Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052

2012

Open to public Inspection

For calendar year 2012 or tax year beginning , and ending

Name of foundation
ALBERTA B. FARRINGTON FOUNDATION

A Employer identification number
86-0717723

Number and street (or P O box number if mail is not delivered to street address) | Room/suite
5825 E. PINNACLE VISTA DR.

B Telephone number
(480) 948-1692

City or town, state, and ZIP code
SCOTTSDALE, AZ 85266

C If exemption application is pending, check here ▶☐

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

D 1. Foreign organizations, check here ▶☐

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

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

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

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶$ 12,006,310.

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

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

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

			(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			N/A	
	2	Check ▶ ☒ if the foundation is not required to attach Sch B				
	3	Interest on savings and temporary cash investments	345.	345.		STATEMENT 1
	4	Dividends and interest from securities	258,646.	258,646.		STATEMENT 2
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	12,406.			
	b	Gross sales price for all assets on line 6a 13,177,711.				
	7	Capital gain net income (from Part IV, line 2)		12,406.		
	8	Net short-term capital gain				
	9	Income modifications				
	10a	Gross sales less returns and allowances				
	b	Less Cost of goods sold				
	c	Gross profit or (loss)				
	11	Other income	-153.	-153.		STATEMENT 3
	12	**Total** Add lines 1 through 11	271,244.	271,244.		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	58,000.	19,332.		38,668.
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits	31,663.	10,554.		21,109.
	16a	Legal fees				
	b	Accounting fees STMT 4	4,585.	1,528.		3,057.
	c	Other professional fees STMT 5	117,487.	117,487.		0.
	17	Interest				
	18	Taxes STMT 6	5,814.	1,938.		3,876.
	19	Depreciation and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings	766.	0.		766.
	22	Printing and publications				
	23	Other expenses STMT 7	14,459.	13,831.		628.
	24	**Total operating and administrative expenses.** Add lines 13 through 23	232,774.	164,670.		68,104.
	25	Contributions, gifts, grants paid	507,385.			507,385.
	26	**Total expenses and disbursements.** Add lines 24 and 25	740,159.	164,670.		575,489.
	27	Subtract line 26 from line 12:				
	a	Excess of revenue over expenses and disbursements	-468,915.			
	b	**Net investment income** (if negative, enter -0-)		106,574.		
	c	**Adjusted net income** (if negative, enter -0-)			N/A	

8

Part II Balance Sheets

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

			Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing			
	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			
	7	Other notes and loans receivable ▶ 393,027. Less: allowance for doubtful accounts ▶ 0.	599,787.	393,027.	393,027.
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments - U.S. and state government obligations			
	b	Investments - corporate stock STMT 9	11,414,480.	11,613,283.	11,613,283.
	c	Investments - corporate bonds			
	11	Investments - land, buildings, and equipment basis ▶ Less accumulated depreciation ▶			
	12	Investments - mortgage loans			
	13	Investments - other			
	14	Land, buildings, and equipment: basis ▶ Less accumulated depreciation ▶			
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers)	12,014,267.	12,006,310.	12,006,310.
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable			
	22	Other liabilities (describe ▶)			
	23	**Total liabilities** (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds	12,014,267.	12,006,310.	
	28	Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29	Retained earnings, accumulated income, endowment, or other funds	0.	0.	
	30	**Total net assets or fund balances**	12,014,267.	12,006,310.	
	31	**Total liabilities and net assets/fund balances**	12,014,267.	12,006,310.	

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	12,014,267.
2	Enter amount from Part I, line 27a	2	-468,915.
3	Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 8	3	460,958.
4	Add lines 1, 2, and 3	4	12,006,310.
5	Decreases not included in line 2 (itemize) ▶	5	0.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	12,006,310.

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				
b	SEE ATTACHED STATEMENT			
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				
b				
c				
d				
e	13,177,711.		13,165,305.	12,406.

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a				
b				
c				
d				
e				12,406.

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** 12,406.

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

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes X 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	692,644.	12,619,237.	.054888
2010	676,849.	12,757,584.	.053055
2009	799,625.	13,123,732.	.060930
2008	858,265.	15,957,000.	.053786
2007	841,341.	17,927,000.	.046931

2	**Total** of line 1, column (d)	2	.269590
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	.053918
4	Enter the net value of noncharitable-use assets for 2012 from Part X, line 5	4	11,955,806.
5	Multiply line 4 by line 3	5	644,633.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	1,066.
7	Add lines 5 and 6	7	645,699.
8	Enter qualifying distributions from Part XII, line 4	8	575,489.

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter: ________ (attach copy of letter if necessary-see instructions)				
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b			1	2,131.
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).				
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			2	0.
3	Add lines 1 and 2			3	2,131.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			4	0.
5	**Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-			5	2,131.
6	Credits/Payments:				
a	2012 estimated tax payments and 2011 overpayment credited to 2012	6a	8,414.		
b	Exempt foreign organizations - tax withheld at source	6b			
c	Tax paid with application for extension of time to file (Form 8868)	6c			
d	Backup withholding erroneously withheld	6d			
7	Total credits and payments. Add lines 6a through 6d			7	8,414.
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	6,283.
11	Enter the amount of line 10 to be: **Credited to 2013 estimated tax** ▶ 6,283. **Refunded** ▶			11	0.

Part VII-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for definition)?	1b		X
	*If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ $ 0. (2) On foundation managers. ▶ $ 0.			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0.			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.*	2		X
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b	If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		X
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: ● By language in the governing instrument, or ● By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7	Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV*	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ AZ			
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 ▶ GERI J CAVANAGH Telephone no. ▶ (480)948-1692

Located at ▶ 5825 E PINNACLE VISTA DR., SCOTTSDALE, AZ ZIP+4 ▶ 85266

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

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

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

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

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

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

1 List all officers, directors, trustees, foundation managers and their compensation.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
MICHAEL CAVANAGH 8103 DEL PICO SCOTTSDALE, AZ 85257	SECRETARY/TREASURER 10.00	500.	0.	0.
GERI J CAVANAGH 5825 E PINNACLE VISTA DR SCOTTSDALE, AZ 85266	PRESIDENT 20.00	56,500.	31,663.	0.
JAMIE HUFFORD 1851 GREENTREE TEMPE, AZ 85284	DIRECTOR 2.00	500.	0.	0.
HARRY CAVANAGH JR 6317 4TH DRIVE PHOENIX, AZ 85013	DIRECTOR 2.00	500.	0.	0.

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

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

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

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12-05-12

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

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

(a) Name and address of each person paid more than $50,000	**(b)** Type of service	**(c)** Compensation
NONE		

Total number of others receiving over $50,000 for professional services ▶ 0

Part IX-A Summary of Direct Charitable Activities

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

Part IX-B Summary of Program-Related Investments

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

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12-05-12

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	12,137,874.
b	Average of monthly cash balances			1b	
c	Fair market value of all other assets			1c	
d	**Total** (add lines 1a, b, and c)			1d	12,137,874.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.		
2	Acquisition indebtedness applicable to line 1 assets			2	0.
3	Subtract line 2 from line 1d			3	12,137,874.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)			4	182,068.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4			5	11,955,806.
6	**Minimum investment return.** Enter 5% of line 5			6	597,790.

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	597,790.
2a	Tax on investment income for 2012 from Part VI, line 5	2a	2,131.		
b	Income tax for 2012. (This does not include the tax from Part VI.)	2b			
c	Add lines 2a and 2b			2c	2,131.
3	Distributable amount before adjustments. Subtract line 2c from line 1			3	595,659.
4	Recoveries of amounts treated as qualifying distributions			4	0.
5	Add lines 3 and 4			5	595,659.
6	Deduction from distributable amount (see instructions)			6	0.
7	**Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1			7	595,659.

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	575,489.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	575,489.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	575,489.

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				595,659.
2 Undistributed income, if any, as of the end of 2012				
a Enter amount for 2011 only			479,796.	
b Total for prior years: ______ , ______ , ______		0.		
3 Excess distributions carryover, if any, to 2012:				
a From 2007				
b From 2008				
c From 2009				
d From 2010				
e From 2011				
f **Total** of lines 3a through e	0.			
4 Qualifying distributions for 2012 from Part XII, line 4: ▶ $ 575,489.				
a Applied to 2011, but not more than line 2a			479,796.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2012 distributable amount				95,693.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2011. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2012. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2013				499,966.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2007 not applied on line 5 or line 7	0.			
9 **Excess distributions carryover to 2013.** Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2008				
b Excess from 2009				
c Excess from 2010				
d Excess from 2011				
e Excess from 2012				

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

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

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

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

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

1 **Information Regarding Foundation Managers:**

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

NONE

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

NONE

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

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

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

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

c Any submission deadlines:

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

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
SEE ATTACHED	NONE	N/A	ALL OF THE CONTRIBUTIONS ARE TO PUBLIC CHARITIES AND ARE GENERALLY NOT RESTRICTED AS TO USE.	507,385.
Total			▶ 3a	507,385.
b *Approved for future payment*				
NONE				
Total			▶ 3b	0.

Form **990-PF** (2012)

223611
12-05-12

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
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	345.	
4 Dividends and interest from securities			14	258,646.	
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	12,406.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a ORDINARY INCOME FROM K-1			14	-153.	
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)		0.		271,244.	0.

13 **Total.** Add line 12, columns (b), (d), and (e) 13 271,244.

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

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

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

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

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

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

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

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

b If "Yes," complete the following schedule.

(a) Name of organization	(b) Type of organization	(c) Description of relationship
N/A		

Sign Here

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

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

Signature of officer or trustee

Date: 5-14-13

Title: President

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
JAMES A. WRAITH, CPA	JAMES A. WRAITH,	05/13/13		P00165440

Firm's name ▶ MANSPERGER PATTERSON & MCMULLIN, PLC

Firm's EIN ▶ 86-0751928

Firm's address ▶ 1222 E. BASELINE ROAD, SUITE 200
TEMPE, AZ 85283

Phone no. (480) 831-9500

Form 990-PF (2012)

223622
12-05-12

ALBERTA B. FARRINGTON FOUNDATION

CONTINUATION FOR 990-PF, PART IV
86-0717723 PAGE 1 OF 1

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	SEE ATTACHED	P	VARIOUS	12/31/12
b	SEE ATTACHED	P	VARIOUS	12/31/12
c	SEE ATTACHED	P	VARIOUS	12/31/12
d	SEE ATTACHED	P	VARIOUS	12/31/12
e	ABBEY CAPITAL	P	VARIOUS	12/31/12
f	ABBEY CAPITAL	P	VARIOUS	12/31/12
g	MISCELLANEOUS	P	VARIOUS	12/31/12
h				
i				
j				
k				
l				
m				
n				
o				

	(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	6,141,979.		6,067,643.	74,336.
b	4,163,972.		4,198,171.	-34,199.
c	1,195,632.		1,174,736.	20,896.
d	1,676,128.		1,698,146.	-22,018.
e			10,612.	-10,612.
f			15,918.	-15,918.
g			79.	-79.
h				
i				
j				
k				
l				
m				
n				
o				

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
	(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	
a				74,336.
b				-34,199.
c				20,896.
d				-22,018.
e				-10,612.
f				-15,918.
g				-79.
h				
i				
j				
k				
l				
m				
n				
o				

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	12,406.
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8	3	N/A

Charity Contibutions Last year

1/1/2012 through 12/31/2012 (Accrual Basis)

4/7/2013

Date	Description	Memo	Amount
EXPENSES			
Charity			
227/2012	AIRC		-2,000.00
2/16/2012	American Cancer Society		-10,000.00
1/28/2012	American Heart Association		-10,000.00
12/112012	Arizona Science Center		-5,000.00
12/3/2012	Arizona Silverbelle		-20,000.00
1/6/2012	Arizona State University		-4,170.00
5/21/2012	Arizona State University		-3,615.00
8/29/2012	Arizona State University		-6,500.00
11 /19/2012	Arizona State University		-6,500.00
5/9/2012	Assn of Small Foundations		-2,500.00
1/28/2012	Banner Health Foundation		-60,000.00
12/32012	Banner Health Foundation		-25,000.00
1/28/2012	Career Concepts for Youth		-25,000.00
12/6/2012	Career Concepts for Youth		-5,000.00
128/2012	Catholic Community Foundation		-4,000.00
2/16/2012	Catholic Community Foundation		-5,000.00
12/32012	Crossroads, Inc.		-5,000.00
227/2012	Cystic Fibrosis Foundation		-5,000.00
2/27/2012	Diocese Of Phoenix CDA		-20,000.00
1/28/2012	Dominican Sisters Of Mary		-2,500.00
1/28/2012	Hunkapi Horse Therapy		-30,000.00
1/28/2012	Junior Golf Association of AZ		-50,000.00
12/32012	Junior Golf University		-5,000.00
9/5/2012	Little Sisters of the Poor		-10,000.00
2/27/2012	LPGA Foundation		-5,000.00
8/29/2012	McKenna Youth Foundation		-1,000.00
12/3/2012	Our Lady Of Solitude Monastery		-5,000.00
12/3/2012	Parelli Education Institute		-5,000.00
12/32012	Scottsdale Healthcare		-5,000.00
2/162012	Scottsdale Police Officers		-600.00
1/28/2012	Seton Catholic Preparatory High ...		-25,000.00
12/32012	Sisters Of St. Benedict		-5,000.00
12/3/2012	St. Joseph's Catholic Church		-10,000.00
9/5/2012	St. Mary of the Angels		-4,000.00
12/3/2012	St. Mary of the Angels		-30,000.00
12/3/2012	St. Mary's Food Bank		20,000.00
12/3/2012	St. Vincent De Paul		-20,000.00
12/3/2012	Sun Angel Foundation		-10,000.00
11/1/2012	Ville De Marie Academy		-40,000.00
		OVERALL TOTAL	-507,385.00

Contribution Address List for A.B. Farrington 2013

4/8/2013

AIRC
705 El Dorado
Mesa, AZ 85202

American Cancer Society
1850 N. Central Ave
Phoenix, AZ 85004

American Heart Association
2929 S. 48th Street
Tempe, AZ 85282

Arizona Science Center
600 E. Washington St.
Phoenix, AZ 85004

Arizona Silverbelle
4252 E. Winnetka Dr.
Phoenix, AZ 85044

Arizona State University
P.O. Box 2260
Tempe, AZ 85280

Banner Health Foundation
P.O. Box 1897
Phoenix, AZ 850011897

Career Concepts for Youth
P.O. Box 32864
Phoenix, AZ 85064

Association of Small Foundations
1720 N. Street, NW
Washington, DC 20036

Contribution Address List for A.B. Farrington 2013

4/8/2013

Catholic Community Foundation
400 E. Monroe Street
Phoenix, AZ 85004

Catholic Diocese of Phoenix
400 E. Monroe St.
Phoenix, AZ 85004

Crossroads, Inc.
1845 East Ocotillo Road
Phoenix, AZ 85016

Cystic Fibrosis Foundation
3800 N. Central Avenue Suite 700
Phoenix, AZ 85012

Dominican Sisters of Mary
4597 Warren Road
Ann Arbor, MI 48105 lab

Hunkapi Horse Therapy
10401 E. McDowell Mt. Ranch #2382
Scottsdale, AZ 85255

Junior Golf Association of Arizona
10888 N. 19th Avenue
Phoenix, AZ 850294905

Junior Golf University
420 E. Forest Hills Drive
Phoenix, AZ 85022

Contribution Address List for A.B. Farrington 2013

4/8/2013

Little Sisters of the Poor	1900 Mark Avenue Gallup, NM 87301	
LPGA Foundation, Inc.	3784 N. 162nd Lane Goodyear, AZ 85338	
McKenna Youth Foundation	1971 W. Maplewood Street Chandler, AZ 85248	
Our Lady of Solitude Monastery	P.O. Box 639 Tonopah, AZ 85354	
Parelli Education Institute	P.O. Box 1673 Durango, CO 81302	
Scottsdale Healthcare Foundation	10001 North 92nd Street Scottsdale, AZ 85258	Suite 121
Scottsdale Police Department	7229 E. 1st Ave Scottsdale, AZ 85251	
Seton Catholic Preparatory High School	1150 N. Dobson Road Chandler, AZ 852244004	
Sisters of St. Benedict	8502 West Pinchot Avenue Phoenix, AZ 85037	

Contribution Address List for A.B. Farrington 2013

4/8/2013

Society of St. Vincent De Paul	P.O. Box 13600 Phoenix, AZ 85002
St. Joseph's Catholic Church	11001 N. 40th Street Phoenix, AZ 85028
St. Mary of the Angels	P.O. Box 819 Pinetop, AZ 85935
St. Mary's Food Bank	2841 North 31st Avenue Phoenix, AZ 85009
Sun Angel Foundation	P.O. Box 872205 Tempe, AZ 852872205
Ville De Marie Academy	6535 E. Osborn Rd. Ste 404 Scottsdale, AZ 85251

Realized gains and losses

Estimated 2012 gains and losses for transactions with trade dates through 12/31/12 have been incorporated into this statement Please note that gain or loss recognized on the sale or redemption of certain Structured Products, like Contingent Debt Securities, may be ordinary, and not capital, gain or loss Please check with your tax advisor To calculate gains and losses, we liquidate the oldest security lot first This is known as the first-in, first-out or FIFO accounting method We use this method unless you specified which tax lot to close when you placed your order This is known as a versus purchases or VSP order

See Important information about your statement on the last page of this statement for more information We may not adjust gains and losses for all capital changes Cost basis for coupon tax-exempt municipal securities, include securities subject to AMT, has been *adjusted for mandatory amortization of bond premium* *Estimates in* the Unclassified section can not be classified as short term or long term because information is missing, or the product is one in which the gain/loss calculation is not provided

Short-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
ALTEGRIS MANAGED FUTURES STRATEGY FUND CLASS A	FIFO	241.576	Aug 16, 11	Jan 09, 12	2,355 37	2,379 52		-24 15	
	FIFO	9,233.768	Aug 16, 11	Aug 07, 12	91,044 95	90,952.62			92 33
	FIFO	935.634	Mar 29, 12	Dec 28, 12	8,729.47	8,804.32		-74.85	
ARBITRAGE FUND NO LOAD CLASS	FIFO	3,491.080	Jan 09, 12	Mar 29, 12	45,209.49	44,895.29			314 20
BLACKROCK GLOBAL LONG/SHORT CREDIT FUND A	FIFO	130 871	Mar 29, 12	Aug 07, 12	1,351 90	1,336 19			15 71
BLACKROCK GLOBAL ALLOCATION FUND INC A	FIFO	48.986	Jun 22, 11	Mar 29, 12	958.66	969.93		-11.27	
	FIFO	159.376	Jul 12, 11	Mar 29, 12	3,118 98	3,179.55		-60.57	
	FIFO	332.079	Jul 19, 11	Mar 29, 12	6,498.79	6,701.35		-202.56	
	FIFO	32 426	Jul 21, 11	Mar 29, 12	634 58	656.95		-22.37	
	FIFO	63 492	Aug 16, 11	Mar 29, 12	1,242.53	1,212 06			30 47
	FIFO	581 584	Oct 13, 11	Mar 29, 12	11,381 60	10,759.30			622 30
	FIFO	53 315	Dec 20, 11	Mar 29, 12	1,043 38	944.21			99.17
	FIFO	54.154	Dec 20, 11	Mar 29, 12	1,059.79	959 06			100 73
	FIFO	8.654	Jan 09, 12	Mar 29, 12	169.36	159.32			10 04
DELAWARE DIVERSIFIED INCOME FUND CLASS A	FIFO	15,341 068	Mar 29, 12	Aug 07, 12	144,666.27	141,291 24			3,375 03
	FIFO	28.501	Apr 20, 12	Aug 07, 12	268 76	263 92			4.84
	FIFO	47 033	May 22, 12	Aug 07, 12	443 53	434.11			9 42
	FIFO	48.016	Jun 22, 12	Aug 07, 12	452.79	446.07			6.72
	FIFO	46.591	Jul 20, 12	Aug 07, 12	439.35	441.68		-2.33	

continued next page

Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND A	FIFO	65 526	Dec 30, 11	Dec 28, 12	644.12	644 12			
	FIFO	63.871	Jan 31, 12	Dec 28, 12	627 85	638 07		-10 22	
	FIFO	59.384	Feb 29, 12	Dec 28, 12	583.75	595 03		-11.28	
	FIFO	4,961.663	Mar 29, 12	Dec 28, 12	48,773 15	49,418 16		-645 01	
	FIFO	63.964	Mar 30, 12	Dec 28, 12	628 76	637 72		-8 96	
	FIFO	75 385	Apr 30, 12	Dec 28, 12	741 04	750 08		-9 04	
	FIFO	81 272	May 31, 12	Dec 28, 12	798 90	792.40			6 50
	FIFO	78.495	Jun 29, 12	Dec 28, 12	771.61	769 25			2 36
	FIFO	81.185	Jul 31, 12	Dec 28, 12	798 04	797 24			0 80
	FIFO	80.829	Aug 31, 12	Dec 28, 12	794 55	796 97		-2 42	
	FIFO	77 403	Sep 28, 12	Dec 28, 12	760.87	771 71		-10 84	
	FIFO	80.814	Oct 31, 12	Dec 28, 12	794.41	800.06		-5 65	
	FIFO	79 331	Nov 30, 12	Dec 28, 12	779 82	776.65			3 17
FIRST TRUST PREFERRED SECURITIES AND INCOME FUND A	FIFO	2,378 497	Jan 09, 12	Mar 29, 12	50,376 56	48,592 69			1,783.87
	FIFO	318 257	Jan 09, 12	Aug 07, 12	7,046 21	6,501.99			544 22
	FIFO	4,072 081	Jan 09, 12	Dec 28, 12	90,074 43	83,192 61			6,881 82
	FIFO	20 647	Jan 31, 12	Dec 28, 12	456.71	428 01			28 70
	FIFO	29 891	Feb 29, 12	Dec 28, 12	661.19	633 39			27 80
	FIFO	30.004	Mar 30, 12	Dec 28, 12	663 69	634 88			28 81
	FIFO	19 547	Apr 30, 12	Dec 28, 12	432 38	416 16			16 22
	FIFO	19 831	May 31, 12	Dec 28, 12	438.66	418 83			19 83
	FIFO	19.353	Jun 29, 12	Dec 28, 12	428 09	419 96			8 13
	FIFO	19 105	Jul 31, 12	Dec 28, 12	422 60	421 65			0 95
	FIFO	18 041	Aug 31, 12	Dec 28, 12	399 07	400 69		-1 62	
	FIFO	17.742	Sep 28, 12	Dec 28, 12	392 45	394 76		-2 31	
	FIFO	17 682	Oct 31, 12	Dec 28, 12	391 13	396 43		-5 30	

continued next page

Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	17.914	Nov 30, 12	Dec 28, 12	396 26	398 05		-1.79	
	FIFO	17.250	Dec 21, 12	Dec 28, 12	381.57	380 71			0.86
	FIFO	2.261	Dec 21, 12	Dec 28, 12	50.01	49.90			0.11
GABELLI ABC ADVISOR FUND	FIFO	48 064	Dec 28, 11	Dec 28, 12	473.92	464 30			9 62
	FIFO	98 243	Dec 28, 11	Dec 28, 12	968 67	949 03			19 64
	FIFO	349.907	Dec 28, 11	Dec 28, 12	3,450 08	3,380 10			69.98
	FIFO	13 845	Dec 18, 12	Dec 28, 12	136.52	136 65		-0.13	
	FIFO	269.732	Dec 18, 12	Dec 28, 12	2,659.55	2,662 25		-2.70	
	FIFO	47.741	Dec 18, 12	Dec 28, 12	470.73	471 20		-0 47	
HARTFORD EMERGING MARKETS LOCAL DEBT FUND A	FIFO	14,417.382	Aug 07, 12	Dec 28, 12	148,931 56	140,425 30			8,506 26
	FIFO	45 853	Aug 15, 12	Dec 28, 12	473.66	442 02			31.64
	FIFO	43.005	Sep 26, 12	Dec 28, 12	444.24	424 89			19 35
	FIFO	49 230	Oct 31, 12	Dec 28, 12	508 55	493.28			15.27
	FIFO	35 566	Nov 20, 12	Dec 28, 12	367.40	355 30			12.10
	FIFO	47 003	Nov 20, 12	Dec 28, 12	485.54	469 56			15 98
	FIFO	49 641	Nov 28, 12	Dec 28, 12	512.79	497 40			15.39
	FIFO	49 488	Dec 20, 12	Dec 28, 12	511.21	510.22			0 99
ING GLOBAL BOND CLASS A	FIFO	4 542	Oct 25, 11	Jan 09, 12	51.23	53 28		-2.05	
	FIFO	2,101.412	Oct 25, 11	Mar 29, 12	24,271 31	24,649 56		-378 25	
	FIFO	78.083	Oct 25, 11	Aug 07, 12	896.39	915 92		-19 53	
	FIFO	3,747 420	Oct 25, 11	Oct 10, 12	43,507.54	43,957.23		-449.69	
	FIFO	21 104	Nov 02, 11	Oct 10, 12	245.02	247.34		-2 32	
	FIFO	21 388	Dec 02, 11	Oct 10, 12	248.31	247 03			1 28
	FIFO	78 308	Dec 19, 11	Oct 10, 12	909 16	881.75			27.41
	FIFO	65 151	Dec 19, 11	Oct 10, 12	756 40	733.60			22 80
	FIFO	22 333	Jan 04, 12	Oct 10, 12	259 29	253 26			6 03
	FIFO	21 930	Feb 01, 12	Oct 10, 12	254 61	254 61			
	FIFO	21 952	Mar 01, 12	Oct 10, 12	254.86	255.52		-0 66	

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Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	14 722	Apr 02, 12	Oct 10, 12	170 92	170 04			0.88
	FIFO	14.775	May 01, 12	Oct 10, 12	171.54	170 65			0 89
	FIFO	15.251	Jun 01, 12	Oct 10, 12	177 06	171 27			5 79
	FIFO	15 199	Jul 02, 12	Oct 10, 12	176 46	171 90			4 56
	FIFO	14 240	Aug 01, 12	Oct 10, 12	165 33	162.19			3 14
	FIFO	13.850	Sep 04, 12	Oct 10, 12	160 80	159 69			1 11
	FIFO	13.765	Oct 01, 12	Oct 10, 12	159 81	160 22		-0 41	
IVY ASSET STRATEGY FUND CLASS A	FIFO	75 200	Jan 09, 12	Dec 28, 12	1,910 83	1,707 05			203 78
	FIFO	154.885	Aug 07, 12	Dec 28, 12	3,935 63	3,807 08			128 55
	FIFO	101.553	Dec 13, 12	Dec 28, 12	2,580.46	2,584 52		-4.06	
JP MORGAN HIGHBRIDGE STAT MARKET NEUTRAL FUND A	FIFO	123.144	Apr 12, 11	Mar 29, 12	1,836 07	1,885 33		-49 26	
	FIFO	416.252	Jul 12, 11	Mar 29, 12	6,206 32	6,364 49		-158 17	
	FIFO	749 858	Jul 19, 11	Mar 29, 12	11,180 38	11,457 83		-277 45	
	FIFO	1,088 811	Oct 13, 11	Mar 29, 12	16,234 18	16,114 40			119 78
	FIFO	276.412	Oct 25, 11	Mar 29, 12	4,121.30	4,049 43			71 87
MARKETFIELD FUND	FIFO	202 156	Jan 09, 12	Mar 29, 12	3,036 38	2,856.46			179 92
MERGER FUND SBI	FIFO	1,035 323	Oct 13, 11	Aug 07, 12	16,451 29	16,275 28			176 01
	FIFO	95 632	Oct 25, 11	Aug 07, 12	1,519 59	1,514 81			4 78
	FIFO	62 294	Dec 29, 11	Aug 07, 12	989 85	970 54			19 31
	FIFO	276 827	Dec 29, 11	Aug 07, 12	4,398 78	4,312 97			85 81
	FIFO	68 494	Mar 29, 12	Aug 07, 12	1,088 37	1,079 46			8 91
OPPENHEIMER SENIOR FLOATING RATE FUND CLASS A	FIFO	540 749	Apr 12, 11	Jan 09, 12	4,374 66	4,547 70		-173.04	
	FIFO	5,806.718	Apr 12, 11	Mar 29, 12	47,847 36	48,834 50		-987 14	
	FIFO	79 160	Dec 29, 11	Dec 28, 12	657 03	638 03			19 00
	FIFO	75 745	Jan 31, 12	Dec 28, 12	628 68	620.35			8 33
	FIFO	68 695	Feb 29, 12	Dec 28, 12	570.17	564 67			5 50

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Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	76 370	Mar 30, 12	Dec 28, 12	633.87	630 05			3.82
	FIFO	48 213	Apr 30, 12	Dec 28, 12	400.17	397 76			2.41
	FIFO	51.165	May 31, 12	Dec 28, 12	424 67	417.51			7 16
	FIFO	50.011	Jun 29, 12	Dec 28, 12	415 09	408.09			7.00
	FIFO	49.233	Jul 31, 12	Dec 28, 12	408.63	403 22			5.41
	FIFO	54 576	Aug 31, 12	Dec 28, 12	452 98	449 16			3.82
	FIFO	43 831	Sep 28, 12	Dec 28, 12	363 80	363.36			0.44
	FIFO	50.669	Oct 31, 12	Dec 28, 12	420 55	419 54			1.01
	FIFO	53.778	Nov 30, 12	Dec 28, 12	446.36	445.28			1.08
PIMCO UNCONSTRAINED BOND FUND CLASS A	FIFO	17.255	Mar 31, 11	Mar 29, 12	190 67	192 74		-2.07	
	FIFO	165 296	Apr 12, 11	Mar 29, 12	1,826.52	1,851.32		-24.80	
	FIFO	16 662	Apr 30, 11	Mar 29, 12	184.12	186 11		-1.99	
	FIFO	19 942	May 31, 11	Mar 29, 12	220.36	221 76		-1.40	
	FIFO	36.148	Jun 22, 11	Mar 29, 12	399.43	400.88		-1 45	
	FIFO	17.365	Jun 30, 11	Mar 29, 12	191 89	192 75		-0.86	
	FIFO	579 220	Jul 12, 11	Mar 29, 12	6,400 38	6,429.34		-28 96	
	FIFO	1,078.037	Jul 19, 11	Mar 29, 12	11,912.31	11,944 65		-32 34	
	FIFO	13.404	Jul 31, 11	Mar 29, 12	148.11	148.65		-0 54	
	FIFO	10.985	Aug 31, 11	Mar 29, 12	121.39	120.84			0 55
	FIFO	12 122	Sep 30, 11	Mar 29, 12	133.94	132 61			1.33
	FIFO	1,363 478	Oct 13, 11	Mar 29, 12	15,066.44	14,807 37			259 07
	FIFO	257.108	Oct 25, 11	Mar 29, 12	2,841 04	2,802.48			38.56
	FIFO	12 217	Oct 31, 11	Mar 29, 12	135.00	133 90			1 10
	FIFO	16.018	Nov 30, 11	Mar 29, 12	177 00	174.76			2.24
	FIFO	112 155	Dec 28, 11	Mar 29, 12	1,239.31	1,220.25			19.06
	FIFO	9.421	Dec 30, 11	Mar 29, 12	104.10	102.59			1 51
	FIFO	4.969	Jan 31, 12	Mar 29, 12	54.91	54 71			0 20
	FIFO	15 478	Feb 29, 12	Mar 29, 12	171.03	170 72			0.31

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Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
PRINCIPAL INVESTORS PREFERRED SECURITIES FUND A	FIFO	54.649	Jan 31, 11	Jan 09, 12	521 35	544.85		-23 50	
	FIFO	52 271	Feb 28, 11	Jan 09, 12	498 67	527 41		-28 74	
	FIFO	51 320	Mar 31, 11	Jan 09, 12	489.59	520 90		-31 31	
	FIFO	50 556	Apr 29, 11	Jan 09, 12	482.30	518.20		-35 90	
	FIFO	48.334	May 31, 11	Jan 09, 12	461 11	498.32		-37 21	
	FIFO	48.871	Jun 30, 11	Jan 09, 12	466 23	497 51		-31 28	
	FIFO	496 003	Jul 12, 11	Jan 09, 12	4,731 87	5,064.19		-332.32	
	FIFO	1,051.772	Jul 19, 11	Jan 09, 12	10,033 90	10,696.52		-662.62	
	FIFO	56 243	Jul 29, 11	Jan 09, 12	536 56	567.49		-30.93	
	FIFO	72.875	Aug 16, 11	Jan 09, 12	695 23	719 28		-24.05	
	FIFO	60 837	Aug 31, 11	Jan 09, 12	580 38	597.42		-17 04	
	FIFO	69.001	Sep 30, 11	Jan 09, 12	658 27	649.99			8 28
	FIFO	1,792 801	Oct 13, 11	Jan 09, 12	17,103 32	16,780.62			322.70
	FIFO	4 674	Oct 25, 11	Jan 09, 12	44 59	44 64		-0.05	
	FIFO	78 259	Oct 31, 11	Jan 09, 12	746 59	758.33		-11 74	
	FIFO	80 809	Nov 30, 11	Jan 09, 12	770 92	757.99			12 93
PRUDENTIAL GLOBAL TOTAL RETURN FUND INC A	FIFO	6,622.685	Oct 10, 12	Dec 28, 12	47,882.01	47,683 33			198 68
	FIFO	10.385	Oct 31, 12	Dec 28, 12	75 08	74 77			0 31
	FIFO	23 221	Nov 30, 12	Dec 28, 12	167.89	167 42			0 47
PRUDENTIAL JENNISON NATURAL RESOURCES FUND INC A	FIFO	13 072	Jan 09, 12	Dec 28, 12	574.65	628 50		-53 85	
	FIFO	35 018	Mar 29, 12	Dec 28, 12	1,539 39	1,696 29		-156 90	
	FIFO	249.366	Aug 07, 12	Dec 28, 12	10,962 13	11,054.41		-92 28	
SPDR GOLD TRUST	FIFO	19 000	Jan 09, 12	Dec 28, 12	3,045 89	2,992 96			52.93
	FIFO	11 000	Aug 07, 12	Dec 28, 12	1,763.41	1,718 53			44.88

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Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
TURNER SPECTRUM INVESTOR CLASS	FIFO	132 915	Aug 16, 11	Aug 07, 12	1,431.49	1,541 81		-110.32	
	FIFO	1,499.368	Oct 13, 11	Aug 07, 12	16,148.20	17,257.72		-1,109.52	
	FIFO	297 200	Oct 25, 11	Aug 07, 12	3,200 84	3,399 97		-199 13	
	FIFO	705 558	Dec 16, 11	Aug 07, 12	7,598 86	7,605.92		-7.06	
	FIFO	182.894	Mar 29, 12	Aug 07, 12	1,969.77	2,024.64		-54.87	
WELLS FARGO ADVANTAGE ABSOLUTE RETURN FUND CL A	FIFO	99 108	Mar 29, 12	Aug 07, 12	997.03	992.07			4 96
	FIFO	11,667 871	Mar 29, 12	Dec 28, 12	119,595.68	116,795 39			2,800 29
Total					**$1,195,632.49**	**$1,174,736.11**		**-$6,762.90**	**$27,659.28**
Net short-term capital gains and losses									**$20,896.38**

Long-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
ALTEGRIS MANAGED FUTURES STRATEGY FUND CLASS A	FIFO	5,336.192	Aug 16, 11	Dec 28, 12	49,786 67	52,561 49		-2,774 82	
	FIFO	1,627.103	Oct 13, 11	Dec 28, 12	15,180 87	15,815.44		-634.57	
	FIFO	289 209	Oct 25, 11	Dec 28, 12	2,698 32	2,816.90		-118.58	
BLACKROCK GLOBAL ALLOCATION FUND INC A	FIFO	1,172 263	Aug 02, 10	Mar 29, 12	22,941.19	21,112.46			1,828.73
	FIFO	2,232 671	Oct 27, 10	Mar 29, 12	43,693.37	42,063 52			1,629 85
	FIFO	12 324	Nov 24, 10	Mar 29, 12	241 18	233 66			7.52
	FIFO	31.287	Dec 21, 10	Mar 29, 12	612 28	597.58			14.70
	FIFO	234 080	Dec 21, 10	Mar 29, 12	4,580 95	4,494.34			86 61
EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND A	FIFO	337.468	Aug 02, 10	Jan 09, 12	3,347.68	3,489 42		-141 74	
	FIFO	149.693	Aug 02, 10	Aug 07, 12	1,472 98	1,547.83		-74.85	
	FIFO	4,518 160	Aug 02, 10	Dec 28, 12	44,413.51	46,717.77		-2,304 26	
	FIFO	18.716	Aug 31, 10	Dec 28, 12	183.98	193 90		-9.92	

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	12.002	Sep 30, 10	Dec 28, 12	117 98	124 34		-6 36	
	FIFO	39 923	Oct 21, 10	Dec 28, 12	392.44	412 01		-19 57	
	FIFO	9,197.295	Oct 27, 10	Dec 28, 12	90,409 41	94,732.14		-4,322 73	
	FIFO	20.786	Oct 29, 10	Dec 28, 12	204 33	214 51		-10 18	
	FIFO	53 338	Nov 30, 10	Dec 28, 12	524 31	550 98		-26 67	
	FIFO	1,212 083	Dec 21, 10	Dec 28, 12	11,914.78	12,448.09		-533 31	
	FIFO	57.261	Dec 31, 10	Dec 28, 12	562 87	588 64		-25 77	
	FIFO	61 834	Jan 31, 11	Dec 28, 12	607.83	632 56		-24 73	
	FIFO	56 082	Feb 28, 11	Dec 28, 12	551 29	573 72		-22.43	
	FIFO	54 732	Mar 31, 11	Dec 28, 12	538.01	558 27		-20 26	
	FIFO	390 855	Apr 12, 11	Dec 28, 12	3,842.11	3,986 72		-144 61	
	FIFO	53 392	Apr 29, 11	Dec 28, 12	524.84	547.80		-22.96	
	FIFO	49 239	May 31, 11	Dec 28, 12	484.02	503.71		-19 69	
	FIFO	48 065	Jun 30, 11	Dec 28, 12	472 48	488.82		-16 34	
	FIFO	708.351	Jul 12, 11	Dec 28, 12	6,963 09	7,196 85		-233 76	
	FIFO	1,542 873	Jul 19, 11	Dec 28, 12	15,166 44	15,691 02		-524.58	
	FIFO	51 632	Jul 31, 11	Dec 28, 12	507 54	525.10		-17 56	
	FIFO	56 538	Aug 31, 11	Dec 28, 12	555 77	572 16		-16 39	
	FIFO	55.831	Sep 30, 11	Dec 28, 12	548 82	549 94		-1.12	
	FIFO	2,017 615	Oct 13, 11	Dec 28, 12	19,833 16	19,913 86		-80 70	
	FIFO	295 958	Oct 25, 11	Dec 28, 12	2,909 26	2,941.82		-32 56	
	FIFO	59 835	Oct 31, 11	Dec 28, 12	588 18	595 96		-7 78	
	FIFO	62.763	Nov 30, 11	Dec 28, 12	616 96	621.35		-4 39	
FRANKLIN/TEMPLETON GLOBAL BOND FUND CLASS A	FIFO	1,848 201	Oct 27, 10	Mar 29, 12	24,192 95	25,190 98		-998 03	
	FIFO	27 100	Nov 17, 10	Mar 29, 12	354 74	368 29		-13 55	
	FIFO	68 665	Nov 24, 10	Mar 29, 12	898 82	930 41		-31 59	
	FIFO	84.439	Dec 17, 10	Mar 29, 12	1,105 31	1,133 17		-27.86	
	FIFO	16 698	Dec 17, 10	Aug 07, 12	221 25	224 09		-2 84	

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	89 409	Dec 21, 10	Aug 07, 12	1,184.67	1,203 45		-18 78	
GABELLI ABC ADVISOR FUND	FIFO	4,876 637	Aug 02, 10	Jan 09, 12	47,547.21	47,547.21			
	FIFO	2,332.993	Oct 27, 10	Jan 09, 12	22,746.68	23,143 29		-396 61	
	FIFO	53.593	Oct 27, 10	Mar 29, 12	534 86	531 64			3 22
	FIFO	25.059	Oct 27, 10	Aug 07, 12	249.84	248 59			1.25
	FIFO	6,057.326	Oct 27, 10	Dec 28, 12	59,725.23	60,088 67		-363.44	
	FIFO	3.392	Nov 24, 10	Dec 28, 12	33.45	33.75		-0.30	
	FIFO	1,037 111	Dec 21, 10	Dec 28, 12	10,225.91	10,360 74		-134 83	
	FIFO	11.892	Dec 29, 10	Dec 28, 12	117 26	116 42			0 84
	FIFO	327.013	Dec 29, 10	Dec 28, 12	3,224 35	3,201 46			22 89
	FIFO	68.160	Apr 12, 11	Dec 28, 12	672 05	682.96		-10 91	
	FIFO	690 943	Jul 12, 11	Dec 28, 12	6,812 70	6,978.52		-165 82	
	FIFO	1,398.665	Jul 19, 11	Dec 28, 12	13,790.84	14,126 52		-335 68	
	FIFO	1,554 444	Oct 13, 11	Dec 28, 12	15,326.82	15,373 45		-46 63	
	FIFO	134.729	Oct 25, 11	Dec 28, 12	1,328.42	1,343 25		-14 83	
IVY ASSET STRATEGY FUND CLASS A	FIFO	372.819	Aug 02, 10	Mar 29, 12	9,432 31	8,224 39			1,207 92
	FIFO	599 750	Aug 02, 10	Dec 28, 12	15,239.65	13,230.48			2,009 17
	FIFO	1,779.269	Oct 27, 10	Dec 28, 12	45,211.23	41,706 07			3,505 16
	FIFO	5 398	Dec 09, 10	Dec 28, 12	137 16	130.74			6.42
	FIFO	155 817	Dec 21, 10	Dec 28, 12	3,959 31	3,792 59			166.72
	FIFO	49 938	Jun 22, 11	Dec 28, 12	1,268.92	1,247 96			20 96
	FIFO	16 116	Jul 12, 11	Dec 28, 12	409 51	418.21		-8 70	
	FIFO	235 090	Jul 19, 11	Dec 28, 12	5,973 64	6,267.49		-293 85	
	FIFO	152 944	Aug 16, 11	Dec 28, 12	3,886.30	3,741 01			145 29
	FIFO	575 850	Oct 13, 11	Dec 28, 12	14,632.35	13,238.79			1,393 56
	FIFO	48.620	Dec 08, 11	Dec 28, 12	1,235 44	1,105 62			129 82
IVY HIGH INCOME FUND CLASS A	FIFO	3,869 456	Dec 21, 10	Jan 09, 12	31,033.04	32,000 40		-967 36	
	FIFO	547 267	Dec 21, 10	Mar 29, 12	4,542.32	4,525 90			16 42

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	719 906	Dec 21, 10	Aug 07, 12	6,054 41	5,953 62			100 79
JP MORGAN HIGHBRIDGE STAT MARKET NEUTRAL FUND A	FIFO	148.567	Aug 02, 10	Jan 09, 12	2,197 30	2,280 50		-83 20	
	FIFO	2,668 737	Aug 02, 10	Mar 29, 12	39,790 87	40,965 11		-1,174 24	
	FIFO	4,816 396	Oct 27, 10	Mar 29, 12	71,812 46	73,498.20		-1,685.74	
	FIFO	89 344	Nov 24, 10	Mar 29, 12	1,332 12	1,348 20		-16 08	
	FIFO	688.172	Dec 21, 10	Mar 29, 12	10,260 65	10,315.70		-55 05	
MERGER FUND SBI	FIFO	3,077.138	Oct 21, 10	Jan 09, 12	47,911 04	49,049 58		-1,138 54	
	FIFO	1,551 843	Oct 27, 10	Jan 09, 12	24,162 19	24,782 93		-620 74	
	FIFO	3,706.852	Oct 27, 10	Aug 07, 12	58,901 88	59,198.43		-296.55	
	FIFO	12 371	Nov 24, 10	Aug 07, 12	196 57	197 82		-1 25	
	FIFO	637.049	Dec 21, 10	Aug 07, 12	10,122 71	10,231.00		-108.29	
	FIFO	166 146	Dec 29, 10	Aug 07, 12	2,640 06	2,621 78			18 28
	FIFO	45 414	Apr 12, 11	Aug 07, 12	721 63	735 25		-13 62	
	FIFO	521 106	Jul 12, 11	Aug 07, 12	8,280 37	8,395 01		-114 64	
	FIFO	841.621	Jul 19, 11	Aug 07, 12	13,373 36	13,592 18		-218 82	
OPPENHEIMER SENIOR FLOATING RATE FUND CLASS A	FIFO	289 632	Apr 12, 11	Aug 07, 12	2,374.98	2,435 80		-60.82	
	FIFO	6,682.877	Apr 12, 11	Dec 28, 12	55,467 88	56,203.00		-735 12	
	FIFO	21.552	Apr 30, 11	Dec 28, 12	178 88	181.47		-2.59	
	FIFO	57 611	May 31, 11	Dec 28, 12	478 17	483 93		-5 76	
	FIFO	58.629	Jun 30, 11	Dec 28, 12	486.62	489 55		-2 93	
	FIFO	621.802	Jul 12, 11	Dec 28, 12	5,160.96	5,185 83		-24 87	
	FIFO	1,230 323	Jul 19, 11	Dec 28, 12	10,211 68	10,260 89		-49 21	
	FIFO	57.169	Jul 31, 11	Dec 28, 12	474 50	476 22		-1.72	
	FIFO	266 890	Aug 16, 11	Dec 28, 12	2,215 19	2,129 78			85 41
	FIFO	71 065	Aug 31, 11	Dec 28, 12	589 84	564 26			25 58
	FIFO	68 849	Sep 30, 11	Dec 28, 12	571 44	545 97			25 47

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	1,508.600	Oct 13, 11	Dec 28, 12	12,521.38	11,948.11			573 27
	FIFO	123.123	Oct 25, 11	Dec 28, 12	1,021.92	987 45			34.47
	FIFO	69 660	Oct 31, 11	Dec 28, 12	578.18	563 55			14 63
	FIFO	79 949	Nov 30, 11	Dec 28, 12	663.58	641 19			22 39
PIMCO UNCONSTRAINED BOND FUND CLASS A	FIFO	294.163	Nov 24, 10	Jan 09, 12	3,209.32	3,294.63		-85 31	
	FIFO	10,033.142	Nov 24, 10	Mar 29, 12	110,866.22	112,371 19		-1,504 97	
	FIFO	0.518	Nov 30, 10	Mar 29, 12	5.73	5.81		-0 08	
	FIFO	3.006	Dec 08, 10	Mar 29, 12	33.21	33.34		-0.13	
	FIFO	19.618	Dec 08, 10	Mar 29, 12	216.78	217 56		-0.78	
	FIFO	961 690	Dec 21, 10	Mar 29, 12	10,626.68	10,645.91		-19.23	
	FIFO	17 186	Dec 31, 10	Mar 29, 12	189.90	190.76		-0 86	
	FIFO	16 150	Jan 31, 11	Mar 29, 12	178 46	179.59		-1 13	
	FIFO	13.520	Feb 28, 11	Mar 29, 12	149 39	150.88		-1 49	
PRINCIPAL INVESTORS PREFERRED SECURITIES FUND A	FIFO	3,282.095	Oct 21, 10	Jan 09, 12	31,311.19	33,071 54	-77 62	-1,760.35	
	FIFO	6,226 374	Oct 27, 10	Jan 09, 12	59,399.61	63,010 90		-3,611.29	
	FIFO	18.258	Oct 29, 10	Jan 09, 12	174.18	184 59		-10 41	
	FIFO	30.608	Nov 01, 10	Jan 09, 12	292.00	309 45		-17 45	
	FIFO	50.476	Nov 30, 10	Jan 09, 12	481.54	504.76		-23.22	
	FIFO	36.751	Dec 10, 10	Jan 09, 12	350.60	364 94		-14.34	
	FIFO	21.202	Dec 10, 10	Jan 09, 12	202.27	210.54		-8 27	
	FIFO	975 103	Dec 21, 10	Jan 09, 12	9,302 48	9,604 76		-302.28	
	FIFO	60 372	Dec 31, 10	Jan 09, 12	575 95	598.29		-22.34	
	FIFO	52.573	Dec 19, 11	Jan 09, 12	501 55	525 73	29.44	-24 18	
	FIFO	86 034	Dec 27, 11	Jan 09, 12	820 76	856 04	48 18	-35 28	
PRUDENTIAL JENNISON NATURAL RESOURCES FUND INC A	FIFO	343 741	Aug 02, 10	Dec 28, 12	15,110.85	15,423 66		-312 81	
	FIFO	1,051 318	Oct 27, 10	Dec 28, 12	46,215 95	52,324 11		-6,108 16	

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	17 258	Nov 30, 10	Dec 28, 12	758 66	905 18		-146 52	
	FIFO	18 147	Dec 21, 10	Dec 28, 12	797 74	1,017 87		-220 13	
	FIFO	180 449	Jun 22, 11	Dec 28, 12	7,932.54	9,776 73		-1,844.19	
	FIFO	37 231	Jul 12, 11	Dec 28, 12	1,636 67	2,076 37		-439.70	
	FIFO	88 510	Jul 19, 11	Dec 28, 12	3,890 90	5,205 29		-1,314 39	
	FIFO	145.124	Aug 16, 11	Dec 28, 12	6,379 65	7,433.26		-1,053.61	
	FIFO	507.202	Oct 13, 11	Dec 28, 12	22,296 60	23,072 63		-776 03	
PRUDENTIAL JENNISON MARKET NEUTRAL FUND CLASS A	FIFO	2,736 275	Oct 21, 10	Mar 29, 12	26,842.85	26,788 13			54 72
	FIFO	835 493	Oct 27, 10	Mar 29, 12	8,196 19	8,254 67		-58 48	
SPDR GOLD TRUST	FIFO	2 000	Oct 21, 10	Mar 29, 12	322 39	257 99			64 40
	FIFO	44.000	Oct 21, 10	Dec 28, 12	7,053.64	5,675 76			1,377 88
	FIFO	243 000	Oct 27, 10	Dec 28, 12	38,955 35	31,448 89			7,506 46
	FIFO	28 000	Dec 21, 10	Dec 28, 12	4,488 68	3,778 60			710 08
	FIFO	19 000	Jul 12, 11	Dec 28, 12	3,045 89	2,875.46			170 43
	FIFO	21 000	Jul 19, 11	Dec 28, 12	3,366.51	3,275 16			91 35
	FIFO	64 000	Oct 13, 11	Dec 28, 12	10,259.85	10,316 16		-56 31	
TURNER SPECTRUM INVESTOR CLASS	FIFO	2,147 747	Oct 21, 10	Jan 09, 12	23,582 26	23,281.58			300.68
	FIFO	2,234 810	Oct 21, 10	Aug 07, 12	24,068 90	24,225 34		-156 44	
	FIFO	7,716 552	Oct 27, 10	Aug 07, 12	83,107 27	83,878.92		-771 65	
	FIFO	535.780	Dec 21, 10	Aug 07, 12	5,770 35	6,129 32		-358 97	
	FIFO	70.286	Apr 12, 11	Aug 07, 12	756 98	820 94		-63 96	
	FIFO	476 150	Jul 12, 11	Aug 07, 12	5,128 14	5,661 42		-533 28	
	FIFO	1,047 251	Jul 19, 11	Aug 07, 12	11,278 89	12,577 49		-1,298 60	
Total					**$1,676,127.78**	**$1,698,145.64**		**-$45,391.20**	**$23,373.34**
Net long-term capital gains or losses								**-$22,017.86**	
Net capital gains/losses:								**-$1,121.48**	

Realized gains and losses

Estimated 2012 gains and losses for transactions with trade dates through 12/31/12 have been incorporated into this statement Please note that gain or loss recognized on the sale or redemption of certain Structured Products, like Contingent Debt Securities, may be ordinary, and not capital, gain or loss Please check with your tax advisor To calculate gains and losses, we liquidate the oldest security lot first This is known as the first-in, first-out or FIFO accounting method We use this method unless you specified which tax lot to close when you placed your order This is known as a versus purchases or VSP order

See Important information about your statement on the last page of this statement for more information We may not adjust gains and losses for all capital changes Cost basis for coupon tax-exempt municipal securities, include securities subject to AMT, has been adjusted for mandatory amortization of bond premium Estimates in the Unclassified section can not be classified as short term or long term because information is missing, or the product is one in which the gain/loss calculation is not provided

Short-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
BLACKROCK EMERGING MARKETS LONG/SHORT EQUITY FUND A	FIFO	3,214.551	Oct 09, 12	Nov 29, 12	34,685 00	33,913 51			771.49
BLACKROCK INFLATION PROTECTED BOND A	FIFO	319 203	Mar 31, 11	Mar 29, 12	3,741 05	3,488 89			252.16
	FIFO	245 674	Apr 30, 11	Mar 29, 12	2,879.30	2,726.98			152.32
	FIFO	310.947	May 31, 11	Mar 29, 12	3,644.30	3,423.53			220.77
	FIFO	225 126	Jun 30, 11	Mar 29, 12	2,638 48	2,478 64			159 84
	FIFO	167 277	Jul 31, 11	Mar 29, 12	1,960.49	1,896.92			63.57
	FIFO	5.077	Aug 31, 11	Mar 29, 12	59 50	57.98			1.52
	FIFO	27.126	Sep 30, 11	Mar 29, 12	317 92	308 69			9.23
	FIFO	2,845.381	Oct 13, 11	Mar 29, 12	33,347.86	32,295.07			1,052.79
	FIFO	93.648	Oct 25, 11	Mar 29, 12	1,097 56	1,078 82			18 74
	FIFO	94.692	Oct 31, 11	Mar 29, 12	1,109.79	1,096.53			13.26
	FIFO	57.457	Nov 30, 11	Mar 29, 12	673.39	667 08			6.31
	FIFO	165 934	Dec 22, 11	Mar 29, 12	1,944.75	1,928.15			16.60
	FIFO	1.955	Dec 30, 11	Mar 29, 12	22 91	22 60			0.31
	FIFO	861 866	Feb 23, 12	Mar 29, 12	10,101 07	10,170 02		-68 95	
DELAWARE DIVERSIFIED INCOME FUND CLASS A	FIFO	307 375	Feb 23, 12	Mar 29, 12	2,830.92	2,832 36	-10.86	-1 44	
	FIFO	21,415 377	Feb 23, 12	May 08, 12	199,377.16	198,092.24			1,284 92
	FIFO	1,093 296	Feb 23, 12	Nov 29, 12	10,331.65	10,112 98			218 67
	FIFO	1.311	Feb 23, 12	Dec 28, 12	12.26	12 13			0.13

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Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND A	FIFO	419.133	May 31, 11	May 08, 12	4,166 18	4,287 73		-121 55	
	FIFO	409.259	Jun 30, 11	May 08, 12	4,068 03	4,162 16		-94 13	
	FIFO	415 814	Jul 31, 11	May 08, 12	4,133.19	4,228 83		-95 64	
	FIFO	8,614.773	Aug 05, 11	May 08, 12	85,630 85	87,095 35		-1,464 50	
FT-FRANK/TEMP HARD CURRENCY A	FIFO	1,820.286	Oct 09, 12	Nov 29, 12	17,420 14	17,292 72			127 42
	FIFO	44,566.535	Oct 09, 12	Dec 28, 12	428,284 40	423,382 08			4,902 32
	FIFO	2.774	Dec 17, 12	Dec 28, 12	26 66	26 74		-0.08	
INVESCO BALANCED-RISK ALLOCATION FUND A	FIFO	3,981.180	Oct 25, 11	Jan 03, 12	47,455 67	47,376 04			79 63
	FIFO	287.475	Oct 25, 11	Feb 23, 12	3,587 69	3,420.95			166.74
	FIFO	882 315	Oct 25, 11	Mar 29, 12	10,949 53	10,499 55			449 98
	FIFO	18,373.211	Oct 25, 11	Oct 09, 12	239,035 48	218,641 21			20,394 27
ISHARES BARCLAYS TIPS BOND FUND	FIFO	63 000	Mar 29, 12	May 08, 12	7,530 68	7,438 91			91.77
	FIFO	3,553.000	Mar 29, 12	Oct 09, 12	435,303 80	419,530 87			15,772.93
ISHARES TR CORE TOTAL US BOND MKT ETF	FIFO	64.000	Feb 23, 12	Mar 29, 12	7,035 47	7,066 24		-30 77	
	FIFO	4,740 000	Feb 23, 12	May 08, 12	525,415.12	523,343 40			2,071.72
	FIFO	217.000	Feb 23, 12	Nov 29, 12	24,356 98	23,958.97			398 01
	FIFO	2,237.000	Feb 23, 12	Dec 28, 12	248,681 72	246,987 17			1,694 55
MANNING & NAPIER PRO-BLEND CNSRV TERM CLASS S	FIFO	64,417 685	Jan 03, 12	Mar 29, 12	854,178 50	825,190 54			28,987 96
	FIFO	1,010 230	Feb 23, 12	Mar 29, 12	13,395 65	13,335 04			60 61
PERMANENT PORTFOLIO FUND INC	FIFO	1,443 157	Aug 05, 11	Feb 23, 12	71,739 31	69,819 94			1,919 37
PIMCO TOTAL RETURN ETF	FIFO	20 000	Sep 12, 12	Oct 09, 12	2,181 75	2,151.60			30 15
	FIFO	103 000	Sep 12, 12	Nov 29, 12	11,356 11	11,080 73			275 38

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Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
PIMCO TOTAL RETURN FUND CLASS A	FIFO	385.657	Feb 23, 12	Mar 29, 12	4,284.65	4,280.79			3.86
	FIFO	17,917 285	Feb 23, 12	May 08, 12	201,927.80	198,881.87			3,045.93
	FIFO	22,433.255	Feb 23, 12	Sep 12, 12	257,533.77	249,009.13			8,524.64
	FIFO	4.689	Feb 29, 12	Sep 12, 12	53 83	52 14			1.69
	FIFO	113.119	Mar 30, 12	Sep 12, 12	1,298.61	1,254 49			44.12
	FIFO	102.950	Apr 30, 12	Sep 12, 12	1,181.86	1,155 10			26.76
	FIFO	79 564	May 31, 12	Sep 12, 12	913.40	897 48			15 92
	FIFO	56.181	Jun 29, 12	Sep 12, 12	644 95	634.85			10.10
	FIFO	43 740	Jul 31, 12	Sep 12, 12	502 14	501.70			0.44
	FIFO	46.676	Aug 31, 12	Sep 12, 12	535.84	536 77		-0 93	
PIMCO UNCONSTRAINED BOND FUND CLASS A	FIFO	3,918.247	Oct 13, 11	Jan 03, 12	42,591.35	42,552 16			39 19
	FIFO	111,847 647	Oct 13, 11	Feb 23, 12	1,233,679.55	1,214,665 45			19,014.10
	FIFO	800.445	Oct 25, 11	Feb 23, 12	8,828.91	8,724 85			104.06
	FIFO	53.532	Oct 31, 11	Feb 23, 12	590.45	586.71			3.74
	FIFO	124 867	Nov 30, 11	Feb 23, 12	1,377.29	1,362.30			14 99
	FIFO	874.405	Dec 28, 11	Feb 23, 12	9,644.69	9,513 53			131 16
	FIFO	73 452	Dec 30, 11	Feb 23, 12	810.17	799.89			10 28
	FIFO	38.077	Jan 31, 12	Feb 23, 12	419.99	419.23			0.76
PRUDENTIAL TOTAL RETURN BOND FUND INC A	FIFO	218 040	Feb 23, 12	Mar 29, 12	3,098.35	3,104.28	-4 97	-5.93	
	FIFO	13,880 279	Feb 23, 12	May 08, 12	199,043.20	197,932.78			1,110 42
	FIFO	114.670	Feb 23, 12	Oct 09, 12	1,687.94	1,635.19			52 75
	FIFO	698 796	Feb 23, 12	Nov 29, 12	10,328 20	9,964 83			363.37
	FIFO	75.626	Feb 23, 12	Dec 28, 12	1,111 70	1,078 43			33 27
SPDR GOLD TRUST	FIFO	219.000	Aug 05, 11	Feb 23, 12	37,998 37	35,433 58			2,564.79
STADION MANAGED PORTFOLIO FUND CLASS A	FIFO	471 634	Apr 12, 11	Jan 03, 12	4,140 95	4,838 96		-698 01	
	FIFO	1,827.577	Jun 30, 11	Jan 03, 12	16,046.13	18,129.56		-2,083 43	
	FIFO	40,808 678	Aug 05, 11	Jan 03, 12	358,300.19	392,987.57		-34,687.38	

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Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	13,129 490	Oct 13, 11	Jan 03, 12	115,276 92	122,366.85		-7,089.93	
WELLS FARGO ADVANTAGE ABSOLUTE RETURN FUND CL A	FIFO	21,392 178	Mar 29, 12	Oct 09, 12	217,130 61	214,135 70			2,994 91
	FIFO	3,059.957	Mar 29, 12	Nov 29, 12	31,089 16	30,630.17			458 99
	FIFO	2,263 380	Mar 29, 12	Dec 28, 12	23,199 64	22,656 44			543 20
Total					**$6,141,978.88**	**$6,067,642.67**		**-$46,442.67**	**$120,778.88**
Net short-term capital gains and losses									**$74,336.21**

Long-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
BLACKROCK INFLATION PROTECTED BOND A	FIFO	1,631 329	Jan 25, 10	Jan 03, 12	18,825.54	17,618 35			1,207 19
	FIFO	2,789 702	Jan 25, 10	Mar 29, 12	32,695.31	30,128 78			2,566 53
	FIFO	51 077	Jan 29, 10	Mar 29, 12	598 62	553 67			44 95
	FIFO	2.273	Feb 26, 10	Mar 29, 12	26 64	24.43			2 21
	FIFO	23,683 771	Mar 31, 10	Mar 29, 12	277,573 80	254,126 86			23,446.94
	FIFO	102 137	Mar 31, 10	Mar 29, 12	1,197 04	1,095 93			101 11
	FIFO	53 133	Apr 30, 10	Mar 29, 12	622.72	581 81			40.91
	FIFO	286 810	May 28, 10	Mar 29, 12	3,361 41	3,131 97			229 44
	FIFO	147 676	Jun 30, 10	Mar 29, 12	1,730.77	1,628.87			101 90
	FIFO	91 900	Jul 30, 10	Mar 29, 12	1,077.06	1,012 74			64 32
	FIFO	2 632	Aug 31, 10	Mar 29, 12	30.85	29 50			1 35
	FIFO	103 834	Oct 29, 10	Mar 29, 12	1,216 94	1,198 24			18.70
	FIFO	1,194 516	Nov 24, 10	Mar 29, 12	13,999 72	13,474 14			525 58
	FIFO	59 833	Nov 30, 10	Mar 29, 12	701 25	678 51			22 74
	FIFO	482 235	Dec 23, 10	Mar 29, 12	5,651 79	5,188 85			462 94
	FIFO	1,792 097	Dec 23, 10	Mar 29, 12	21,003.38	19,282 96			1,720 42
	FIFO	109 343	Dec 31, 10	Mar 29, 12	1,281 50	1,179 81			101 69

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	59.133	Jan 31, 11	Mar 29, 12	693.04	636 86			56 18
	FIFO	133 448	Feb 28, 11	Mar 29, 12	1,564 01	1,450.58			113.43
EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND A	FIFO	3,330.983	Nov 19, 09	Jan 03, 12	32,910.11	34,642.22		-1,732.11	
	FIFO	67,693.331	Nov 19, 09	Feb 23, 12	678,964.11	704,010.64		-25,046.53	
	FIFO	89 512	Nov 30, 09	Feb 23, 12	897.80	932.72		-34.92	
	FIFO	657 435	Dec 31, 09	Feb 23, 12	6,594 08	6,771 58		-177.50	
	FIFO	11,228.604	Jan 25, 10	Feb 23, 12	112,622.90	116,440 62		-3,817.72	
	FIFO	360 198	Jan 29, 10	Feb 23, 12	3,612 78	3,735.25		-122.47	
	FIFO	299 507	Feb 26, 10	Feb 23, 12	3,004 06	3,111 88		-107 82	
	FIFO	41,340 704	Mar 31, 10	Feb 23, 12	414,647.26	428,289 69		-13,642.43	
	FIFO	333.699	Mar 31, 10	Feb 23, 12	3,347.00	3,457.12		-110 12	
	FIFO	454.720	Apr 30, 10	Feb 23, 12	4,560 84	4,733.64		-172 80	
	FIFO	493.921	May 28, 10	Feb 23, 12	4,954 03	5,126.90		-172 87	
	FIFO	478.994	Jun 30, 10	Feb 23, 12	4,804 31	4,981.54		-177.23	
	FIFO	499 683	Jul 30, 10	Feb 23, 12	5,011.82	5,166 72		-154 90	
	FIFO	176.711	Aug 31, 10	Feb 23, 12	1,772.41	1,830.73		-58 32	
	FIFO	323.861	Aug 31, 10	Mar 29, 12	3,225.65	3,355 20		-129.55	
	FIFO	168.590	Sep 30, 10	Mar 29, 12	1,679 16	1,746 59		-67 43	
	FIFO	317.748	Sep 30, 10	May 08, 12	3,158 42	3,291 87		-133 45	
	FIFO	39 953	Oct 21, 10	May 08, 12	397.13	412.32		-15.19	
	FIFO	506.388	Oct 29, 10	May 08, 12	5,033.49	5,225 92		-192.43	
	FIFO	491 583	Nov 30, 10	May 08, 12	4,886.34	5,078 05		-191 71	
	FIFO	512.107	Dec 31, 10	May 08, 12	5,090 34	5,264 46		-174 12	
	FIFO	516.478	Jan 31, 11	May 08, 12	5,133.80	5,283.57		-149.77	
	FIFO	468 418	Feb 28, 11	May 08, 12	4,656.07	4,791.92		-135 85	
	FIFO	457.128	Mar 31, 11	May 08, 12	4,543 85	4,662 71		-118.86	
	FIFO	5,895 470	Apr 12, 11	May 08, 12	58,600.98	60,133 79		-1,532 81	
	FIFO	449.661	Apr 29, 11	May 08, 12	4,469.63	4,613.52		-143 89	

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	273 940	Aug 05, 11	Nov 29, 12	2,681 87	2,769 54		-87 67	
	FIFO	222.429	Aug 05, 11	Dec 28, 12	2,186.48	2,248.76		-62.28	
INVESCO BALANCED-RISK ALLOCATION FUND A	FIFO	2,579 204	Oct 25, 11	Nov 29, 12	33,684 41	30,692 53			2,991 88
	FIFO	801 840	Oct 25, 11	Dec 28, 12	9,950 84	9,541 90			408 94
PERMANENT PORTFOLIO FUND INC	FIFO	5,126 419	Aug 05, 11	Oct 09, 12	253,040.02	248,016 15			5,023 87
	FIFO	1,239 838	Aug 05, 11	Nov 29, 12	61,173 63	59,983.36			1,190 27
	FIFO	35,331.744	Aug 05, 11	Dec 28, 12	1,704,050.01	1,709,349 78		-5,299 77	
SPDR GOLD TRUST	FIFO	219 000	Aug 05, 11	Oct 09, 12	37,452 93	35,433 59			2,019.34
	FIFO	37 000	Aug 05, 11	Nov 29, 12	6,188 11	5,986 49			201 62
STADION MANAGED PORTFOLIO FUND CLASS A	FIFO	8,390 054	Jan 25, 10	Jan 03, 12	73,664 67	76,392.82	-376.17	-2,728.15	
	FIFO	22,954 922	Mar 31, 10	Jan 03, 12	201,544.21	220,137.70		-18,593 49	
	FIFO	797 109	Dec 31, 10	Jan 03, 12	6,998 62	8,202 25		-1,203.63	
	FIFO	1,016.666	Dec 30, 11	Jan 03, 12	8,926 33	9,302.50	376 17	-376 17	
Total					**$4,163,971.89**	**$4,198,171.40**		**-$76,863.96**	**$42,664.45**
Net long-term capital gains or losses								**-$34,199.51**	
Net capital gains/losses:									**$40,136.70**

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	AMOUNT
INTEREST INCOME	345.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	345.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
DIVIDENDS	258,646.	0.	258,646.
TOTAL TO FM 990-PF, PART I, LN 4	258,646.	0.	258,646.

FORM 990-PF OTHER INCOME STATEMENT 3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME
ORDINARY INCOME FROM K-1	-153.	-153.	
TOTAL TO FORM 990-PF, PART I, LINE 11	-153.	-153.	

FORM 990-PF ACCOUNTING FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	4,585.	1,528.		3,057.
TO FORM 990-PF, PG 1, LN 16B	4,585.	1,528.		3,057.

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
MANAGEMENT FEES	117,487.	117,487.		0.
TO FORM 990-PF, PG 1, LN 16C	117,487.	117,487.		0.

FORM 990-PF TAXES STATEMENT 6

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
PAYROLL TAXES	5,814.	1,938.		3,876.
TO FORM 990-PF, PG 1, LN 18	5,814.	1,938.		3,876.

FORM 990-PF OTHER EXPENSES STATEMENT 7

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
OFFICE EXPENSES	247.	82.		165.
EXPENSES FROM K-1	13,517.	13,517.		0.
DUES	695.	232.		463.
TO FORM 990-PF, PG 1, LN 23	14,459.	13,831.		628.

FORM 990-PF OTHER INCREASES IN NET ASSETS OR FUND BALANCES STATEMENT 8

DESCRIPTION	AMOUNT
INCREASE IN UNREALIZED APPRECIATION	460,958.
TOTAL TO FORM 990-PF, PART III, LINE 3	460,958.

FORM 990-PF CORPORATE STOCK STATEMENT 9

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
INVESTMENTS	11,613,283.	11,613,283.
TOTAL TO FORM 990-PF, PART II, LINE 10B	11,613,283.	11,613,283.

Form **8868**
(Rev January 2013)
Department of the Treasury
Internal Revenue Service

Application for Extension of Time To File an Exempt Organization Return

▶ **File a separate application for each return.**

OMB No. 1545-1709

- If you are filing for an **Automatic 3-Month Extension, complete only Part I** and check this box ▶ ☒
- If you are filing for an **Additional (Not Automatic) 3-Month Extension, complete only Part II** (on page 2 of this form)

Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868.

Electronic filing *(e-file)*. You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions) For more details on the electronic filing of this form, visit *www.irs.gov/efile* and click on *e-file for Charities & Nonprofits.*

Part I **Automatic 3-Month Extension of Time.** Only submit original (no copies needed).

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete Part I only ▶ ☐

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns.

Type or print File by the due date for filing your return See instructions	Name of exempt organization or other filer, see instructions ALBERTA B. FARRINGTON FOUNDATION	Employer identification number (EIN) or 86-0717723
	Number, street, and room or suite no. If a P O box, see instructions 5825 E. PINNACLE VISTA DR.	Social security number (SSN)
	City, town or post office, state, and ZIP code. For a foreign address, see instructions SCOTTSDALE, AZ 85266	

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

Application Is For	**Return Code**	**Application Is For**	**Return Code**
Form 990 or Form 990-EZ	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

- The books are in the care of ▶ GERI J CAVANAGH 5825 E PINNACLE VISTA DR. - SCOTTSDALE, AZ 85266

  Telephone No ▶ (480)948-1692 FAX No. ▶
- If the organization does not have an office or place of business in the United States, check this box ▶ ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ______ If this is for the whole group, check this box ▶ ☐ . If it is for part of the group, check this box ▶ ☐ and attach a list with the names and EINs of all members the extension is for

1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until AUGUST 15, 2013 , to file the exempt organization return for the organization named above The extension is for the organization's return for.

▶ ☒ calendar year 2012 or

▶ ☐ tax year beginning ______________ , and ending ______________ .

2 If the tax year entered in line 1 is for less than 12 months, check reason ☐ Initial return ☐ Final return ☐ Change in accounting period

3a	If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	$ 2,131.
b	If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b	$ 8,414.
c	**Balance due.** Subtract line 3b from line 3a Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System) See instructions	3c	$ 0.

Caution. If you are going to make an electronic fund withdrawal with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

LHA **For Privacy Act and Paperwork Reduction Act Notice, see instructions.** Form **8868** (Rev. 1-2013)

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