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Short Form Return of Organization Exempt From Income Tax

2012

Open to Public
Inspection

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code
(except black lung benefit trust or private foundation)

▶ Sponsoring organizations of donor advised funds, organizations that operate one or more hospital facilities, and certain controlling organizations as defined in section 512(b)(13) must file Form 990 (see instructions). All other organizations with gross receipts less than \$200,000 and total assets less than \$500,000 at the end of the year may use this form.

▶ The organization may have to use a copy of this return to satisfy state reporting requirements.

Department of the Treasury
Internal Revenue Service

A For the 2012 calendar year, or tax year beginning 2012, and ending 2012, and ending 20

<p>B Check if applicable:</p> <input type="checkbox"/> Address change <input type="checkbox"/> Name change <input type="checkbox"/> Initial return <input type="checkbox"/> Terminated <input type="checkbox"/> Amended return <input type="checkbox"/> Application pending	<p>C Name of organization The Spaatz Association, Inc.</p> <p>Number and street (or P.O. box, if mail is not delivered to street address) Room/suite 12381 Ridge Circle</p> <p>City or town, state or country, and ZIP + 4 Los Angeles, CA 90049</p>	<p>D Employer identification number 63-1183842</p> <p>E Telephone number 310-440-2670</p> <p>F Group Exemption Number ▶</p>
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G Accounting Method: Cash Accrual Other (specify) ▶ _____

I Website: ▶ www.spaatz.org

J Tax-exempt status (check only one) - 501(c)(3) 501(c) () ◀ (insert no.) 4947(a)(1) or 527

K Check if the organization is not a section 509(a)(3) supporting organization or a section 527 organization and its gross receipts are normally not more than \$50,000. A Form 990-EZ or Form 990 return is not required though Form 990-N (e-postcard) may be required (see instructions). But if the organization chooses to file a return, be sure to file a complete return.

L Add lines 5b, 6c, and 7b, to line 9 to determine gross receipts. If gross receipts are \$200,000 or more, or if total assets (Part II, line 25, column (B) below) are \$500,000 or more, file Form 990 instead of Form 990-EZ ▶ \$ _____

Part I Revenue, Expenses, and Changes in Net Assets or Fund Balances (see the instructions for Part I)

Check if the organization used Schedule O to respond to any question in this Part I

	Description		Amount
Revenue	1 Contributions, gifts, grants, and similar amounts received	1	2500
	2 Program service revenue including government fees and contracts	2	
	3 Membership dues and assessments	3	2202
	4 Investment income	4	3181
	5a Gross amount from sale of assets other than inventory	5a	
	b Less: cost or other basis and sales expenses	5b	
	c Gain or (loss) from sale of assets other than inventory (Subtract line 5b from line 5a)	5c	
	6 Gaming and fundraising events		
	a Gross income from gaming (attach Schedule G if greater than \$15,000)	6a	
	b Gross income from fundraising events (not including \$ _____ of contributions from fundraising events reported on line 1) (attach Schedule G if the sum of such gross income and contributions exceeds \$15,000)	6b	16253
c Less: direct expenses from gaming and fundraising events	6c	10524	
d Net income or (loss) from gaming and fundraising events (add lines 6a and 6b and subtract line 6c)	6d	5729	
7a Gross sales of inventory, less returns and allowances	7a	116	
b Less: cost of goods sold	7b	116	
c Gross profit or (loss) from sales of inventory (Subtract line 7b from line 7a)	7c	0	
8 Other revenue (describe in Schedule O)	8		
9 Total revenue. Add lines 1, 2, 3, 4, 5c, 6d, 7c, and 8 ▶	9	13612	
Expenses	10 Grants and similar amounts paid (list in Schedule O)	10	5000
	11 Benefits paid to or for members	11	
	12 Salaries, other compensation, and employee benefits	12	
	13 Professional fees and other payments to independent contractors	13	
	14 Occupancy, rent, utilities, and maintenance	14	50
	15 Printing, publications, postage, and shipping	15	932
	16 Other expenses (describe in Schedule O)	16	723
	17 Total expenses. Add lines 10 through 16 ▶	17	6705
Net Assets	18 Excess or (deficit) for the year (Subtract line 17 from line 9)	18	6907
	19 Net assets or fund balances at beginning of year (from line 27, column (A)) (must agree with end-of-year figure reported on prior year's return)	19	242770
	20 Other changes in net assets or fund balances (explain in Schedule O)	20	(1918)
	21 Net assets or fund balances at end of year. Combine lines 18 through 20 ▶	21	240852

SCANNED APR 26 2013

GS 20

Part V Other Information (Note the Schedule A and personal benefit contract statement requirements in the instructions for Part V) Check if the organization used Schedule O to respond to any question in this Part V

Table with columns for question number, question text, and Yes/No checkboxes. Rows include questions 33 through 45b regarding organizational activities, financial reporting, and tax compliance.

46 Did the organization engage, directly or indirectly, in political campaign activities on behalf of or in opposition to candidates for public office? If "Yes," complete Schedule C, Part I **46** Yes No

Part VI Section 501(c)(3) organizations only

All section 501(c)(3) organizations must answer questions 47-49b and 52, and complete the tables for lines 50 and 51

Check if the organization used Schedule O to respond to any question in this Part VI

47 Did the organization engage in lobbying activities or have a section 501(h) election in effect during the tax year? If "Yes," complete Schedule C, Part II **47** Yes No

48 Is the organization a school as described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E **48** Yes No

49a Did the organization make any transfers to an exempt non-charitable related organization? **49a** Yes No

b If "Yes," was the related organization a section 527 organization? **49b** Yes No

50 Complete this table for the organization's five highest compensated employees (other than officers, directors, trustees and key employees) who each received more than \$100,000 of compensation from the organization. If there is none, enter "None."

(a) Name and title of each employee paid more than \$100,000	(b) Average hours per week devoted to position	(c) Reportable compensation (Forms W-2/1099-MISC)	(d) Health benefits, contributions to employee benefit plans, and deferred compensation	(e) Estimated amount of other compensation
None				

f Total number of other employees paid over \$100,000 **0**

51 Complete this table for the organization's five highest compensated independent contractors who each received more than \$100,000 of compensation from the organization. If there is none, enter "None."

(a) Name and address of each independent contractor paid more than \$100,000	(b) Type of service	(c) Compensation

d Total number of other independent contractors each receiving over \$100,000 **0**

52 Did the organization complete Schedule A? **Note:** All section 501(c)(3) organizations and 4947(a)(1) nonexempt charitable trusts must attach a completed Schedule A Yes No

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 officer) is based on all information of which preparer has any knowledge.

Sign Here Signature of officer: *Bruce E. Krell* Date: *9/12/2013*
 Type or print name and title: **Bruce E. Krell, Treasurer**

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check <input type="checkbox"/> if self-employed	PTIN
Firm's name	Firm's EIN		Phone no	
Firm's address				

May the IRS discuss this return with the preparer shown above? See instructions Yes No

SCHEDULE A
(Form 990 or 990-EZ)

Public Charity Status and Public Support

OMB No. 1545-0047

2012

Open to Public Inspection

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

▶ Attach to Form 990 or Form 990-EZ. ▶ See separate instructions.

Department of the Treasury
Internal Revenue Service

Name of the organization

Employer identification number

The Spatz Association, Inc.

63-1183842

Part I Reason for Public Charity Status (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is: (For lines 1 through 11, check only one box.)

- 1 A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i).**
- 2 A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E.)
- 3 A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**
- 4 A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state: _____
- 5 An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II.)
- 6 A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**
- 7 An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 8 A community trust described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 9 An organization that normally receives: (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions—subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2).** (Complete Part III.)
- 10 An organization organized and operated exclusively to test for public safety. See **section 509(a)(4).**
- 11 An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2). See **section 509(a)(3).** Check the box that describes the type of supporting organization and complete lines 11e through 11h.
 - a Type I b Type II c Type III—Functionally integrated d Type III—Non-functionally integrated
 - e By checking this box, I certify that the organization is not controlled directly or indirectly by one or more disqualified persons other than foundation managers and other than one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2).
 - f If the organization received a written determination from the IRS that it is a Type I, Type II, or Type III supporting organization, check this box
 - g Since August 17, 2006, has the organization accepted any gift or contribution from any of the following persons?
 - (i) A person who directly or indirectly controls, either alone or together with persons described in (ii) and (ii) below, the governing body of the supported organization?

	Yes	No
11g(i)		
 - (ii) A family member of a person described in (i) above?

	Yes	No
11g(ii)		
 - (iii) A 35% controlled entity of a person described in (i) or (ii) above?

	Yes	No
11g(iii)		
 - h Provide the following information about the supported organization(s).

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1-9 above or IRC section (see instructions))	(iv) Is the organization in col. (i) listed in your governing document?		(v) Did you notify the organization in col. (i) of your support?		(vi) Is the organization in col. (i) organized in the U.S.?		(vii) Amount of monetary support
			Yes	No	Yes	No	Yes	No	
(A)									
(B)									
(C)									
(D)									
(E)									
Total									

Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)
 (Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ►	(a) 2008	(b) 2009	(c) 2010	(d) 2011	(e) 2012	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")						
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
3 The value of services or facilities furnished by a governmental unit to the organization without charge						
4 Total. Add lines 1 through 3.						
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f).						
6 Public support. Subtract line 5 from line 4.						

Section B. Total Support

Calendar year (or fiscal year beginning in) ►	(a) 2008	(b) 2009	(c) 2010	(d) 2011	(e) 2012	(f) Total
7 Amounts from line 4						
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
9 Net income from unrelated business activities, whether or not the business is regularly carried on						
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.)						
11 Total support. Add lines 7 through 10						
12 Gross receipts from related activities, etc. (see instructions)					12	
13 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here						<input type="checkbox"/>

Section C. Computation of Public Support Percentage

14 Public support percentage for 2012 (line 6, column (f) divided by line 11, column (f))	14	%
15 Public support percentage from 2011 Schedule A, Part II, line 14	15	%
16a 33 1/3% support test—2012. If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization	<input type="checkbox"/>	
b 33 1/3% support test—2011. If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization	<input type="checkbox"/>	
17a 10%-facts-and-circumstances test—2012. If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part IV how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization	<input type="checkbox"/>	
b 10%-facts-and-circumstances test—2011. If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part IV how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization	<input type="checkbox"/>	
18 Private foundation. If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions	<input type="checkbox"/>	

Part III Support Schedule for Organizations Described in Section 509(a)(2)

(Complete only if you checked the box on line 9 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2008	(b) 2009	(c) 2010	(d) 2011	(e) 2012	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")	12385	15781	6099	9275	5927	49467
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose	14089	9964	15031	10787	16369	66240
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 Total. Add lines 1 through 5	26474	25745	21130	20062	18571	115707
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year						
c Add lines 7a and 7b						
8 Public support (Subtract line 7c from line 6.)						115707

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2008	(b) 2009	(c) 2010	(d) 2011	(e) 2012	(f) Total
9 Amounts from line 6	26474	25745	21130	20062	18571	115707
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources				7272	3181	10453
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
c Add lines 10a and 10b				7272	3181	10453
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.)						
13 Total support. (Add lines 9, 10c, 11, and 12.)	26474	25745	21130	27334	21752	126160
14 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here <input type="checkbox"/>						

Section C. Computation of Public Support Percentage

15 Public support percentage for 2012 (line 8, column (f) divided by line 13, column (f))	15	91.7 %
16 Public support percentage from 2011 Schedule A, Part III, line 15	16	94.3 %

Section D. Computation of Investment Income Percentage

17 Investment income percentage for 2012 (line 10c, column (f) divided by line 13, column (f))	17	8.2 %
18 Investment income percentage from 2011 Schedule A, Part III, line 17	18	5.7 %
19a 33 1/3% support tests—2012. If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization <input checked="" type="checkbox"/>		
b 33 1/3% support tests—2011. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3%, and line 18 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization <input type="checkbox"/>		
20 Private foundation. If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions <input type="checkbox"/>		

SCHEDULE O
(Form 990 or 990-EZ)

Supplemental information to Form 990 or 990-EZ

OMB No. 1545-0047

Department of the Treasury
Internal Revenue Service

Complete to provide information for responses to specific questions on
Form 990 or 990-EZ or to provide any additional information.

➤ Attach to Form 990 or 990-EZ.

2012

**Open to Public
Inspection**

Name of the organization

The Spaatz Association, Inc.

Employer identification number

63-1183842

990-EZ, Part 1, Line 10: Grants, Aerospace Leadership Scholarship, \$5000, \$5000, See Attachment 2

990-EZ, Part 1, Line 15, Other Expenses --

Supplies: \$217

CC Fees: \$615

Bank Fees: \$0

Total Other Expenses: \$832

990-EZ, Part 1, Line 20: Changes In Net Assets Or Fund Balances:

Dividends And Capital Gains: \$3181

Flight Scholarships: (\$5000)

Net Gain (Loss) In Fund Balance: (\$1819)

Form 990-EZ

Part IV – List of Officers, Directors,
Trustees, and Key Employees

Statement 1

Name And Address	Title, Avg Hrs/Wk	Compensation	Emp. Ben Plan Contrib	Expense Account
Stephen W Austen 1628 Winthrop Lane Monroe, NC 28112	President, 5	0	0	0
Ted Bowlds 1809 N Randolph St. Arlington, VA 22207	Vice President, 5	0	0	0
Dr Bruce Krell 12381 Ridge Circle Los Angeles, CA 90049	Treasurer, 5	0	0	0
Sandie D. Aurich 13610 SE 145 th Avenue Clackamas, OR 97015	Secretary, 5	0	0	0
Totals Included On Form 990-EZ, Part IV		0	0	0

Form 990-EZ

NonCash Grants and Allocations

Statement 2

<u>Classification</u>	<u>Donee's Name</u>	<u>Donee's Address</u>
Scholarship	Joseph Houston	48 Pinehurst Road Asheville, NC 28805

<u>Relationship Of Donee</u>	<u>Description Of Property</u>	<u>Book Value</u>	<u>Amount Given</u>
None	Cash	2500	2500

<u>Classification</u>	<u>Donee's Name</u>	<u>Donee's Address</u>
Scholarship	Robert Jennings	808 Flat Shoals Ch. Road Pine Mountain, GA 31822

<u>Relationship Of Donee</u>	<u>Description Of Property</u>	<u>Book Value</u>	<u>Amount Given</u>
None	Cash	2500	2500

The Spatz Association, Inc.

63-1183842

Form 990-EZ

Special Fundraising Events And Activities

Statement 3

<u>Event Description</u>	<u>Gross Receipts</u>	<u>Gross Revenue</u>	<u>Direct Expenses</u>	<u>Net Income</u>
2012 Winter Dinner	16253	16253	10523	5730
-----	-----	-----	-----	-----
To Form 990-EZ, Line 6	16253	16253	10523	5730

Form 990-EZ

Information Regarding Transfer
Associated With Personal Benefit Contrats

Statement 4

- A Did the organization, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? [] Yes [X] No

- B. Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? [] Yes [X] No

3:36 AM

04/11/13

Cash Basis

TSA General Fund
Profit & Loss
 January through December 2012

	Jan - Dec 12	Jan - Dec 11	\$ Change
Income			
2011 Winter Dinner	0 00	7,636 15	-7,636 15
2012 Winter Dinner	16,253 65	2,612 01	13,641 64
Membership Dues and Assessments			
2012 Dues	350 00	0 00	350 00
Membership Dues and Assessments - Other	1,852 41	975 12	877 29
Total Membership Dues and Assessments	2,202 41	975 12	1,227 29
Other Income			
Sale of TSA Coins	116 25	539 45	-423 20
Total Other Income	116 25	539 45	-423 20
Total Income	18,572 31	11,762 73	6,809 58
Expense			
Bank Charge	0 00	66 00	-66 00
Coin production	857 26	2,025 99	-1,168 73
Gifts Given	225 98	0 00	225 98
Management and General			
ePN CC Fees	615 65	503 73	111 92
Postage and Shipping	645 37	300 89	344 48
Printing and Publications	286 74	85 39	201 35
Supplies	217 29	155 86	61 43
Web Site Hosting	0 00	118 80	-118 80
Total Management and General	1,765 05	1,164 67	600 38
Outside Consultant	52 92	0 00	52 92
Reconciliation Discrepancies	2,108 21	0 00	2,108 21
Website			
Domain Registration	0 00	125 94	-125 94
Hosting Services	49 50	49 50	0 00
Total Website	49 50	175 44	-125 94
Winter Dinner -- 2013	1,000 00	0 00	1,000 00
Winter Dinner 2011	0 00	10,572 35	-10,572 35
Winter Dinner 2012	10,523 99	1,000 00	9,523 99
Total Expense	16,582 91	15,004 45	1,578 46
Net Income	1,989 40	-3,241 72	6,231 12

3:37 AM
04/11/13
Cash Basis

TSA Scholarship Fund
Profit & Loss
January through December 2012

	<u>No item</u>	<u>TOTAL</u>
Income		
Contributions, Gifts, Grants...		
ALS Donation	3,725.00	3,725.00
Total Contributions, Gifts, Grants...	<u>3,725.00</u>	<u>3,725.00</u>
Total Income	3,725.00	3,725.00
Expense		
Aerospace Leadership Scholarshi		
2011 - Kimberly Larson	243.50	243.50
2011 - Thomas Giles	451.00	451.00
2012 - Joe Houston	1,276.31	1,276.31
2012 - Tiffany Jennings	2,500.00	2,500.00
Total Aerospace Leadership Scholarshi	<u>4,472.81</u>	<u>4,472.81</u>
Bank Charge	210.00	210.00
Total Expense	<u>4,682.81</u>	<u>4,682.81</u>
Net Income	<u>-957.81</u>	<u>-957.81</u>

3:38 AM
04/11/13
Accrual Basis

TSA
Balance Sheet
As of December 31, 2012

	<u>Dec 31, 12</u>
ASSETS	
Current Assets	
Checking/Savings	
BofA-GenFund-Auto	126 25
TSA General Fund	10,477 43
TSA Scholarship Fund	27,082 99
Total Checking/Savings	<u>37,686 67</u>
Total Current Assets	37,686 67
Other Assets	
RBC	69,000 00
Total Other Assets	<u>69,000 00</u>
TOTAL ASSETS	<u><u>106,686.67</u></u>
LIABILITIES & EQUITY	
Equity	
Opening Balance Equity	55 00
Retained Earnings	105,600 08
Net Income	1,031 59
Total Equity	<u>106,686 67</u>
TOTAL LIABILITIES & EQUITY	<u><u>106,686.67</u></u>



RBC Capital Markets, LLC
 PO Box 1510
 Minneapolis, MN 55440-1510

2012 COMBINED FORMS 1099

TAX INFORMATION SUMMARY

Printed February, 2013

This is important tax information and is being furnished to the Internal Revenue Service and/or appropriate state taxing authorities. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. See instructions on reverse.

THE SPAATZ ASSOCIATION INC
 DR BRUCE E KRELL
 12381 RIDGE CIRLE
 LOS ANGELES CA 90049

ACCOUNT NUMBER	TAX ID
312-26083	63-1183842
PAYER'S FEDERAL TAX ID	
41-1416330	
FINANCIAL ADVISOR / TELEPHONE NUMBER	
STEVE TOMINGAS 866-700-1872	

NOTE: RBC Capital Markets, LLC should be listed as the payer of income amounts on your tax return (Forms 1099-INT, -DIV, -OID, -MISC). Do not use company names shown in the detail analysis for these amounts. They are for your information only.

FORM 1099-INT		INTEREST INCOME		OMB No. 1545-0112	
1 Interest income not included in box 3	3 Interest on U.S Treasury obligations	4 Federal income tax withheld	5 Investment expenses		
\$498.00	\$2,675.00				

FORM 1099-DIV		DIVIDENDS AND DISTRIBUTIONS			OMB No. 1545-0110	
1a Total ordinary dividends	1b Qualified dividends	2a Total capital gain distribution	2b Unrecaptured Sec 1250 gain	2c Section 1202 gain		
\$6.59	\$1.44					
2d Collectibles (28%) gain	3 Nontaxable distributions	4 Federal income tax withheld	5 Investment expenses	6 Foreign tax paid		
	\$454.12					

FORM 1099-B		PROCEEDS FROM BROKER TRANSACTIONS				OMB No. 1545-0715	
1a Date of sale (See Detail)	1b Date of acquisition (See Detail)	1c Type of gain or loss (See Detail)	1d Stock or other symbol (See Detail)	1e Quantity sold (See Detail)	2a Stocks, bonds, etc (gross proceeds less commissions)	3. Cost or other basis	
					\$29,890.97		

2012 TRANSACTION DETAIL ANALYSIS

Under California law, we are required to furnish information on payments of interest on federally tax-exempt non-California bonds to the state of California for taxpayers with a California address.

1099-INT RBC Capital Markets, LLC - Interest

If the total amount listed at the end of this section is less than \$10, it is not reported to the IRS, but is provided for your information.

BOX 1 -- Interest income not included in box 3

SECURITY ID & DESCRIPTION

DATE	NOTES	AMOUNT	DATE	NOTES	AMOUNT
1/8/15/12	JOHNSON & JOHNSON NT	\$238.00			
			TOTAL		\$238.00
2/01/12	MICROSOFT CORP NT	\$260.00			
			TOTAL		\$260.00

Box 1 Total Amount \$498.00

1099-INT (cont)

RBC Capital Markets, LLC - Interest

BOX 3 – Interest on U.S. Treasury obligations

SECURITY ID & DESCRIPTION

DATE	NOTES	AMOUNT	DATE	NOTES	AMOUNT
12810QW1	UNITED STATES TREASURY BOND				
1/15/12	G	\$1,650.00			
			TOTAL		\$1,650.00
12810EY0	UNITED STATES TREASURY BONDS				
1/15/12	G	\$487.50			
			TOTAL		\$487.50
12810FP8	UNITED STATES TREASURY BONDS				
18/15/12	G	\$537.50			
			TOTAL		\$537.50
Box 3 Total Amount					\$2,675.00

U.S. Government interest/OID may be tax-free on state and local levels. Consult your tax advisor for more information.

If the total amount listed at the end of this section is less than \$10, it is not reported to the IRS, but is provided for your information.

BOX 1a – Total ordinary dividends

SECURITY ID & DESCRIPTION

DATE	NOTES	AMOUNT	DATE	NOTES	AMOUNT
10162Q866	ALPS ETF TR ALERIAN MLP				
12/14/12	M	\$1.44			
			TOTAL		\$1.44
	PRIME MONEY MARKET FUND				
2/31/12	N	\$5.15			
			TOTAL		\$5.15
Box 1a Total Amount					\$6.59

BOX 1b – Qualified dividends

SECURITY ID & DESCRIPTION

DATE	NOTES	AMOUNT	DATE	NOTES	AMOUNT
10162Q866	ALPS ETF TR ALERIAN MLP				
12/14/12	M	\$1.44			
			TOTAL		\$1.44
Box 1b Total Amount					\$1.44

BOX 3 – Nontaxable distributions

SECURITY ID & DESCRIPTION

DATE	NOTES	AMOUNT	DATE	NOTES	AMOUNT
10162Q866	ALPS ETF TR ALERIAN MLP				
12/14/12	M R	\$454.12			
			TOTAL		\$454.12

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11099-DIV (cont)

RBC Capital Markets, LLC - Dividends

- Payments received were reclassified into other type(s) of income; therefore the totals may not equal the amounts as originally detailed on your monthly statements.
- Non-qualified dividend
- Return of capital

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Please note that items that are checked in the 'Non-Cvrd. Sec.' column are noncovered securities and cost basis information for these items is not reported to the IRS. Cost basis information for items that are checked in the 'Basis Rptd. To IRS' column is reported to the IRS. Please see enclosed insert for additional information.

BOXES 1a, 1b, 1c, 1d, 1e, 2a, 3, 5, 6a, 6b & 8 - Stocks, bonds etc.

SECURITY ID, SYMBOL (Box 1d) & DESCRIPTION (Box 8)

DATE OF SALE Box 1a)	NOTES	QUANTITY (Box 1e)	NET PROCEEDS (Box 2a)	DATE OF ACQUISITION (Box 1b)	NET COST (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	NON-CVRD SEC (6a)	BASIS RPTD TO IRS (6b)	TERM (Box 1c)
10/10/12		1,875.000	29,890.97	10/27/2011	30,102.38		<input checked="" type="checkbox"/>	<input type="checkbox"/>	SHORT
Boxes 2a, 3 & 5 SUBTOTALS			\$0.00		\$0.00	\$0.00	<input checked="" type="checkbox"/>	<input type="checkbox"/>	UNKNOWN
			\$29,890.97		\$30,102.38	\$0.00	<input checked="" type="checkbox"/>	<input type="checkbox"/>	SHORT
			\$0.00		\$0.00	\$0.00	<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
			\$0.00		\$0.00	\$0.00	<input type="checkbox"/>	<input checked="" type="checkbox"/>	SHORT
			\$0.00		\$0.00	\$0.00	<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
Boxes 2a, 3 & 5 TOTAL			\$29,890.97		\$30,102.38	\$0.00			

Please note items that are checked in the "Non-Cvrd. Sec." column are noncovered securities and cost basis information for these items is not reported to the IRS. Cost basis information for items that are checked in the 'Basis Rptd. To IRS' column is reported to the IRS. Please see enclosed insert for additional information.

The following information is provided for your use in preparing tax returns for this and subsequent years; it is not furnished to the IRS.

Accrued Interest on Taxable Bond Purchases

SECURITY ID & DESCRIPTION			SECURITY ID & DESCRIPTION		
TRADE DATE	QUANTITY	AMOUNT	TRADE DATE	QUANTITY	AMOUNT
11/16/01/12	8,000.000	\$146.77			
			TOTAL		\$146.77

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Accrued Interest on Taxable Bond Purchases (cont)

SECURITY ID & DESCRIPTION					
TRADE DATE	QUANTITY	AMOUNT	TRADE DATE	QUANTITY	AMOUNT
194918AD6	MICROSOFT CORP NT				
16/01/12	10,000.000	\$7.22			
			TOTAL		\$7.22
112810QW1	UNITED STATES TREASURY BOND				
16/01/12	110,000.000	\$179.35			
			TOTAL		\$179.35
112810EY0	UNITED STATES TREASURY BONDS				
16/01/12	15,000.000	\$52.99			
			TOTAL		\$52.99
112810FP8	UNITED STATES TREASURY BONDS				
16/01/12	20,000.000	\$324.86			
			TOTAL		\$324.86
			Total Accrued Interest on Taxable Bonds		\$711.19

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Schedule of Realized Gains and Losses

This section includes a summary of the short-term or long-term gain or loss from the sale of selected securities in this account. Short-term" refers to securities held for one year or less; "long-term" refers to securities held more than one year. RBC provides the following Schedule of Realized Gains and Losses as a service to its clients; the information may not be accurate for tax reporting or other purposes and may rely on information, such as the original cost basis for a security, that you or another source at your direction provided to RBC. Cost basis information may reflect a change in the value of certain fixed income and other securities that return or amortize principal over time. In the case of bonds purchased at a premium, cost basis information may be amortized. In addition, cost basis information may reflect accretion for zero coupon and OID bonds. Please refer to IRS Publications 1212 and 550 or consult your tax advisor for additional information.

Please see Form 1099-B for information reported to the IRS.

Short-Term

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
1,875.000	ALPS ETF TR ALERIAN MLP SYMBOL AMLP, CUSIP. 00162Q866	<input checked="" type="checkbox"/>	10/27/11	04/10/12	29,890.97	30,102.38	-211.41
Short-Term Subtotal					29,890.97		-211.41
Total Gains and Losses					29,890.97		-211.41
Short-Term							-211.41
Long-Term							0.00
Term Unknown							0.00