Fixed Income** | | | | | | | |
| **JPM STR INC OPP FD**<br>FUND 3844<br>4812A4-35-1 | 11 83 | 1,126 03 | 13,320 98 | 11,641 62 | 1,679 36 | 470 68<br>46 17 | 3 53% |
| **DOUBLELINE FDS TR**<br>TTL RTN BD I<br>258620-10-3 | 11 33 | 568 45 | 6,440 58 | 6,361 00 | 79 58 | 408 71<br>32 04 | 6 35% |
| **JPM HIGH YIELD FD - SEL**<br>FUND 3580<br>4812C0-80-3 | 8.14 | 1,640.77 | 13,355.88 | 12,901 90 | 453 98 | 854.84<br>85 32 | 6 40% |
| **JPM SHORT DURATION BOND FD - SEL**<br>FUND 3133<br>4812C1-33-0 | 10 99 | 7,631.02 | 83,864 94 | 83,363 49 | 501 45 | 1,068 34<br>99 20 | 1 27% |
| **JPM TR I MLT SC INCM SL**<br>48121A-29-0 | 10 22 | 1,416 42 | 14,475 80 | 14,320 00 | 155 80 | 596.31<br>87 82 | 4.12% |
| **JPM TR I INFL MANAGED BD - SEL**<br>48121A-56-3 | 10 81 | 1,228 01 | 13,274.82 | 13,004.66 | 270.16 | 264.02<br>15 96 | 1.99% |

| | Price | Quantity | Value | Adjusted Tax Cost / Original Cost | Unrealized Gain/Loss | Est Annual Income / Accrued Interest | Yield |
|---|---|---|---|---|---|---|---|
| **US Fixed Income** | | | | | | | |
| **RIDGEWORTH FDS** SEIX FLRT HI I 76628T-67-8 | 8 98 | 2,210 34 | 19,848 89 | 19,959 41 | (110 52) | 970 34 / 79 17 | 4 89% |
| **BLACKROCK HIGH YIELD BOND** 091929-63-8 | 8 09 | 872 80 | 7,060 96 | 6,450 00 | 610 96 | 434 65 | 6 16% |
| **Total US Fixed Income** | | | **$171,642.85** | **$168,002.08** | **$3,640.77** | **$5,067.89 / $445.68** | **2.95%** |
| **Foreign Exchange & Non-USD Fixed Income** | | | | | | | |
| **JPM INTL CURRENCY INCOME FD** 4812A3-29-6 | 11.27 | 1,188.61 | 13,395 68 | 13,640 54 | (244.86) | 310 22 | 2 32% |
| **DREYFUS LAUREL EMG MKT DEBT LOC C-1** 261980-49-4 | 15 34 | 484.47 | 7,431.71 | 7,148 74 | 282 97 | 103.67 | 1.40% |
| **Total Foreign Exchange & Non-USD Fixed Income** | | | **$20,827.39** | **$20,789.28** | **$38.11** | **$413.89** | **1.99%** |

# Specialty Assets Summary

| Asset Categories | Beginning Estimated Value | Ending Estimated Value | Change In Value | Current Allocation |
|---|---|---|---|---|
| Real Estate | 45,000 00 | 45,000 00 | 0 00 | 6% |

# Specialty Assets Detail

| | Interest Type | Percentage of Ownership | Estimated Value | Estimated Cost |
|---|---|---|---|---|
| **Real Estate** | | | | |
| **8 East Main St**<br>Buchannon, WV 26201<br>COMM<br>Bearer<br>993R01-33-3 | SURFACE-REAL ESTATE | 50 00 % | 45,000 00 | 42,500.00 |

# Portfolio Activity Summary

| Transactions | PRINCIPAL Current Period Value | PRINCIPAL Year-To-Date Value* | INCOME Current Period Value | INCOME Year-To-Date Value* |
|---|---|---|---|---|
| **Beginning Cash Balance** | **37,732.68** | -- | **6.58** | -- |
| **INFLOWS** | | | | |
| Income | | | 5,980 30 | 21,224.36 |
| Contributions | | 500.00 | | 19,085 00 |
| **Total Inflows** | **$0.00** | **$500.00** | **$5,980.30** | **$40,309.36** |
| **OUTFLOWS **** | | | | |
| Withdrawals | | (18,820.00) | | (34,405 50) |
| Fees & Commissions | (338 75) | (4,072 50) | (338 75) | (4,072 54) |
| Tax Payments | | | | (2,819 31) |
| **Total Outflows** | **($338.75)** | **($22,892.50)** | **($338.75)** | **($41,297.35)** |
| **TRADE ACTIVITY** | | | | |
| Settled Sales/Maturities/Redemptions | 4,707 78 | 199,952 39 | | |
| Settled Securities Purchased | | (167,243.24) | | |
| **Total Trade Activity** | **$4,707.78** | **$32,709.15** | **$0.00** | **$0.00** |
| **Ending Cash Balance** | **$42,101.71** | -- | **$5,648.13** | -- |

* Year to date information is calculated on a calendar year basis.
** Your account's standing instructions use a FIRST IN, FIRST OUT method for relieving assets from your position

# Portfolio Activity Detail

## INFLOWS & OUTFLOWS

| Settle Date | Type / Selection Method | Description | Quantity / Cost | Per Unit Amount | PRINCIPAL Amount | INCOME Amount |
|---|---|---|---|---|---|---|
| 12/3 | Interest Income | DEPOSIT SWEEP INTEREST FOR 11/01/12 - 11/30/12 @ 03% RATE ON AVG COLLECTED BALANCE OF $38,899 90 AS OF 12/01/12 | | | | 0 90 |
| 12/3 | Div Domest | JPM STR INC OPP FD FUND 3844 @ 0 033 PER SHARE (ID 4812A4-35-1) | 1,126 034 | 0 033 | | 37 16 |
| 12/3 | Div Domest | JPM EQUITY INCOME FD - SEL FUND 3128 @ 0 0255 PER SHARE (ID 4812C0-49-8) | 371 813 | 0 026 | | 9 48 |
| 12/3 | Div Domest | JPM HIGH YIELD FD - SEL FUND 3580 @ 0 043 PER SHARE (ID 4812C0-80-3) | 1,640 772 | 0 043 | | 70.55 |
| 12/3 | Div Domest | JPM SHORT DURATION BOND FD - SEL FUND 3133 @ 0 009 PER SHARE (ID 4812C1-33-0) | 7,631 023 | 0 009 | | 68 68 |
| 12/3 | Div Domest | JPM TR I MLT SC INCM SL @ 0 026 PER SHARE (ID 48121A-29-0) | 1,416.419 | 0 026 | | 36 83 |
| 12/3 | Div Domest | JPM TR I INFL MANAGED BD - SEL @ 0 017 PER SHARE (ID 48121A-56-3) | 1,228 013 | 0 017 | | 20 88 |
| 12/3 | Div Domest | BLACKROCK HIGH YIELD BOND 11/30/12 INCOME DIVIDEND @ 0.043 PER SHARE AS OF 11/30/12 (ID 091929-63-8) | 872 801 | 0 043 | | 37 31 |
| 12/3 | Div Domest | EATON VANCE FLOATING-RATE ADVANTAGE I 11/30/12 INCOME DIVIDEND @ 0 048 PER SHARE AS OF 11/30/12 (ID· 277923-63-7) | 1,212 691 | 0 048 | | 58 23 |
| 12/3 | Div Domest | EATON VANCE MUT FDS TR GB MACRO ABSOLUTE RTN I 11/30/12 INCOME DIVIDEND @ 0 032 PER SHARE AS OF 11/30/12 (ID 277923-72-8) | 697 097 | 0 032 | | 22 20 |

## INFLOWS & OUTFLOWS

| Settle Date | Type<br>Selection Method | Description | Quantity<br>Cost | Per Unit<br>Amount | PRINCIPAL<br>Amount | INCOME<br>Amount |
|---|---|---|---|---|---|---|
| 12/4 | Div Domest | DOUBLELINE FDS TR TTL RTN BD I 11/30/12 INCOME DIVIDEND @ 0 051 PER SHARE AS OF 11/30/12 (ID 258620-10-3) | 568 454 | 0.051 | | 28 84 |
| 12/4 | Div Domest | DREYFUS LAUREL EMG MKT DEBT LOC C-1 12/03/12 INCOME DIVIDEND @ 0 091 PER SHARE AS OF 12/03/12 (ID· 261980-49-4) | 484 466 | 0 091 | | 44 09 |
| 12/4 | Div Domest | PIMCO FDS UNCONSTR BD 11/30/12 INCOME DIVIDEND @ 0 005 PER SHARE AS OF 11/30/12 (ID 72201M-45-3) | 552.906 | 0 005 | | 2 74 |
| 12/4 | Div Domest | RIDGEWORTH FDS SEIX FLRT HI I 12/03/12 INCOME DIVIDEND @ 0 034 PER SHARE AS OF 12/03/12 (ID 76628T-67-8) | 2,210 344 | 0 034 | | 75 77 |
| 12/7 | Rental Income | 8 East Main St Buchannon, WV 26201 COMM MILLER'S PHARMACY INC RENTAL INC.-COMM'L (I) (12/2012) 12/2012 RENTAL INCOME (ID 993R01-33-3) | | | | 600 00 |
| 12/11 | STCapitalGain Dist | AIM INVT FDS BAL RISK ALL Y 12/07/12 SHORT TERM CAPITAL GAINS @ 0 211 PER SHARE AS OF 12/07/12 (ID 00141V-69-7) | 1,045 138 | 0.211 | | 220 94 |
| 12/11 | Div Domest | AIM INVT FDS BAL RISK ALL Y 12/07/12 INCOME DIVIDEND @ 0 308 PER SHARE AS OF 12/07/12 (ID 00141V-69-7) | 1,045 138 | 0 308 | | 321 59 |
| 12/13 | Div Domest | PRIMECAP ODYSSEY FUNDS ODYSSEY STK FD 12/11/12 INCOME DIVIDEND @ 0 246 PER SHARE AS OF 12/11/12 (ID 74160Q-30-1) | 412 215 | 0 246 | | 101 57 |
| 12/14 | STCapitalGain Dist | JPM STR INC OPP FD FUND 3844 SHORT TERM CAPITAL GAINS @ 0 00331 (ID 4812A4-35-1) | 1,126 034 | 0 003 | | 3 73 |
| 12/14 | STCapitalGain Dist | JPM EQUITY INCOME FD - SEL FUND 3128 SHORT TERM CAPITAL GAINS @ 0 01581 (ID 4812C0-49-8) | 371.813 | 0 016 | | 5 88 |

## INFLOWS & OUTFLOWS

| Settle Date | Type / Selection Method | Description | Quantity / Cost | Per Unit Amount | PRINCIPAL Amount | INCOME Amount |
|---|---|---|---|---|---|---|
| 12/14 | STCapitalGain Dist | JPM HIGH YIELD FD - SEL FUND 3580 SHORT TERM CAPITAL GAINS @ 0 04175 (ID 4812C0-80-3) | 1,640.772 | 0.042 | | 68 50 |
| 12/14 | STCapitalGain Dist | JPM SHORT DURATION BOND FD - SEL FUND 3133 SHORT TERM CAPITAL GAINS @ 0 00068 (ID 4812C1-33-0) | 7,631 023 | 0 001 | | 5 19 |
| 12/14 | STCapitalGain Dist | JPM TR I INFL MANAGED BD - SEL SHORT TERM CAPITAL GAINS @ 0.03387 (ID 48121A-56-3) | 1,228 013 | 0.034 | | 41 59 |
| 12/14 | STCapitalGain Dist | JPM TR I MIDCAP CORE - SEL SHORT TERM CAPITAL GAINS @ 0.12353 (ID 48121L-75-9) | 1,106 902 | 0 124 | | 136 74 |
| 12/14 | STCapitalGain Dist | JPM REALTY INCOME FD - INSTL FUND 1372 SHORT TERM CAPITAL GAINS @ 0 0237 (ID 904504-50-3) | 577.843 | 0 024 | | 13 69 |
| 12/14 | Div Domest | MATTHEWS PACIFIC TIGER INSTL FUND 12/13/12 INCOME DIVIDEND @ 0.202 PER SHARE AS OF 12/13/12 (ID 577130-83-4) | 560.389 | 0 202 | | 113 02 |
| 12/17 | Fees & Commissions | JPMORGAN CHASE TRUST FEE FOR THE PERIOD 11-17-2012 TO 12-16-2012 INC $338 75 PRINC $338 75 PRORATED BASE FEE $125 00 | | | | (338 75) |
| 12/17 | Fees & Commissions | JPMORGAN CHASE TRUST FEE FOR THE PERIOD 11-17-2012 TO 12-16-2012 INC $338.75 PRINC $338 75 PRORATED BASE FEE $125 00 | | | (338 75) | |
| 12/17 | Div Domest | MFS INTL VALUE-I 12/13/12 INCOME DIVIDEND @ 0 514 PER SHARE AS OF 12/13/12 (ID: 55273E-82-2) | 706.407 | 0 514 | | 363.31 |
| 12/18 | STCapitalGain Dist | MANNING & NAPIER FUND INC EQUITY SERIES 12/17/12 SHORT TERM CAPITAL GAINS @ 0.440 PER SHARE AS OF 12/17/12 (ID 563821-60-2) | 1,052 603 | 0 44 | | 463 36 |
| 12/18 | Div Domest | MANNING & NAPIER FUND INC EQUITY SERIES 12/17/12 INCOME DIVIDEND @ 0 035 PER SHARE AS OF 12/17/12 (ID 563821-60-2) | 1,052 603 | 0 035 | | 36 74 |

## INFLOWS & OUTFLOWS

| Settle Date | Type / Selection Method | Description | Quantity / Cost | Per Unit Amount | PRINCIPAL Amount | INCOME Amount |
|---|---|---|---|---|---|---|
| 12/19 | Div Domest | JPM INTL VALUE FD - SEL FUND 1296 @ 0 31714 PER SHARE (ID 4812A0-56-5) | 2,138 079 | 0 317 | | 678 07 |
| 12/19 | Div Domest | JPM EM MKTS EQUITY FD - SEL FUND 1235 @ 0 1191 PER SHARE (ID 4812A0-62-3) | 329.822 | 0 119 | | 39 28 |
| 12/19 | Div Domest | JPM INTREPID AMERICA FD - SEL FUND 1206 @ 0 49465 PER SHARE (ID 4812A2-10-8) | 538 305 | 0 495 | | 266 27 |
| 12/19 | Div Domest | JPM INTREPID VALUE FD - SEL FUND 1136 @ 0.13728 PER SHARE (ID 4812A2-30-6) | 511 513 | 0 137 | | 70 22 |
| 12/19 | Div Domest | JPM US LRGE CAP CORE PLUS FD - SEL FUND 1002 @ 0 16875 PER SHARE (ID: 4812A2-38-9) | 1,140 833 | 0 169 | | 192.52 |
| 12/19 | Div Domest | JPM LARGE CAP GROWTH FD - SEL FUND 3118 @ 0 10459 PER SHARE (ID 4812C0-53-0) | 699.162 | 0.105 | | 73.13 |
| 12/19 | Div Domest | JPM MARKET EXPANSION INDEX FD - SEL FUND 3708 @ 0 05263 PER SHARE (ID. 4812C1-63-7) | 1,220 385 | 0 053 | | 64 23 |
| 12/19 | Div Domest | JPM TAX AWARE EQUITY FD - SEL @ 0 16954 PER SHARE (ID 48121L-57-7) | 995 514 | 0 17 | | 168 78 |
| 12/19 | Div Domest | JPM TR I MIDCAP CORE - SEL @ 0 15103 PER SHARE (ID 48121L-75-9) | 1,106 902 | 0 151 | | 167 18 |
| 12/19 | Div Domest | JPM REALTY INCOME FD - INSTL FUND 1372 @ 0 02866 PER SHARE (ID 904504-50-3) | 577.843 | 0 029 | | 16.56 |
| 12/20 | STCapitalGain Dist | ARBITRAGE FUNDS - I CL I 12/19/12 SHORT TERM CAPITAL GAINS @ 0 258 PER SHARE AS OF 12/19/12 (ID 03875R-20-5) | 552 343 | 0 258 | | 142 50 |
| 12/20 | Div Domest | ARBITRAGE FUNDS - I CL I 12/19/12 INCOME DIVIDEND @ 0 127 PER SHARE AS OF 12/19/12 (ID 03875R-20-5) | 552.343 | 0 127 | | 70 32 |

## INFLOWS & OUTFLOWS

| Settle Date | Type / Selection Method | Description | Quantity / Cost | Per Unit Amount | PRINCIPAL Amount | INCOME Amount |
|---|---|---|---|---|---|---|
| 12/21 | STCapitalGain Dist | ARTISAN INTL VALUE FUND - INV 12/19/12 SHORT TERM CAPITAL GAINS @ 0 014 PER SHARE AS OF 12/19/12 (ID 04314H-88-1) | 685 442 | 0 014 | | 9.87 |
| 12/21 | Div Domest | ARTISAN INTL VALUE FUND - INV 12/19/12 INCOME DIVIDEND @ 0 294 PER SHARE AS OF 12/19/12 (ID 04314H-88-1) | 685 442 | 0 294 | | 201.25 |
| 12/21 | Div Domest | RIDGEWORTH FDS SEIX FLRT HI I 12/20/12 INCOME DIVIDEND @ 0 001 PER SHARE AS OF 12/20/12 (ID 76628T-67-8) | 2,210 344 | 0 001 | | 1 49 |
| 12/24 | STCapitalGain Dist | BLACKROCK HIGH YIELD BOND 12/21/12 SHORT TERM CAPITAL GAINS @ 0 030 PER SHARE AS OF 12/21/12 (ID 091929-63-8) | 872 801 | 0.03 | | 26 55 |
| 12/24 | Div Domest | ABERDEEN ASIA PACIFIC (EX JAPAN) EQUITY FUND - INSTITUTIONAL SERVICE SHARES 12/21/12 INCOME DIVIDEND @ 0 171 PER SHARE AS OF 12/21/12 (ID 003021-69-8) | 1,241 004 | 0 171 | | 211 81 |
| 12/24 | Div Domest | GATEWAY FUND - Y 12/21/12 INCOME DIVIDEND @ 0 180 PER SHARE AS OF 12/21/12 (ID 367829-88-4) | 482 834 | 0.18 | | 86 72 |
| 12/26 | Div Domest | ISHARES CORE S&P MID-CAP ETF @ 0 585159 PER SHARE (ID 464287-50-7) | 67 000 | 0 585 | | 39 21 |
| 12/27 | Div Domest | ISHARES MSCI EAFE INDEX FUND @ 0 609522 PER SHARE (ID 464287-46-5) | 240 000 | 0 61 | | 146 29 |
| 12/27 | Div Domest | VANGUARD MSCI EMERGING MARKETS ETF @ 0.45 PER SHARE (ID 922042-85-8) | 167 000 | 0 45 | | 75 15 |
| 12/27 | Div Domest | VANGUARD MSCI EUROPE ETF @ 0 391 PER SHARE (ID 922042-87-4) | 140.000 | 0.391 | | 54 74 |
| 12/31 | Div Domest | DREYFUS LAUREL EMG MKT DEBT LOC C-1 12/28/12 INCOME DIVIDEND @ 0 123 PER SHARE AS OF 12/28/12 (ID 261980-49-4) | 484 466 | 0 123 | | 59.59 |

## INFLOWS & OUTFLOWS

| Settle Date | Type / Selection Method | Description | Quantity / Cost | Per Unit Amount | PRINCIPAL Amount | INCOME Amount |
|---|---|---|---|---|---|---|
| 12/31 | Div Domest | PIMCO FDS UNCONSTR BD 12/27/12 INCOME DIVIDEND @ 0 197 PER SHARE AS OF 12/27/12 (ID· 72201M-45-3) | 552 906 | 0 197 | | 109 06 |
| **Total Inflows & Outflows** | | | | | **($338.75)** | **$5,641.55** |

## TRADE ACTIVITY

| Trade Date / Settle Date | Type / Selection Method | Description | Quantity | Per Unit Amount | Proceeds | Tax Cost | Realized Gain/Loss |
|---|---|---|---|---|---|---|---|
| **Settled Sales/Maturities/Redemptions** | | | | | | | |
| 12/11<br>12/11 | LT Capital Gain Distribution | AIM INVT FDS BAL RISK ALL Y 12/07/12 LONG TERM CAPITAL GAINS @ 0 139 PER SHARE AS OF 12/07/12 (ID 00141V-69-7) | 1,045.138 | 0 139 | 145 69 | | |
| 12/14<br>12/14 | LT Capital Gain Distribution | JPM US LRGE CAP CORE PLUS FD - SEL FUND 1002 LONG TERM CAPITAL GAINS @ 0.98136 (ID. 4812A2-38-9) | 1,140 833 | 0 981 | 1,119 57 | | |
| 12/14<br>12/14 | LT Capital Gain Distribution | JPM EQUITY INCOME FD - SEL FUND 3128 LONG TERM CAPITAL GAINS @ 0 05744 (ID 4812C0-49-8) | 371 813 | 0 057 | 21 36 | | |
| 12/14<br>12/14 | LT Capital Gain Distribution | JPM HIGH YIELD FD - SEL FUND 3580 LONG TERM CAPITAL GAINS @ 0 01138 (ID 4812C0-80-3) | 1,640 772 | 0 011 | 18 67 | | |
| 12/14<br>12/14 | LT Capital Gain Distribution | JPM SHORT DURATION BOND FD - SEL FUND 3133 LONG TERM CAPITAL GAINS @ 0 00202 (ID· 4812C1-33-0) | 7,631 023 | 0 002 | 15.41 | | |
| 12/14<br>12/14 | LT Capital Gain Distribution | JPM MARKET EXPANSION INDEX FD - SEL FUND 3708 LONG TERM CAPITAL GAINS @ 0 59684 (ID 4812C1-63-7) | 1,220 385 | 0 597 | 728 37 | | |
| 12/14<br>12/14 | LT Capital Gain Distribution | JPM TR I INFL MANAGED BD - SEL LONG TERM CAPITAL GAINS @ 0 01649 (ID 48121A-56-3) | 1,228 013 | 0 016 | 20 25 | | |

| Trade Date / Settle Date | Type / Selection Method | Description | Quantity | Per Unit Amount | Proceeds | Tax Cost | Realized Gain/Loss |
|---|---|---|---|---|---|---|---|
| **Settled Sales/Maturities/Redemptions** | | | | | | | |
| 12/14 12/14 | LT Capital Gain Distribution | JPM TR I MIDCAP CORE - SEL LONG TERM CAPITAL GAINS @ 0.08453 (ID 48121L-75-9) | 1,106 902 | 0 085 | 93 57 | | |
| 12/14 12/14 | LT Capital Gain Distribution | JPM REALTY INCOME FD - INSTL FUND 1372 LONG TERM CAPITAL GAINS @ 0 03571 (ID 904504-50-3) | 577.843 | 0.036 | 20.63 | | |
| 12/14 12/14 | LT Capital Gain Distribution | MATTHEWS PACIFIC TIGER INSTL FUND 12/13/12 LONG TERM CAPITAL GAINS @ 0 020 PER SHARE AS OF 12/13/12 (ID. 577130-83-4) | 560 389 | 0 02 | 11 47 | | |
| 12/14 12/14 | LT Capital Gain Distribution | PIMCO FDS UNCONSTR BD 12/12/12 LONG TERM CAPITAL GAINS @ 0 014 PER SHARE AS OF 12/12/12 (ID 72201M-45-3) | 552 906 | 0 014 | 7 56 | | |
| 12/18 12/18 | LT Capital Gain Distribution | MANNING & NAPIER FUND INC EQUITY SERIES 12/17/12 LONG TERM CAPITAL GAINS @ 2 105 PER SHARE AS OF 12/17/12 (ID 563821-60-2) | 1,052 603 | 2.105 | 2,215.94 | | |
| 12/21 12/21 | LT Capital Gain Distribution | ARTISAN INTL VALUE FUND - INV 12/19/12 LONG TERM CAPITAL GAINS @ 0 128 PER SHARE AS OF 12/19/12 (ID 04314H-88-1) | 685.442 | 0 128 | 87 94 | | |
| 12/24 12/24 | LT Capital Gain Distribution | ABERDEEN ASIA PACIFIC (EX JAPAN) EQUITY FUND - INSTITUTIONAL SERVICE SHARES 12/21/12 LONG TERM CAPITAL GAINS @ 0 162 PER SHARE AS OF 12/21/12 (ID 003021-69-8) | 1,241 004 | 0.162 | 201 35 | | |
| **Total Settled Sales/Maturities/Redemptions** | | | | | **$4,707.78** | **$0.00** | **$0.00** |

**For your convenience we have combined statement(s) for activity you conduct through J.P. Morgan in one package. Below are important disclosures relating to these different accounts. These statements may relate to various account types. Some of the disclosures are applicable to all of your accounts. For ease of reference the disclosures applicable to a particular type of account have been grouped together by descriptive headers.**

**IMPORTANT GENERAL INFORMATION APPLICABLE TO ALL OF YOUR ACCOUNT(S)**

**Important Information about Pricing ,Valuations, Estimated Annual Income, and Estimated Yield**

Market value information (including without limitation, prices, exchange rates, accrued income and bond ratings) furnished herein, some of which has been provided by pricing sources that J P Morgan believes to be reliable, is not guaranteed for accuracy but provided for informational purposes and is furnished for the exclusive use of the client

The current price is the value of the financial asset share, unit or contract as priced at the close of the market on the last day of the statement period or the last available price All values provided for structured yield deposits (for example, JPMorgan London Time Deposits) reflect the original deposit amount only. The value for Real Estate, Mineral Interests and Miscellaneous Assets may not reflect the most current value of the asset

Important information regarding Auction Rate Securities (ARS) ARS are debt or preferred securities with an interest or dividend rate reset periodically in an auction Although there may be daily, weekly and monthly resets, there is no guarantee that there will be liquidity If there are not enough bids at an auction to redeem the securities available for sale, the result may be a failed auction In the event of a failed auction, there is no assurance that a secondary market will develop or that the security will trade at par or any other price reflected on statements and online Accordingly, investors should not rely on pricing information appearing in their statements or online with respect to ARS. When J.P. Morgan is unable to obtain a price from an internal or outside source for a particular ARS, the price column on your statement will indicate "unpriced"

Valuations of over-the-counter derivative transactions, including certain derivatives-related deposit products, have been prepared on a mid-market basis These valuations are sourced from the various issuers of the securities or they are sourced from a third party valuation provider J P Morgan expressly disclaims any responsibility for (1) the accuracy of the models or estimates used in deriving the valuations, (2) any errors or omissions in computing or disseminating the valuations, and (3) any uses to which the valuations are put. Valuations are provided for information purposes only and are intended solely for your own use Please refer to the trade confirmation for details of each transaction

Certain assets, including but not limited to, pooled and private investments, non-publicly traded and infrequently traded securities, derivatives, partnership interests and tangible assets are generally illiquid, the value of such asset may have been provided to us by third parties who may or may not be independent of the issuer or manager Such information is reflected as of the last date provided to us, and is not independently verified

In cases where we are unable to obtain a current market value from an internal or outside source for a particular security, the price column on your statement will indicate "unpriced" Although such securities may have value, please note that the value of a security indicated as "unpriced" will not be included in your overall current market value as reflected on the statement

J P Morgan makes no representation, warranty or guarantee, express or implied, that any quoted value represents the actual terms at which securities could be bought or sold or new transactions could be entered into, or the actual terms on which existing transactions or securities could be liquidated Such values may only be indicative

When we are unable to obtain a current value from an internal or outside source for a particular security, the price column on your statement will indicate "unpriced"

If a partial call is made with respect to an issue of securities included in your Accounts we will allocate the call by a method we deem fair and equitable

To the extent applicable, please note the following regarding estimated annual income (EAI) and estimated yield (EY) EAI and EY for certain types of securities could include a return of principal or capital gains in which case the EAI and EY would be overstated EAI and EY are estimates and the actual income and yield might be lower or higher than the estimated amounts EY reflects only the income generated by an investment It does not reflect changes in its price, which may fluctuate

**Offshore Deposits - London and Nassau**

**Deposits in Foreign Branches are not insured by the FDIC or any other Agency of the Federal Government; amounts in such foreign accounts do not have the benefit of any domestic preference applicable to U.S Banks; certain Foreign accounts are considered reportable to the Internal Revenue Service on a Report of Foreign Bank and Financial Accounts (TD F 90-22.1).**

Bank products and services are offered through JPMorgan Chase Bank, N A ("JPMCB") and its banking affiliates Securities are offered by J P Morgan Securities LLC ("JPMS") and, to the extent noted below, cleared through J P Morgan Clearing Corp. ("JPMCC")

Neither JPMS, nor JPMCC is a bank and are each separate legal entities from its bank or thrift affiliates.

**Investment Products: Not FDIC Insured -No Bank Guarantee -May Lose Value**

**Fund manager disclosure information available upon request**

If you have an investment account that is managed by an SEC-Registered Investment Advisor, J P. Morgan will provide a copy of the advisor's Form ADV II or brochure upon written request.

These statements are not official documents for income tax reporting purposes and should not be relied upon for such purposes, including determination of income, cost basis, amortization or accretion, or gain/loss Such information, which may be inaccurate, incomplete or subject to updating, should be confirmed with your records and your tax advisor.

**Please take the steps indicated below if you think statement(s) are incorrect or contact your J.P.Morgan team if you require additional information about a transaction on your statement(s).**

**IMPORTANT INFORMATION APPLICABLE ONLY TO YOUR FIDUCIARY ACCOUNT(S) WHICH REFLECTS ASSETS HELD AT JPMORGAN CHASE BANK, N.A. OR A BANKING OR TRUST AFFILIATE**

**IMPORTANT ADDITIONAL INFORMATION SPECIFIC TO A TRUST OF WHICH YOU ARE A BENEFICIARY**

Limitation of Action Against Trustee State laws provide that an action against a trustee for breach of trust based on matters in a trustee's report that adequately disclose the existence of a potential claim for breach of trust may be barred unless the action is commenced within a certain time period after your receipt of such a report The limitations periods for certain states are as follows - Florida and Utah· within 6 months; Arizona, Arkansas, District of Columbia, Kansas, Maine, Michigan, Missouri, North Dakota, New Hampshire, New Mexico, Nebraska, Oregon, South Carolina, Tennessee, Vermont, West Virginia and Virginia within 1 year; Alabama, Ohio, Oklahoma and Wyoming, within 2 years; California within 3 years For other state limitation periods or questions, please consult your attorney This disclosure is hereby made a part of the trustee s written report(s) (consisting of the statements relating to your trust(s)) provided to you as a trust beneficiary and is incorporated therein

**IF THIS STATEMENT RELATES TO A TRUST GOVERNED BY CALIFORNIA LAW FOR WHICH JPMorgan Chase Bank, N.A. ("JPMCB") IS A FIDUCIARY,** California Probate Code Section 16060, et seq , requires us to tell you the following·

- The recipient of this account may petition the court pursuant to California Probate Code Section 17200 to obtain a court review of this account and of the acts of the trustee reported here
- Claims against the Trustee for breach of trust must be made within three years of the date the beneficiary receives an account or report disclosing facts giving rise to the claim.

If you have any questions regarding your statement, please call your Fiduciary Manager

**PRODUCT RELATED DISCLOSURE: IMPORTANT INFORMATION ABOUT ALTERNATIVE INVESTMENTS: FOOTNOTES 1 - 4**

Private Equity, Hedge Funds, Exchange Funds, Real Estate and Other Alternative Assets

1 Direct private equity investments and pooled private investments (e g , interests in limited partnerships and limited liability companies) are generally illiquid securities Values are estimates only and are not warranted for accuracy or completeness. Values do not represent the actual terms at which transactions or securities could be bought or sold or new transactions could be entered into or the actual terms on which existing transactions could be liquidated as of the date of this statement

Direct private equity investments are generally valued at cost, unless there is an active secondary trading market in the securities, in which case, direct private equity investments are valued using market prices as of the close of the last business day for this statement period Pooled private equity investments are valued according to the General Partner's or Manager's stated methodology Please refer to the limited partnership agreement, limited liability company agreement or other operative documentation for each investment for the specific valuation methodology used by the General Partner or Manager for that investment or for your Investment Management or Trust account contact your J P Morgan team. J P. Morgan expressly disclaims any responsibility for (1) the accuracy of the information and the methodology used by the General Partner or Manager in deriving valuations, (2) any errors or omissions in compiling or disseminating the valuations, and (3) any use to which the valuations are put Valuations are provided for information purposes only and are intended solely for your own use

Hedge funds generally calculate the price (the "Net Asset Value" or " NAV"), 10-15 business days following the last business day of the month For that reason, hedge fund NAVs shown will generally be the NAV of the month preceding this statement period In general, the NAV is stated net of management and incentive fees. The NAV is calculated according to the General Partner's or Manager's stated methodology. Please refer to the limited partnership agreement, limited liability company agreement or other operative documentation for each hedge fund for the specific methodology used by the General Partner or Manager for that hedge fund or for your Investment Management or Trust account contact your J P Morgan team J P. Morgan expressly disclaims any responsibility for (1) the accuracy of the information and the methodology used by the General Partner or Manager in deriving valuations, (2) any errors or omissions in compiling or disseminating the valuations, and (3) any use to which the valuations are put Valuations are provided for information purposes only and are intended solely for your own use

These statements do not provide tax reporting on private investments Please continue to rely upon the General Partner or Manager of the investment vehicle for this information or for your Investment Management or Trust account contact your J P Morgan team

2 The 'Capital Called Since Inception USD' and 'Cash/Security distributions Since Inception USD' columns are updated monthly to reflect activity (capital calls and distributions), if any

3 Hedge funds generally allow subscriptions on a monthly or quarterly basis An interest in a hedge fund or hedge fund of funds is generally as of the first business day of the subscription period Due to early funding requirements by the applicable fund, your account may be debited for the subscription amount prior to the subscription date Please refer to the applicable hedge fund's operative documentation for further details or for your Investment Management or Trust account contact your J P. Morgan team

Hedge fund redemptions are generally on a monthly, quarterly or annual basis but can sometimes be subject to a multi-year lockup before a redemption is permitted For redemptions, there is generally a notification period that can be a long interval before the actual redemption date Redemption proceeds are generally paid 15 calendar days after the final NAV is issued, but can be subject to a holdback of a portion of the proceeds until an annual audit of the Fund has been completed Please refer to the applicable hedge fund's operative documentation for further details or for your Investment Management or Trust account contact your J P Morgan team

Global Access Portfolios share certain characteristics with hedge funds In particular, an investor who withdraws from a Global Access Portfolio will not receive the withdrawal proceeds in their entirety until 30-60 days after completion of the Portfolio's audit, which may be 18 months or longer after the redemption date Interest might not be paid on any proceeds pending distribution These restrictions apply even if the investor's account at JPMorgan is closed The Confidential Private Placement Memorandum and applicable Supplements contain other important information about the Global Access Portfolios and are available upon request or for your Investment Management or Trust account contact your J P Morgan team

4 Alternative assets may include publicly available mutual funds that utilize non-traditional investment management strategies, for example, strategies commonly employed by hedge funds Mutual funds generally calculate the price (the "Net Asset Value" or "NAV") on a daily basis and mutual fund NAVs shown on your statement generally will be the NAV as of the close of the last business day for this statement period Please refer to the applicable mutual fund prospectus for further details If the applicable mutual fund is a JPMorgan Fund, please refer to disclosures on this statement concerning JPMorgan Funds for other important information

**PRODUCT RELATED DISCLOSURE: THE JPMORGAN FUNDS OR THIRD PARTIES**

Shares of the funds referenced above are not bank deposits and are not guaranteed by any bank, government entity, or the FDIC Return and share price will fluctuate and redemption value may be more or less than original cost. While the money market funds seek to maintain a stable net asset value of $1 00 per share, there is no assurance that they will continue to do so The estimated annual income and dividend yield figures for mutual funds represent the funds' most recent income dividend annualized

Prospectuses and other fund information for JPMorgan funds may be obtained by calling your J P Morgan team or JPMorgan Distribution Services, Inc at (800) 480-4111 You also may view and order materials online for JPMorgan funds at www jpmorganfunds com

J P Morgan affiliates may receive compensation from the JPMorgan funds for providing investment advisory services to the funds J P Morgan affiliates may also provide administrative, custodial, sales, distribution, shareholder or other services to the JPMorgan Funds or funds established, sponsored, advised, or managed by third parties, and J P. Morgan affiliates may be compensated for such services as allowed by applicable law The distributor of the JPMorgan Funds is JPMorgan Distribution Services, Inc , which is an affiliate of JPMCB

Assets may be reflected herein even though they may be held by a third party unaffiliated with J P Morgan In such cases, unless J P Morgan otherwise agrees, J.P. Morgan has no responsibility for the verification, valuation, safekeeping or management of those assets