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Form **990-PF**Department of the Treasury  
Internal Revenue Service**Return of Private Foundation**  
or Section 4947(a)(1) Nonexempt Charitable Trust  
Treated as a Private Foundation

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

OMB No 1545-0052

**2012**

Open to Public Inspection

For calendar year 2012 or tax year beginning

, and ending

|                                                                                                                                                                                                                                                                                                            |                                                                                                                                                        |                                                                                                                                                                                     |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Name of foundation<br><b>ADELANTE FOUNDATION INC</b>                                                                                                                                                                                                                                                       |                                                                                                                                                        | <b>A Employer identification number</b><br>86-0966575                                                                                                                               |
| Number and street (or P O box number if mail is not delivered to street address)                                                                                                                                                                                                                           | Room/suite                                                                                                                                             | <b>B Telephone number (see instructions)</b><br>(480) 895-9350                                                                                                                      |
| PO BOX 488                                                                                                                                                                                                                                                                                                 |                                                                                                                                                        |                                                                                                                                                                                     |
| City or town, state, and ZIP code<br>CHANDLER AZ 85244                                                                                                                                                                                                                                                     |                                                                                                                                                        | <b>C If exemption application is pending, check here</b> <input type="checkbox"/>                                                                                                   |
| <b>G Check all that apply:</b> <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity<br><input type="checkbox"/> Final return <input type="checkbox"/> Amended return<br><input type="checkbox"/> Address change <input type="checkbox"/> Name change |                                                                                                                                                        | <b>D 1. Foreign organizations, check here</b> <input type="checkbox"/><br>2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/> |
| <b>H Check type of organization:</b> <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation<br><input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation                                                   |                                                                                                                                                        | <b>E If private foundation status was terminated under section 507(b)(1)(A), check here</b> <input type="checkbox"/>                                                                |
| <b>I Fair market value of all assets at end of year (from Part II, col (c), line 16)</b> <input type="checkbox"/> \$ 4,392,077                                                                                                                                                                             | <b>J Accounting method</b> <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual<br><input type="checkbox"/> Other (specify) _____ | <b>F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here</b> <input type="checkbox"/>                                                             |

| <b>Part I Analysis of Revenue and Expenses</b> (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions)) |                                                                                    | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------|---------------------------|-------------------------|-------------------------------------------------------------|
| <b>Revenue</b>                                                                                                                                                            | 1 Contributions, gifts, grants, etc., received (attach schedule)                   | 144,606                            |                           |                         |                                                             |
|                                                                                                                                                                           | 2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B |                                    |                           |                         |                                                             |
|                                                                                                                                                                           | 3 Interest on savings and temporary cash investments                               | 7,047                              | 7,047                     |                         |                                                             |
|                                                                                                                                                                           | 4 Dividends and interest from securities                                           | 129,912                            | 129,912                   |                         |                                                             |
|                                                                                                                                                                           | 5 a Gross rents                                                                    |                                    |                           |                         |                                                             |
|                                                                                                                                                                           | b Net rental income or (loss)                                                      |                                    |                           |                         |                                                             |
|                                                                                                                                                                           | 6 a Net gain or (loss) from sale of assets not on line 10                          | 27,898                             |                           |                         |                                                             |
|                                                                                                                                                                           | b Gross sales price for all assets on line 6a                                      | 2,430,938                          |                           |                         |                                                             |
|                                                                                                                                                                           | 7 Capital gain net income (from Part IV, line 2)                                   |                                    | 27,898                    |                         |                                                             |
|                                                                                                                                                                           | 8 Net short-term capital gain                                                      |                                    |                           |                         |                                                             |
|                                                                                                                                                                           | 9 Income modifications                                                             |                                    |                           |                         |                                                             |
|                                                                                                                                                                           | 10 a Gross sales less returns and allowances                                       |                                    |                           |                         |                                                             |
| b Less Cost of goods sold                                                                                                                                                 |                                                                                    |                                    |                           |                         |                                                             |
| c Gross profit or (loss) (attach schedule)                                                                                                                                |                                                                                    |                                    |                           |                         |                                                             |
| 11 Other income (attach schedule)                                                                                                                                         | 3,226                                                                              | 3,226                              |                           |                         |                                                             |
| 12 Total. Add lines 1 through 11                                                                                                                                          | 312,689                                                                            | 168,083                            | 0                         |                         |                                                             |
| <b>Operating and Administrative Expenses</b>                                                                                                                              | 13 Compensation of officers, directors, trustees, etc                              |                                    |                           |                         |                                                             |
|                                                                                                                                                                           | 14 Other employee salaries and wages                                               |                                    |                           |                         |                                                             |
|                                                                                                                                                                           | 15 Pension plans, employee benefits                                                |                                    |                           |                         |                                                             |
|                                                                                                                                                                           | 16 a Legal fees (attach schedule)                                                  |                                    |                           |                         |                                                             |
|                                                                                                                                                                           | b Accounting fees (attach schedule)                                                |                                    |                           |                         |                                                             |
|                                                                                                                                                                           | c Other professional fees (attach schedule)                                        | 21,619                             | 21,619                    |                         |                                                             |
|                                                                                                                                                                           | 17 Interest                                                                        | 4,309                              | 4,309                     |                         |                                                             |
|                                                                                                                                                                           | 18 Taxes (attach schedule) (see instructions)                                      | 5,182                              | 2,520                     |                         |                                                             |
|                                                                                                                                                                           | 19 Depreciation (attach schedule) and depletion                                    |                                    |                           |                         |                                                             |
|                                                                                                                                                                           | 20 Occupancy                                                                       |                                    |                           |                         |                                                             |
|                                                                                                                                                                           | 21 Travel, conferences, and meetings                                               |                                    |                           |                         |                                                             |
|                                                                                                                                                                           | 22 Printing and publications                                                       |                                    |                           |                         |                                                             |
|                                                                                                                                                                           | 23 Other expenses (attach schedule)                                                | 33,070                             | 11,354                    |                         |                                                             |
|                                                                                                                                                                           | 24 Total operating and administrative expenses. Add lines 13 through 23            | 64,180                             | 39,802                    | 0                       | 0                                                           |
|                                                                                                                                                                           | 25 Contributions, gifts, grants paid                                               | 208,601                            |                           |                         | 208,601                                                     |
| 26 Total expenses and disbursements. Add lines 24 and 25                                                                                                                  | 272,781                                                                            | 39,802                             | 0                         | 208,601                 |                                                             |
| 27 Subtract line 26 from line 12                                                                                                                                          |                                                                                    |                                    |                           |                         |                                                             |
| a Excess of revenue over expenses and disbursements                                                                                                                       | 39,908                                                                             |                                    |                           |                         |                                                             |
| b Net investment income (if negative, enter -0-)                                                                                                                          |                                                                                    | 128,281                            |                           |                         |                                                             |
| c Adjusted net income (if negative, enter -0-)                                                                                                                            |                                                                                    |                                    | 0                         |                         |                                                             |

For Paperwork Reduction Act Notice, see instructions.

Form **990-PF** (2012)

HTA

| <b>Part II Balance Sheets</b>                                                                        |                                                                                                                                      | Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions) |                |                       |
|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------|-----------------------|
|                                                                                                      |                                                                                                                                      | Beginning of year                                                                                                  | End of year    |                       |
|                                                                                                      |                                                                                                                                      | (a) Book Value                                                                                                     | (b) Book Value | (c) Fair Market Value |
| <b>Assets</b>                                                                                        | 1 Cash—non-interest-bearing                                                                                                          | 302,780                                                                                                            | 595,890        | 595,890               |
|                                                                                                      | 2 Savings and temporary cash investments                                                                                             |                                                                                                                    |                |                       |
|                                                                                                      | 3 Accounts receivable ▶                                                                                                              |                                                                                                                    |                |                       |
|                                                                                                      | Less allowance for doubtful accounts ▶                                                                                               |                                                                                                                    |                |                       |
|                                                                                                      | 4 Pledges receivable ▶                                                                                                               |                                                                                                                    |                |                       |
|                                                                                                      | Less allowance for doubtful accounts ▶                                                                                               |                                                                                                                    |                |                       |
|                                                                                                      | 5 Grants receivable                                                                                                                  |                                                                                                                    |                |                       |
|                                                                                                      | 6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)            |                                                                                                                    |                |                       |
|                                                                                                      | 7 Other notes and loans receivable (attach schedule) ▶                                                                               |                                                                                                                    |                |                       |
|                                                                                                      | Less allowance for doubtful accounts ▶                                                                                               |                                                                                                                    |                |                       |
|                                                                                                      | 8 Inventories for sale or use                                                                                                        |                                                                                                                    |                |                       |
|                                                                                                      | 9 Prepaid expenses and deferred charges                                                                                              |                                                                                                                    |                |                       |
|                                                                                                      | 10 a Investments—U S and state government obligations (attach schedule)                                                              |                                                                                                                    |                |                       |
|                                                                                                      | b Investments—corporate stock (attach schedule)                                                                                      |                                                                                                                    |                |                       |
|                                                                                                      | c Investments—corporate bonds (attach schedule)                                                                                      |                                                                                                                    |                |                       |
|                                                                                                      | 11 Investments—land, buildings, and equipment basis ▶                                                                                |                                                                                                                    |                |                       |
| Less accumulated depreciation (attach schedule) ▶                                                    |                                                                                                                                      |                                                                                                                    |                |                       |
| 12 Investments—mortgage loans                                                                        |                                                                                                                                      |                                                                                                                    |                |                       |
| 13 Investments—other (attach schedule)                                                               | 3,637,140                                                                                                                            | 3,383,938                                                                                                          | 3,796,187      |                       |
| 14 Land, buildings, and equipment basis ▶                                                            |                                                                                                                                      |                                                                                                                    |                |                       |
| Less accumulated depreciation (attach schedule) ▶                                                    |                                                                                                                                      |                                                                                                                    |                |                       |
| 15 Other assets (describe ▶)                                                                         |                                                                                                                                      |                                                                                                                    |                |                       |
| 16 <b>Total assets</b> (to be completed by all filers—see the instructions Also, see page 1, item I) | 3,939,920                                                                                                                            | 3,979,828                                                                                                          | 4,392,077      |                       |
| <b>Liabilities</b>                                                                                   | 17 Accounts payable and accrued expenses                                                                                             |                                                                                                                    |                |                       |
|                                                                                                      | 18 Grants payable                                                                                                                    |                                                                                                                    |                |                       |
|                                                                                                      | 19 Deferred revenue                                                                                                                  |                                                                                                                    |                |                       |
|                                                                                                      | 20 Loans from officers, directors, trustees, and other disqualified persons                                                          |                                                                                                                    |                |                       |
|                                                                                                      | 21 Mortgages and other notes payable (attach schedule)                                                                               |                                                                                                                    |                |                       |
|                                                                                                      | 22 Other liabilities (describe ▶)                                                                                                    |                                                                                                                    |                |                       |
|                                                                                                      | 23 <b>Total liabilities</b> (add lines 17 through 22)                                                                                | 0                                                                                                                  | 0              |                       |
| <b>Net Assets or Fund Balances</b>                                                                   | <b>Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31.</b> ▶ <input type="checkbox"/> |                                                                                                                    |                |                       |
|                                                                                                      | 24 Unrestricted                                                                                                                      |                                                                                                                    |                |                       |
|                                                                                                      | 25 Temporarily restricted                                                                                                            |                                                                                                                    |                |                       |
|                                                                                                      | 26 Permanently restricted                                                                                                            |                                                                                                                    |                |                       |
|                                                                                                      | <b>Foundations that do not follow SFAS 117, check here and complete lines 27 through 31.</b> ▶ <input type="checkbox"/>              |                                                                                                                    |                |                       |
|                                                                                                      | 27 Capital stock, trust principal, or current funds                                                                                  |                                                                                                                    |                |                       |
|                                                                                                      | 28 Paid-in or capital surplus, or land, bldg, and equipment fund                                                                     |                                                                                                                    |                |                       |
|                                                                                                      | 29 Retained earnings, accumulated income, endowment, or other funds                                                                  | 3,939,920                                                                                                          | 3,979,828      |                       |
|                                                                                                      | 30 <b>Total net assets or fund balances</b> (see instructions)                                                                       | 3,939,920                                                                                                          | 3,979,828      |                       |
|                                                                                                      | 31 <b>Total liabilities and net assets/fund balances</b> (see instructions)                                                          | 3,939,920                                                                                                          | 3,979,828      |                       |

**Part III Analysis of Changes in Net Assets or Fund Balances**

|                                                                                                                                                            |   |           |
|------------------------------------------------------------------------------------------------------------------------------------------------------------|---|-----------|
| 1 Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return) | 1 | 3,939,920 |
| 2 Enter amount from Part I, line 27a                                                                                                                       | 2 | 39,908    |
| 3 Other increases not included in line 2 (itemize) ▶                                                                                                       | 3 |           |
| 4 Add lines 1, 2, and 3                                                                                                                                    | 4 | 3,979,828 |
| 5 Decreases not included in line 2 (itemize) ▶                                                                                                             | 5 |           |
| 6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30                                                      | 6 | 3,979,828 |

**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<br>P—Purchase<br>D—Donation | (c) Date acquired<br>(mo., day, yr.) | (d) Date sold<br>(mo., day, yr.) |
|-----------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|--------------------------------------|----------------------------------|
| 1a See Attached Statement                                                                                                         |                                              |                                      |                                  |
| b See Attached Statement                                                                                                          |                                              |                                      |                                  |
| c See Attached Statement                                                                                                          |                                              |                                      |                                  |
| d See Attached Statement                                                                                                          |                                              |                                      |                                  |
| e See Attached Statement                                                                                                          |                                              |                                      |                                  |

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| a                     |                                            |                                                 | 0                                            |
| b                     |                                            |                                                 | 0                                            |
| c                     |                                            |                                                 | 0                                            |
| d                     |                                            |                                                 | 0                                            |
| e                     |                                            |                                                 | 0                                            |

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

|                                                                                                                                                                                                     |   |        |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|--------|
| 2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7<br>If (loss), enter -0- in Part I, line 7 }                                                                 | 2 | 27,898 |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)<br>If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0-<br>in Part I, line 8 } | 3 | 0      |

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

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

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

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

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

| (a)<br>Base period years<br>Calendar year (or tax year beginning in) | (b)<br>Adjusted qualifying distributions | (c)<br>Net value of noncharitable-use assets | (d)<br>Distribution ratio<br>(col. (b) divided by col. (c)) |
|----------------------------------------------------------------------|------------------------------------------|----------------------------------------------|-------------------------------------------------------------|
| 2011                                                                 | 193,796                                  | 3,635,587                                    | 0.053305                                                    |
| 2010                                                                 | 164,086                                  | 3,984,477                                    | 0.041181                                                    |
| 2009                                                                 | 151,296                                  | 3,853,900                                    | 0.039258                                                    |
| 2008                                                                 | 163,359                                  | 3,688,105                                    | 0.044293                                                    |
| 2007                                                                 | 241,218                                  | 3,733,195                                    | 0.064614                                                    |

|                                                                                                                                                                                                                      |   |           |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|-----------|
| 2 Total of line 1, column (d)                                                                                                                                                                                        | 2 | 0.242651  |
| 3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years                                         | 3 | 0.048530  |
| 4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5                                                                                                                                       | 4 | 4,068,685 |
| 5 Multiply line 4 by line 3                                                                                                                                                                                          | 5 | 197,453   |
| 6 Enter 1% of net investment income (1% of Part I, line 27b)                                                                                                                                                         | 6 | 1,283     |
| 7 Add lines 5 and 6                                                                                                                                                                                                  | 7 | 198,736   |
| 8 Enter qualifying distributions from Part XII, line 4<br>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. | 8 | 208,601   |

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

|                                                                                                                                                                                                                                       |    |       |       |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|-------|-------|
| 1 a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1<br>Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions) |    | 1     | 1,283 |
| b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b                                                                          |    |       |       |
| 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     | 1,283 |
| 4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)                                                                                                                          |    | 4     |       |
| 5 Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0-                                                                                                                                              |    | 5     | 1,283 |
| 6 Credits/Payments                                                                                                                                                                                                                    |    |       |       |
| a 2012 estimated tax payments and 2011 overpayment credited to 2012                                                                                                                                                                   | 6a |       |       |
| b Exempt foreign organizations—tax withheld at source                                                                                                                                                                                 | 6b |       |       |
| c Tax paid with application for extension of time to file (Form 8868)                                                                                                                                                                 | 6c | 3,000 |       |
| d Backup withholding erroneously withheld                                                                                                                                                                                             | 6d |       |       |
| 7 Total credits and payments Add lines 6a through 6d                                                                                                                                                                                  | 7  | 3,000 |       |
| 8 Enter any penalty for underpayment of estimated tax Check here <input type="checkbox"/> 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  | 0     |       |
| 10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid                                                                                                                                          | 10 | 1,717 |       |
| 11 Enter the amount of line 10 to be Credited to 2013 estimated tax 1,717 Refunded                                                                                                                                                    | 11 | 0     |       |

**Part VII-A Statements Regarding Activities**

|                                                                                                                                                                                                                                                                                                                                              | Yes | No |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 1 a 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?                                                                                                                                                                     |     | X  |
| b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)?<br>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 |     | X  |
| c Did the foundation file Form 1120-POL for this year?                                                                                                                                                                                                                                                                                       |     | X  |
| d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year<br>(1) On the foundation \$ _____ (2) On foundation managers \$ _____                                                                                                                                                                    |     |    |
| e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$ _____                                                                                                                                                                                              |     |    |
| 2 Has the foundation engaged in any activities that have not previously been reported to the IRS?<br>If "Yes," attach a detailed description of the activities                                                                                                                                                                               |     | 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                                                                                                                 |     | X  |
| 4 a Did the foundation have unrelated business gross income of \$1,000 or more during the year?                                                                                                                                                                                                                                              |     | X  |
| b If "Yes," has it filed a tax return on Form 990-T for this year?                                                                                                                                                                                                                                                                           |     |    |
| 5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?<br>If "Yes," attach the statement required by General Instruction T                                                                                                                                                                         |     | X  |
| 6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either<br>• By language in the governing instrument, or<br>• By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?          | 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                                                                                                                                                                                                           | X   |    |
| 8 a Enter the states to which the foundation reports or with which it is registered (see instructions) ARIZONA                                                                                                                                                                                                                               |     |    |
| 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                                                                                                                                | 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                                                                                       |     | X  |
| 10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses                                                                                                                                                                                                        | X   |    |

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

|    |                                                                                                                                                                                                                                                                                                                                |    |           |        |
|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|-----------|--------|
| 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?<br>Website address <b>N/A</b>                                                                                                                                                                              | 13 | X         |        |
| 14 | The books are in care of <b>ADELANTE FOUNDATION</b> Telephone no <b>(480) 895-9350</b><br>Located at <b>PO BOX 488 CHANDLER AZ</b> ZIP+4 <b>85244</b>                                                                                                                                                                          |    |           |        |
| 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 <b>15 N/A</b>                                                                                                                                |    |           |        |
| 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?<br>See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country | 16 | Yes<br>No | X<br>X |

**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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                         |     |     |
| (2) | Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                 |     |     |
| (3) | Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                     |     |     |
| (4) | Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)? Organizations relying on a current notice regarding disaster assistance check here <input type="checkbox"/>                                                                                                                                                               | 1b  | N/A |
| 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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No<br>If "Yes," list the years <b>20</b> , <b>20</b> , <b>20</b> , <b>20</b>                                                                                                                                                                                                |     |     |
| b   | Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions)                                                                                                                                                                                         | 2b  | N/A |
| c   | If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here <b>20</b> , <b>20</b> , <b>20</b> , <b>20</b>                                                                                                                                                                                                                                                                                                                                  |     |     |
| 3a  | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                 |     |     |
| b   | If "Yes," did it have excess business holdings in 2012 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2012) | 3b  | N/A |
| 4a  | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?                                                                                                                                                                                                                                                                                                                                                                                | 4a  | X   |
| b   | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2012?                                                                                                                                                                                                                                                              | 4b  | X   |

**Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required** (continued)**5a** During the year did the foundation pay or incur any amount to

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions)

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No**b** If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?**5b** N/A

Organizations relying on a current notice regarding disaster assistance check here

☐**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?☐ Yes ☐ No

If "Yes," attach the statement required by Regulations section 53.4945–5(d)

**6a** Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?☐ Yes ☒ No**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?**6b** X

If "Yes" to 6b, file Form 8870

**7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?☐ Yes ☒ No**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?**7b** N/A**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors****1** List all officers, directors, trustees, foundation managers and their compensation (see instructions).

| (a) Name and address                                              | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|-------------------------------------------------------------------|-----------------------------------------------------------|-------------------------------------------|-----------------------------------------------------------------------|---------------------------------------|
| NADINE K MATHIS BASHA<br>15 N BULLMOOSE CIRCLE CHANDLER, AZ 85226 | PRESIDENT                                                 | 5.00                                      | 0                                                                     |                                       |
|                                                                   |                                                           |                                           |                                                                       |                                       |
|                                                                   |                                                           |                                           |                                                                       |                                       |
|                                                                   |                                                           |                                           |                                                                       |                                       |
|                                                                   |                                                           |                                           |                                                                       |                                       |

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

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

**Total** number of other employees paid over \$50,000

**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors** (continued)**3 Five highest-paid independent contractors for professional services** (see instructions). If none, enter "NONE."

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

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

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

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

Expenses

|        |  |
|--------|--|
| 1 NONE |  |
| 2      |  |
| 3      |  |
| 4      |  |

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2

Amount

|                                                          |  |
|----------------------------------------------------------|--|
| 1 NONE                                                   |  |
| 2                                                        |  |
| All other program-related investments. See instructions. |  |
| 3                                                        |  |

Total. Add lines 1 through 3



0

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

|          |                                                                                                             |           |           |
|----------|-------------------------------------------------------------------------------------------------------------|-----------|-----------|
| <b>1</b> | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes  |           |           |
| <b>a</b> | Average monthly fair market value of securities                                                             | <b>1a</b> | 3,681,310 |
| <b>b</b> | Average of monthly cash balances                                                                            | <b>1b</b> | 449,335   |
| <b>c</b> | Fair market value of all other assets (see instructions)                                                    | <b>1c</b> |           |
| <b>d</b> | <b>Total</b> (add lines 1a, b, and c)                                                                       | <b>1d</b> | 4,130,645 |
| <b>e</b> | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)   | <b>1e</b> |           |
| <b>2</b> | Acquisition indebtedness applicable to line 1 assets                                                        | <b>2</b>  |           |
| <b>3</b> | Subtract line 2 from line 1d                                                                                | <b>3</b>  | 4,130,645 |
| <b>4</b> | Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see instructions)  | <b>4</b>  | 61,960    |
| <b>5</b> | <b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4 | <b>5</b>  | 4,068,685 |
| <b>6</b> | <b>Minimum investment return.</b> Enter 5% of line 5                                                        | <b>6</b>  | 203,434   |

**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.)

|           |                                                                                                           |           |         |
|-----------|-----------------------------------------------------------------------------------------------------------|-----------|---------|
| <b>1</b>  | Minimum investment return from Part X, line 6                                                             | <b>1</b>  | 203,434 |
| <b>2a</b> | Tax on investment income for 2012 from Part VI, line 5                                                    | <b>2a</b> | 1,283   |
| <b>b</b>  | Income tax for 2012 (This does not include the tax from Part VI)                                          | <b>2b</b> |         |
| <b>c</b>  | Add lines 2a and 2b                                                                                       | <b>2c</b> | 1,283   |
| <b>3</b>  | Distributable amount before adjustments. Subtract line 2c from line 1                                     | <b>3</b>  | 202,151 |
| <b>4</b>  | Recoveries of amounts treated as qualifying distributions                                                 | <b>4</b>  |         |
| <b>5</b>  | Add lines 3 and 4                                                                                         | <b>5</b>  | 202,151 |
| <b>6</b>  | Deduction from distributable amount (see instructions)                                                    | <b>6</b>  |         |
| <b>7</b>  | <b>Distributable amount as adjusted.</b> Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | <b>7</b>  | 202,151 |

**Part XII Qualifying Distributions** (see instructions)

|          |                                                                                                                                                      |           |         |
|----------|------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|---------|
| <b>1</b> | Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes                                                            |           |         |
| <b>a</b> | Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26                                                                          | <b>1a</b> | 208,601 |
| <b>b</b> | Program-related investments—total from Part IX-B                                                                                                     | <b>1b</b> |         |
| <b>2</b> | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes                                            | <b>2</b>  |         |
| <b>3</b> | Amounts set aside for specific charitable projects that satisfy the                                                                                  |           |         |
| <b>a</b> | Suitability test (prior IRS approval required)                                                                                                       | <b>3a</b> |         |
| <b>b</b> | Cash distribution test (attach the required schedule)                                                                                                | <b>3b</b> |         |
| <b>4</b> | <b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4                                    | <b>4</b>  | 208,601 |
| <b>5</b> | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions) | <b>5</b>  | 1,283   |
| <b>6</b> | <b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4                                                                                | <b>6</b>  | 207,318 |

**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)<br>Corpus | (b)<br>Years prior to 2011 | (c)<br>2011 | (d)<br>2012 |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|----------------------------|-------------|-------------|
| <b>1</b> Distributable amount for 2012 from Part XI, line 7                                                                                                                       |               |                            |             | 202,151     |
| <b>2</b> Undistributed income, if any, as of the end of 2012                                                                                                                      |               |                            |             |             |
| <b>a</b> Enter amount for 2011 only                                                                                                                                               |               |                            | 0           |             |
| <b>b</b> Total for prior years 20____, 20____, 20____                                                                                                                             |               |                            |             |             |
| <b>3</b> Excess distributions carryover, if any, to 2012                                                                                                                          |               |                            |             |             |
| <b>a</b> From 2007                                                                                                                                                                | 21,611        |                            |             |             |
| <b>b</b> From 2008                                                                                                                                                                |               |                            |             |             |
| <b>c</b> From 2009                                                                                                                                                                |               |                            |             |             |
| <b>d</b> From 2010                                                                                                                                                                |               |                            |             |             |
| <b>e</b> From 2011                                                                                                                                                                | 14,639        |                            |             |             |
| <b>f</b> Total of lines 3a through e                                                                                                                                              | 36,250        |                            |             |             |
| <b>4</b> Qualifying distributions for 2012 from Part XII, line 4 ▶ \$ 208,601                                                                                                     |               |                            |             |             |
| <b>a</b> Applied to 2011, but not more than line 2a                                                                                                                               |               |                            |             |             |
| <b>b</b> Applied to undistributed income of prior years (Election required—see instructions)                                                                                      |               |                            |             |             |
| <b>c</b> Treated as distributions out of corpus (Election required—see instructions)                                                                                              |               |                            |             |             |
| <b>d</b> Applied to 2012 distributable amount                                                                                                                                     |               |                            |             | 202,151     |
| <b>e</b> Remaining amount distributed out of corpus                                                                                                                               | 6,450         |                            |             |             |
| <b>5</b> Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a) )                                        |               |                            |             |             |
| <b>6</b> Enter the net total of each column as indicated below:                                                                                                                   |               |                            |             |             |
| <b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5                                                                                                                          | 42,700        |                            |             |             |
| <b>b</b> Prior years' undistributed income Subtract line 4b from line 2b                                                                                                          |               | 0                          |             |             |
| <b>c</b> 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 |               |                            |             |             |
| <b>d</b> Subtract line 6c from line 6b Taxable amount—see instructions                                                                                                            |               |                            |             |             |
| <b>e</b> Undistributed income for 2011 Subtract line 4a from line 2a Taxable amount—see instructions                                                                              |               |                            | 0           |             |
| <b>f</b> Undistributed income for 2012 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2013                                                                |               |                            |             | 0           |
| <b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)                                  |               |                            |             |             |
| <b>8</b> Excess distributions carryover from 2007 not applied on line 5 or line 7 (see instructions)                                                                              | 21,611        |                            |             |             |
| <b>9</b> Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a                                                                                              | 21,089        |                            |             |             |
| <b>10</b> Analysis of line 9                                                                                                                                                      |               |                            |             |             |
| <b>a</b> Excess from 2008                                                                                                                                                         |               |                            |             |             |
| <b>b</b> Excess from 2009                                                                                                                                                         |               |                            |             |             |
| <b>c</b> Excess from 2010                                                                                                                                                         |               |                            |             |             |
| <b>d</b> Excess from 2011                                                                                                                                                         | 14,639        |                            |             |             |
| <b>e</b> Excess from 2012                                                                                                                                                         | 6,450         |                            |             |             |



**Part XV** **Supplementary Information** (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient<br>Name and address (home or business) | If recipient is an individual,<br>show any relationship to<br>any foundation manager<br>or substantial contributor | Foundation<br>status of<br>recipient | Purpose of grant or<br>contribution | Amount  |
|--------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|--------------------------------------|-------------------------------------|---------|
| <b>a</b> <i>Paid during the year</i>             |                                                                                                                    |                                      |                                     |         |
| SEE ATTACHED                                     |                                                                                                                    |                                      | DONATION                            | 168,582 |
| SEE ATTACHED                                     |                                                                                                                    |                                      | SCHOLARSHIP                         | 20,016  |
| SEE ATTACHED                                     |                                                                                                                    |                                      | PLEDGE                              | 20,000  |
| K-1 EL LDORADO VAN BUREN 80 LLC                  |                                                                                                                    |                                      | DONATION                            | 3       |
| <b>Total</b>                                     |                                                                                                                    |                                      | <b>3a</b>                           | 208,601 |
| <b>b</b> <i>Approved for future payment</i>      |                                                                                                                    |                                      |                                     |         |
| <b>Total</b>                                     |                                                                                                                    |                                      | <b>3b</b>                           | 0       |

## Enter gross amounts unless otherwise indicated

| Enter gross amounts unless otherwise indicated                    | Unrelated business income |               | Excluded by section 512, 513, or 514 |               | (e)                                                         |
|-------------------------------------------------------------------|---------------------------|---------------|--------------------------------------|---------------|-------------------------------------------------------------|
|                                                                   | (a)<br>Business code      | (b)<br>Amount | (c)<br>Exclusion code                | (d)<br>Amount | Related or exempt<br>function income<br>(See instructions ) |
| <b>1</b> Program service revenue                                  |                           |               |                                      |               |                                                             |
| <b>a</b> _____                                                    |                           |               |                                      |               |                                                             |
| <b>b</b> _____                                                    |                           |               |                                      |               |                                                             |
| <b>c</b> _____                                                    |                           |               |                                      |               |                                                             |
| <b>d</b> _____                                                    |                           |               |                                      |               |                                                             |
| <b>e</b> _____                                                    |                           |               |                                      |               |                                                             |
| <b>f</b> _____                                                    |                           |               |                                      |               |                                                             |
| <b>g</b> Fees and contracts from government agencies              |                           |               |                                      |               |                                                             |
| <b>2</b> Membership dues and assessments                          |                           |               |                                      |               |                                                             |
| <b>3</b> Interest on savings and temporary cash investments       |                           |               | 14                                   | 7,047         |                                                             |
| <b>4</b> Dividends and interest from securities                   |                           |               | 14                                   | 129,912       |                                                             |
| <b>5</b> Net rental income or (loss) from real estate             |                           |               |                                      |               |                                                             |
| <b>a</b> Debt-financed property                                   |                           |               |                                      |               |                                                             |
| <b>b</b> Not debt-financed property                               |                           |               |                                      |               |                                                             |
| <b>6</b> Net rental income or (loss) from personal property       |                           |               |                                      |               |                                                             |
| <b>7</b> Other investment income                                  |                           |               | 18                                   | 3,226         |                                                             |
| <b>8</b> Gain or (loss) from sales of assets other than inventory |                           |               | 18                                   | 27,898        |                                                             |
| <b>9</b> Net income or (loss) from special events                 |                           |               |                                      |               |                                                             |
| <b>10</b> Gross profit or (loss) from sales of inventory          |                           |               |                                      |               |                                                             |
| <b>11</b> Other revenue: <b>a</b> _____                           |                           |               |                                      |               |                                                             |
| <b>b</b> _____                                                    |                           |               |                                      |               |                                                             |
| <b>c</b> _____                                                    |                           |               |                                      |               |                                                             |
| <b>d</b> _____                                                    |                           |               |                                      |               |                                                             |
| <b>e</b> _____                                                    |                           |               |                                      |               |                                                             |
| <b>12</b> Subtotal. Add columns (b), (d), and (e)                 |                           | 0             |                                      | 168,083       | 0                                                           |
| <b>13</b> Total. Add line 12, columns (b), (d), and (e)           |                           |               |                                      | 13            | 168,083                                                     |

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

[illegible]

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

- |                                                                                                                                                                                                                                                                                                                                                                                                      |  |            |           |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|------------|-----------|
| <b>1</b> 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?                                                                                                                                         |  | <b>Yes</b> | <b>No</b> |
| <b>a</b> Transfers from the reporting foundation to a noncharitable exempt organization of:                                                                                                                                                                                                                                                                                                          |  |            |           |
| (1) Cash                                                                                                                                                                                                                                                                                                                                                                                             |  |            | X         |
| (2) Other assets                                                                                                                                                                                                                                                                                                                                                                                     |  |            | X         |
| <b>b</b> Other transactions:                                                                                                                                                                                                                                                                                                                                                                         |  |            |           |
| (1) Sales of assets to a noncharitable exempt organization                                                                                                                                                                                                                                                                                                                                           |  |            | X         |
| (2) Purchases of assets from a noncharitable exempt organization                                                                                                                                                                                                                                                                                                                                     |  |            | X         |
| (3) Rental of facilities, equipment, or other assets                                                                                                                                                                                                                                                                                                                                                 |  |            | X         |
| (4) Reimbursement arrangements                                                                                                                                                                                                                                                                                                                                                                       |  |            | X         |
| (5) Loans or loan guarantees                                                                                                                                                                                                                                                                                                                                                                         |  |            | X         |
| (6) Performance of services or membership or fundraising solicitations                                                                                                                                                                                                                                                                                                                               |  |            | X         |
| <b>c</b> Sharing of facilities, equipment, mailing lists, other assets, or paid employees                                                                                                                                                                                                                                                                                                            |  |            | X         |
| <b>d</b> 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 |  |            |           |

[illegible]

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

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

**Sign  
Here**

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

Signature of officer or trustee

11-14-13  
Date

President  
Title

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

**Paid  
Preparer  
Use Only**

Print/Type preparer's name

JOSEPH F ANSELMO

Preparer's signature

Preparer's signature



JEFF GORCH

Date \_\_\_\_\_

11/11/2013

Check ☐ if self-employed

|      |  |
|------|--|
| PTIN |  |
|------|--|

P01240547

Firm's name ► JOSEPH F ANSELMO, CPA, PA

Firm's EIN ▶ 86-0527742

Firm's address ► 4645 N 32ND STREET, SUITE A-125, PHOENIX, AZ 85018

|          |                |
|----------|----------------|
| Phone no | (602) 852-0514 |
|----------|----------------|

**Schedule B**  
(Form 990, 990-EZ,  
or 990-PF)

Department of the Treasury  
Internal Revenue Service

**Schedule of Contributors**

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.

OMB No 1545-0047

**2012**

Name of the organization

Employer identification number

ADELANTE FOUNDATION, INC

86-0966575

Organization type (check one).

Filers of:

Section:

Form 990 or 990-EZ

☐ 501(c)( ) (enter number) organization

☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation

☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation

☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation

☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions

**General Rule**

- ☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II.

**Special Rules**

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1 Complete Parts I and II
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not total to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc., contributions of \$5,000 or more during the year . . . . . ▶ \$ .....

**Caution.** An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2 of its Form 990; or check the box on line H of its Form 990-EZ or on Part I, line 2 of its Form 990-PF, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

## Name of organization

ADELANTE FOUNDATION, INC.

## Employer identification number

86-0966575

**Part I** **Contributors** (see instructions). Use duplicate copies of Part I if additional space is needed

| (a)<br>No. | (b)<br>Name, address, and ZIP + 4                                                                                                        | (c)<br>Total contributions | (d)<br>Type of contribution                                                                                                                                                  |
|------------|------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1          | EDWARD N BASHA, JR. & NADINE K MATHIS BASI<br>15 N BULLMOOSE CIRCLE<br>CHANDLER AZ 85224<br>Foreign State or Province<br>Foreign Country | \$ 54,896                  | Person <input checked="" type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution ) |
| 2          | EDWARD N BASHA, JR<br>15 N BULLMOOSE CIRCLE<br>CHANDLER AZ 85224<br>Foreign State or Province<br>Foreign Country                         | \$ 89,510                  | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input checked="" type="checkbox"/><br>(Complete Part II if there is a noncash contribution ) |
|            |                                                                                                                                          |                            | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution )            |
|            |                                                                                                                                          |                            | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution )            |
|            |                                                                                                                                          |                            | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution )            |
|            |                                                                                                                                          |                            | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution )            |
|            |                                                                                                                                          |                            | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution )            |

Name of organization

Employer identification number

ADELANTE FOUNDATION, INC.

86-0966575

**Part II** **Noncash Property** (see instructions) Use duplicate copies of Part II if additional space is needed.

[illegible]

|                                                         |                                                     |
|---------------------------------------------------------|-----------------------------------------------------|
| Name of organization<br><b>ADELANTE FOUNDATION, INC</b> | Employer identification number<br><b>86-0966575</b> |
|---------------------------------------------------------|-----------------------------------------------------|

**Part III** Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations total more than \$1,000 for the year. Complete columns (a) through (e) and the following line entry.  
 For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this information once. See instructions.) ► \$ ..... 0  
 Use duplicate copies of Part III if additional space is needed

| (a) No.<br>from<br>Part I | (b) Purpose of gift                            | (c) Use of gift         | (d) Description of how gift is held             |
|---------------------------|------------------------------------------------|-------------------------|-------------------------------------------------|
| -----                     | -----<br>-----<br>-----                        | -----<br>-----<br>----- | -----<br>-----<br>-----                         |
|                           | <b>(e) Transfer of gift</b>                    |                         |                                                 |
|                           | <b>Transferee's name, address, and ZIP + 4</b> |                         | <b>Relationship of transferor to transferee</b> |
|                           | -----<br>-----<br>-----                        |                         | -----<br>-----<br>-----                         |
|                           | For Prov                                       | Country                 |                                                 |
| (a) No.<br>from<br>Part I | (b) Purpose of gift                            | (c) Use of gift         | (d) Description of how gift is held             |
| -----                     | -----<br>-----<br>-----                        | -----<br>-----<br>----- | -----<br>-----<br>-----                         |
|                           | <b>(e) Transfer of gift</b>                    |                         |                                                 |
|                           | <b>Transferee's name, address, and ZIP + 4</b> |                         | <b>Relationship of transferor to transferee</b> |
|                           | -----<br>-----<br>-----                        |                         | -----<br>-----<br>-----                         |
|                           | For Prov                                       | Country                 |                                                 |
| (a) No.<br>from<br>Part I | (b) Purpose of gift                            | (c) Use of gift         | (d) Description of how gift is held             |
| -----                     | -----<br>-----<br>-----                        | -----<br>-----<br>----- | -----<br>-----<br>-----                         |
|                           | <b>(e) Transfer of gift</b>                    |                         |                                                 |
|                           | <b>Transferee's name, address, and ZIP + 4</b> |                         | <b>Relationship of transferor to transferee</b> |
|                           | -----<br>-----<br>-----                        |                         | -----<br>-----<br>-----                         |
|                           | For Prov                                       | Country                 |                                                 |
| (a) No.<br>from<br>Part I | (b) Purpose of gift                            | (c) Use of gift         | (d) Description of how gift is held             |
| -----                     | -----<br>-----<br>-----                        | -----<br>-----<br>----- | -----<br>-----<br>-----                         |
|                           | <b>(e) Transfer of gift</b>                    |                         |                                                 |
|                           | <b>Transferee's name, address, and ZIP + 4</b> |                         | <b>Relationship of transferor to transferee</b> |
|                           | -----<br>-----<br>-----                        |                         | -----<br>-----<br>-----                         |
|                           | For Prov                                       | Country                 |                                                 |

## Part I, Line 6 (990-PF) - Gain/Loss from Sale of Assets Other Than Inventory

|                                 |                              | Amount                      |           | Totals                               |               |                                |           |                   |                     |                                          |                                          |             |                  |
|---------------------------------|------------------------------|-----------------------------|-----------|--------------------------------------|---------------|--------------------------------|-----------|-------------------|---------------------|------------------------------------------|------------------------------------------|-------------|------------------|
|                                 |                              | Long Term CG Distributions  |           | Capital Gains/Losses                 |               |                                |           |                   |                     |                                          |                                          |             |                  |
|                                 |                              | Short Term CG Distributions |           | Other sales                          |               |                                |           |                   |                     |                                          |                                          |             |                  |
|                                 |                              |                             |           | Gross Sales                          |               | Cost, Other Basis and Expenses |           | Valuation Method  |                     | Expense of Sale and Cost of Improvements |                                          | Adjustments |                  |
|                                 |                              |                             |           | 2,430,838                            |               | 2,403,040                      |           | 0                 |                     | 0                                        |                                          | 27,898      |                  |
|                                 |                              |                             |           | 0                                    |               | 0                              |           | 0                 |                     | 0                                        |                                          | 0           |                  |
| Check "X" to include in Part IV | Description                  | CUSIP #                     | Purchaser | Check "X" if Purchaser is a Business | Date Acquired | Acquisition Method             | Date Sold | Gross Sales Price | Cost or Other Basis | Valuation Method                         | Expense of Sale and Cost of Improvements | Adjustments | Net Gain or Loss |
| 1                               | UBS ACCOUNT 15624 (ST SALES) |                             |           |                                      | VARIOUS       | P                              | VARIOUS   | 39,394            | 37,500              |                                          |                                          |             | 1,894            |
| 2                               | UBS ACCOUNT 15624 (LT SALES) |                             |           |                                      | VARIOUS       | P                              | VARIOUS   | 377,719           | 380,000             |                                          |                                          |             | -2,281           |
| 3                               | UBS ACCOUNT 15675 (ST SALES) |                             |           |                                      | VARIOUS       | P                              | VARIOUS   | 723,979           | 719,415             |                                          |                                          |             | 4,564            |
| 4                               | UBS ACCOUNT 15675 (LT SALES) |                             |           |                                      | VARIOUS       | P                              | VARIOUS   | 17,407            | 15,217              |                                          |                                          |             | 2,190            |
| 5                               | UBS ACCOUNT 15677 (ST SALES) |                             |           |                                      | VARIOUS       | P                              | VARIOUS   | 212,571           | 225,069             |                                          |                                          |             | -12,498          |
| 6                               | UBS ACCOUNT 15677 (LT SALES) |                             |           |                                      | VARIOUS       | P                              | VARIOUS   | 204,531           | 202,120             |                                          |                                          |             | 2,411            |
| 7                               | UBS ACCOUNT 15679 (LT SALES) |                             |           |                                      | VARIOUS       | P                              | VARIOUS   | 845,000           | 813,307             |                                          |                                          |             | 31,693           |
| 8                               | MP 122009 LLC (ST)           |                             |           |                                      | VARIOUS       | P                              | VARIOUS   | 100               |                     |                                          |                                          |             | 100              |
| 9                               | MP 122009 LLC (LT)           |                             |           |                                      | VARIOUS       | P                              | VARIOUS   |                   | 10,412              |                                          |                                          |             | -10,412          |
| 10                              | CAPITAL GAINS DIVIDENDS      |                             |           |                                      |               |                                |           | 10,237            |                     |                                          |                                          |             | 10,237           |

**Part I, Line 11 (990-PF) - Other Income**

|             |                            | 3,226                                | 3,226                    | 0                      |
|-------------|----------------------------|--------------------------------------|--------------------------|------------------------|
| Description |                            | Revenue<br>and Expenses<br>per Books | Net Investment<br>Income | Adjusted<br>Net Income |
| 1           | EL DORADO BELLA VISTA LLC  | 9                                    | 9                        |                        |
| 2           | EL DORADO VAN BUREN 80 LLC | 67                                   | 67                       |                        |
| 3           | MP 122009 LLC              | -1,920                               | -1,920                   |                        |
| 4           | UBS FINANCIAL              | 5,070                                | 5,070                    |                        |

Part I, Line 16c (990-PF) - Other Professional Fees

|             |                            | 21,619                         | 21,619                | 0                   | 0                                                       |
|-------------|----------------------------|--------------------------------|-----------------------|---------------------|---------------------------------------------------------|
| Description |                            | Revenue and Expenses per Books | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes (Cash Basis Only) |
| 1           | BROKER FEES - UBS          | 18,531                         | 18,531                |                     |                                                         |
| 2           | EL DORADO VAN BUREN 80 LLC | 3,088                          | 3,088                 |                     |                                                         |

**Part I, Line 18 (990-PF) - Taxes**

|             |                                       | 5,182                                | 2,520                    | 0                      | 0                                           |
|-------------|---------------------------------------|--------------------------------------|--------------------------|------------------------|---------------------------------------------|
| Description |                                       | Revenue<br>and Expenses<br>per Books | Net Investment<br>Income | Adjusted<br>Net Income | Disbursements<br>for Charitable<br>Purposes |
| 1           | FEDERAL EXCISE TAX                    | 2,662                                |                          |                        |                                             |
| 2           | EL DORADO VAN BUREN 80 PROPERTY TAXES | 1,820                                | 1,820                    |                        |                                             |
| 3           | EL DORADO BELLA VISTA PROPERTY TAXES  | 3                                    | 3                        |                        |                                             |
| 4           | FOREIGN TAXES ON INVESTMENT INCOME    | 697                                  | 697                      |                        |                                             |

**Part I, Line 23 (990-PF) - Other Expenses**

|             |                           | 33,070                               | 11,354                   | 0                      | 0                                           |
|-------------|---------------------------|--------------------------------------|--------------------------|------------------------|---------------------------------------------|
| Description |                           | Revenue and<br>Expenses<br>per Books | Net Investment<br>Income | Adjusted Net<br>Income | Disbursements<br>for Charitable<br>Purposes |
| 1           | ADMINISTRATIVE SERVICES   | 21,600                               |                          |                        |                                             |
| 2           | OFFICE SUPPLIES           | 54                                   |                          |                        |                                             |
| 3           | FEES                      | 62                                   |                          |                        |                                             |
| 4           | MP 122009 LLC             | 11,314                               | 11,314                   |                        |                                             |
| 5           | EL DORADO BELLA VISTA LLC | 40                                   | 40                       |                        |                                             |

**Part II, Line 13 (990-PF) - Investments - Other**

|                   |                                   | 3,637,140          |             | 3,383,938   | 3,796,187   |
|-------------------|-----------------------------------|--------------------|-------------|-------------|-------------|
|                   |                                   | Book Value         | Book Value  | Book Value  | FMV         |
|                   |                                   | Beg. of Year       | End of Year | End of Year | End of Year |
| Asset Description |                                   | Basis of Valuation |             |             |             |
|                   |                                   | FMV                | AT COST     |             |             |
| 1                 | MARKETABLE SECURITIES HELD AT UBS | 3,280,537          |             | 3,131,431   | 3,543,680   |
| 2                 | PARTNERSHIPS                      | 356,603            |             | 252,507     | 252,507     |

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|        |          |         |
|--------|----------|---------|
| 27,898 | Excess   | 1,894   |
|        | Adjusted | 2,281   |
|        | Issues   | 4,584   |
|        |          | 2,190   |
|        |          | 12,498  |
|        |          | 2,411   |
|        |          | 31,893  |
|        |          | 100     |
|        |          | -10,412 |
|        |          | 10,237  |

**ADELANTE FOUNDATION - DONATIONS  
2012**

|                                                 |             |           |
|-------------------------------------------------|-------------|-----------|
| Altadena Middle School (Save Starving Children) | Donation    | 400.00    |
| AASH Arizona Sacred Heart                       | Donation    | 100.00    |
| Archdiocese of Santa Fe                         | Donation    | 1,000.00  |
| Angel Charity for Children                      | Donation    | 2,700.00  |
| Advance Guatemala                               | Donation    | 500.00    |
| AT Still University                             | Donation    | 10,000.00 |
| American Cancer Society                         | Donation    | 2,000.00  |
| ASU Presidents Club                             | Donation    | 2,500.00  |
| Arizona Humanities Council                      | Donation    | 250.00    |
| Arizona Ecumenical Council                      | Donation    | 1,000.00  |
| Arizona College Scholarship Foundation          | Donation    | 2,000.00  |
| Arizona Community Foundation / Womens Fund      | Donation    | 5,000.00  |
| ASU Foundation Regents Award                    | Donation    | 250.00    |
| Arizona School for Deaf and Blind               | Donation    | 200.00    |
| Barry Goldwater Statue Project                  | Donation    | 1,000.00  |
| Barrows Capital Campaign Fund Drive             | Pledge      | 5,000.00  |
| Bishop Gassis Sudan Relief Fund                 | Donation    | 25.00     |
| Bluebonnet Youth Ranch                          | Donation    | 100.00    |
| Bicycles for kids                               | Donation    | 100.00    |
| Boy Scouts of America (Eagle Scouts)            | Donation    | 5,000.00  |
| Banner Childrens Hospital                       | Donation    | 2,500.00  |
| Chandler National Society / Historical Museum   | Donation    | 1,500.00  |
| Catholic Relief Services                        | Donation    | 150.00    |
| Catholic Community Foundation                   | Donation    | 2,000.00  |
| Child Crisis Center                             | Donation    | 100.00    |
| CUSD Chandler Care Center                       | Donation    | 2,000.00  |
| Desert Caballeros Western Museum                | Donation    | 100.00    |
| Diocese of Tucson Catholic Appeal               | Pledge      | 2,500.00  |
| Declan Wall                                     | Scholarship | 1,187.45  |
| Desert Cancer Society                           | Donation    | 100.00    |
| Desert Mission Food Bank                        | Donation    | 5,000.00  |
| Doctors Without Borders                         | Donation    | 100.00    |
| Dominican Sisters of Hope                       | Donation    | 25.00     |
| Eastern Arizona Foundation                      | Donation    | 100.00    |
| East Valley Hispanic Chamber of Commerce        | Donation    | 1,000.00  |
| Farnsworth, Joseph                              | Scholarship | 1,907.00  |
| Franciscan School of Theology                   | Donation    | 10,270.00 |
| Flood Family Crash Victims                      | Donation    | 500.00    |
| Franciscan Friars                               | Donation    | 100.00    |
| George Mason University                         | Donation    | 100.00    |
| Garcia, Isabella                                | Scholarship | 4,000.00  |
| Grand Canyon University Mission                 | Donation    | 500.00    |
| Gunderson, Amanda                               | Scholarship | 1,000.00  |
| Girl Scout Troop #228                           | Donation    | 1,000.00  |
| Girl Scout Cactus Pine Troup                    | Donation    | 1,000.00  |
| Grand Canyon Council Boy Scouts                 | Donation    | 1,000.00  |
| Heard Museum                                    | Donation    | 3,500.00  |
| Hospice of Valley                               | Donation    | 1,000.00  |
| Immaculate Conception Church/Yuma               | Donation    | 3,000.00  |
| Ingalina, Allisa                                | Scholarship | 303.25    |
| Ingalina, Gerard                                | Scholarship | 1,000.00  |
| ICAN                                            | Donation    | 2,000.00  |
| Jacob King                                      | Scholarship | 2,375.00  |
| Johanna Renee Urquilo                           | Scholarship | 1,000.00  |
| Brett Jordan                                    | Scholarship | 2,000.00  |
| John Vance Memorial Fund                        | Donation    | 200.00    |
| Joe Foss Institute / ASU                        | Donation    | 1,000.00  |
| Komen 3-Day Cancer Race                         | Donation    | 100.00    |
| Kiwanis Club - Eliminating Maternal & Neonatal  | Donation    | 500.00    |
| Lions Camp                                      | Donation    | 200.00    |
| Mesa Public Safety Foundation                   | Donation    | 100.00    |
| Marine Corps Scholarship Foundation             | Donation    | 500.00    |
| MCC/Paco                                        | Scholarship | 2,243.00  |
| MCC/Nicole Ocha                                 | Scholarship | 1,000.00  |
| Mission Point Baptist Fellowship                | Donation    | 100.00    |
| Maryknoll Sisters                               | Donation    | 500.00    |
| Msgr Ryle Fund                                  | Donation    | 787.32    |
| MCC Rose Garden - Milt Lee Memorial             | Donation    | 200.00    |

|                                                   |             |           |
|---------------------------------------------------|-------------|-----------|
| 100 Club of Arizona                               | Donation    | 1,200.00  |
| Phoenix Art Museum                                | Donation    | 1,500.00  |
| Phoenix Theatre                                   | Donation    | 3,000.00  |
| Phoenix Children Hospital Foundation              | Donation    | 1,000.00  |
| Relay for Life - Sedona                           | Donation    | 100.00    |
| St. Johns Church Santa Fe                         | Donation    | 500.00    |
| St. Andrews Haiti Orphanage                       | Donation    | 5,000.00  |
| St. Vincent de Paul Bishop Charity Development    | Donation    | 10,000.00 |
| St. Andrews                                       | Donation    | 21,000.00 |
| St. Vincent de Paul Christmas                     | Donation    | 450.00    |
| San Manuel Education Foundation                   | Donation    | 1,000.00  |
| Simms, Jessica                                    | Scholarship | 1,000.00  |
| STARS/Fiesta De La Madrinan Development           | Donation    | 500.00    |
| Science Foundation Breakfast Challenge            | Donation    | 500.00    |
| Sisters of St. Joseph                             | Donation    | 200.00    |
| Salesian Missions                                 | Donation    | 25.00     |
| San Tan Historical Society                        | Donation    | 100.00    |
| Sacred Heart Nativity Schools                     | Donation    | 100.00    |
| Sun Lakes Sherrif Possee                          | Donation    | 35.00     |
| Seattle Cancer Care Alliance                      | Donation    | 100.00    |
| Salvation Army                                    | Donation    | 25.00     |
| The Arizona Partnership for Immunization          | Donation    | 500.00    |
| TGEN Foundation                                   | Donation    | 1,000.00  |
| The United Methodist (Feed The Starving Children) | Donation    | 250.00    |
| Tucson Museum of Art                              | Donation    | 8,000.00  |
| Tucson Museum Circle of Giving                    | Donation    | 1,500.00  |
| The Tucson Youth Development                      | Donation    | 100.00    |
| U of A Chapa Art Foundation                       | Donation    | 1,000.00  |
| UAF/Panda                                         | Donation    | 500.00    |
| Valley Leadership                                 | Donation    | 240.00    |
| Valley of Sun United Way / Alexis de Tocqueville  | Pledge      | 12,500.00 |
| Valleylife                                        | Donation    | 500.00    |
| Victorial Foundation                              | Donation    | 250.00    |
| Valle del Sol - Capital Campaign                  | Donation    | 2,500.00  |
| Wounded Warriors Project Memorial                 | Donation    | 300.00    |
| Wynn, Theresa / Cornell Univ                      | Scholarship | 1,000.00  |
| Zelma Basha Foundation                            | Donation    | 28,650.00 |

208,598.02

Account Number SS 15624 L3  
Your Financial Advisor or Contact  
FULLMER HAWKINS DYAKON  
213-972-1511/800-443-5203

# UBS Financial Services Inc.

## 2012 Informational Statement

P310110000508300048552-X

### Proceeds from Broker Transactions

Short-term transactions for noncovered securities; included in Line 2a.

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP                                | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1c) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$)    |
|-------------------------------------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------|
| BARCLAYS BANK PLC TRIGGER AOS<br>BRENT CRUDE 6/1/2012<br>Symbol FQKTFI<br>CUSIP 06741K478 |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| Redemption                                                                                | 500.0000                              |                                          | 05/20/11                      | 02/29/12                                   | 5,712.50                      | 5,000.00                             |                                               |                                                 | 712.50            |
| ROYAL BANK OF CANADA TRIGGER<br>AOS CNQ 7/27/2012<br>CUSIP 78010T803                      |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| Redemption                                                                                | 250.0000                              |                                          | 07/27/11                      | 07/27/12                                   | 1,625.85                      | 2,500.00                             |                                               |                                                 | (874.15)          |
| ROYAL BANK OF CANADA TRIGGER<br>PAOS GOOG 12/07/2012<br>CUSIP 78010W244                   |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| Redemption                                                                                | 500.0000                              |                                          | 12/02/11                      | 03/06/12                                   | 5,000.00                      | 5,000.00                             |                                               |                                                 | 0.00              |
| UBS AG CAR AOS BRENT CRUDE<br>07/02/2013<br>CUSIP 90268U523                               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| Redemption                                                                                | 1,500.0000                            |                                          | 06/26/12                      | 10/01/12                                   | 15,453.15                     | 15,000.00                            |                                               |                                                 | 453.15            |
| UBS AG ROS HGX 2/27/2015<br>CUSIP 9026M0226                                               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                                                      | 500.0000                              |                                          | 02/27/12                      | 10/17/12                                   | 6,061.75                      | 5,000.00                             |                                               |                                                 | 1,061.75          |
| UBS AG TRIGGER AOS DE 5/31/2012<br>Symbol FSITFI<br>CUSIP 90267G608                       |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| Redemption                                                                                | 500.0000                              |                                          | 05/26/11                      | 01/30/12                                   | 5,540.65                      | 5,000.00                             |                                               |                                                 | 540.65            |
| <b>Total</b>                                                                              | <b>3,750.0000</b>                     |                                          |                               |                                            | <b>\$39,393.90</b>            | <b>\$37,500.00</b>                   |                                               |                                                 | <b>\$1,893.90</b> |

continued next page

Account Number SS 15624 L3  
Your Financial Advisor or Contact  
FULLMER HAWKINS DYAKON  
213-972-1511/800-443-5203

# UBS Financial Services Inc.

## 2012 Informational Statement

P310110000508300048553-X

### Proceeds from Broker Transactions (continued)

Long-term transactions for noncovered securities; included in Line 2a.

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP<br>Activity type             | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b)<br>(Line 1a) | Date of<br>sale /<br>exchange<br>(Line 1a)<br>(Line 1b) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$) |
|-----------------------------------------------------------------------------------------|---------------------------------------|------------------------------------------|--------------------------------------------|---------------------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|----------------|
| BARCLAYS BANK PLC TRIGGER PAOS<br>RIMM 7/13/2012<br>CUSIP 06741K114                     | 500.0000                              |                                          | 07/08/11                                   | 07/13/12                                                | 1,323.35                      | 5,000.00                             |                                               |                                                 | (3,676.65)     |
| Redemption                                                                              |                                       |                                          |                                            |                                                         |                               |                                      |                                               |                                                 |                |
| BARCLAYS BK PLC ROS COPPER & ZINC<br>BSKT 2/17/2012<br>Symbol EKRIFI<br>CUSIP 06740P536 | 4,000.0000                            |                                          | 02/11/11                                   | 02/17/12                                                | 34,448.21                     | 40,000.00                            |                                               |                                                 | (5,551.79)     |
| Redemption                                                                              |                                       |                                          |                                            |                                                         |                               |                                      |                                               |                                                 |                |
| DEUTSCHE BANK AG AOS-CP RTY<br>12/29/2015<br>Symbol DUOTFI<br>CUSIP 25154P675           | 3,000.0000                            |                                          | 12/22/10                                   | 03/28/12                                                | 33,720.00                     | 30,000.00                            |                                               |                                                 | 3,720.00       |
| Redemption                                                                              |                                       |                                          |                                            |                                                         |                               |                                      |                                               |                                                 |                |
| DEUTSCHE BANK AG TRIGGER AOS<br>POT 7/19/2012<br>CUSIP 25154W399                        | 500.0000                              |                                          | 07/15/11                                   | 07/19/12                                                | 3,697.65                      | 5,000.00                             |                                               |                                                 | (1,302.35)     |
| Redemption                                                                              |                                       |                                          |                                            |                                                         |                               |                                      |                                               |                                                 |                |
| HSBC USA INC TRIGGER ROS GLBL FND<br>BSK 9/30/2014<br>CUSIP 40433C411                   | 2,500.0000                            |                                          | 09/27/11                                   | 10/22/12                                                | 28,559.75                     | 25,000.00                            |                                               |                                                 | 3,559.75       |
| Sell                                                                                    |                                       |                                          |                                            |                                                         |                               |                                      |                                               |                                                 |                |
| JP MORGAN CHASE ROS GRAIN<br>BASKET 2/17/2012<br>Symbol EIRIFI<br>CUSIP 46634X492       | 4,000.0000                            |                                          | 02/11/11                                   | 02/17/12                                                | 33,719.55                     | 40,000.00                            |                                               |                                                 | (6,280.45)     |
| Redemption                                                                              |                                       |                                          |                                            |                                                         |                               |                                      |                                               |                                                 |                |
| JP MORGAN CHASE TRIGGER AOS HAL<br>7/26/2012<br>CUSIP 46636T408                         | 500.0000                              |                                          | 07/22/11                                   | 07/26/12                                                | 2,689.70                      | 5,000.00                             |                                               |                                                 | (2,310.30)     |
| Redemption                                                                              |                                       |                                          |                                            |                                                         |                               |                                      |                                               |                                                 |                |

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Account Number SS 15624 L3  
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213-972-1511/800-443-5203

UBS Financial Services Inc.

# 2012 Informational Statement

P3101L0000508300048554-X

## Proceeds from Broker Transactions (continued)

Long-term transactions for noncovered securities; included in Line 2a (continued)

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP                           | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$) |
|--------------------------------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|----------------|
| ROYAL BANK OF CANADA TRIGGER<br>AOS SLB 4/5/2012<br>Symbol FB8TFI<br>CUSIP 78009C258 | 500.0000                              |                                          | 03/29/11                      | 04/05/12                                   | 3,705.49                      | 5,000.00                             |                                               |                                                 | (1,294.51)     |
| ROYAL BANK OF CANADA TRIGGER<br>PAOS SLW 8/24/2012<br>CUSIP 78010W400                | 500.0000                              |                                          | 08/19/11                      | 08/24/12                                   | 5,000.00                      | 5,000.00                             |                                               |                                                 | 0.00           |
| UBS AG TRIGGER AOS HOT 3/1/2012<br>Symbol EPMTHI<br>CUSIP 90267G152                  | 500.0000                              |                                          | 02/23/11                      | 03/01/12                                   | 5,000.00                      | 5,000.00                             |                                               |                                                 | 0.00           |
| UBS AG TRIGGER AOS RTY 6/28/2016<br>Symbol GEOTFI<br>CUSIP 90267X650                 | 2,500.0000                            |                                          | 06/22/11                      | 09/26/12                                   | 28,156.25                     | 25,000.00                            |                                               |                                                 | 3,156.25       |
| UBS AG TRIGGER AOS SPY 10/27/2016<br>CUSIP 90267N330                                 | 5,000.0000                            |                                          | 10/21/11                      | 10/31/12                                   | 55,375.00                     | 50,000.00                            |                                               |                                                 | 5,375.00       |
| UBS AG TRIGGER AOS SPY 11/25/2016<br>CUSIP 90267M316                                 | 2,500.0000                            |                                          | 11/18/11                      | 11/28/12                                   | 27,880.00                     | 25,000.00                            |                                               |                                                 | 2,880.00       |
| UBS AG TRIGGER AOS SPY 12/22/2016<br>CUSIP 90267U516                                 | 5,000.0000                            |                                          | 12/16/11                      | 12/28/12                                   | 55,360.00                     | 50,000.00                            |                                               |                                                 | 5,360.00       |

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UBS Financial Services Inc.

## 2012 Informational Statement

P310110000508300048555-X

### Proceeds from Broker Transactions (continued)

Long-term transactions for noncovered securities; included in Line 2a. (continued)

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP                       | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1f) | Date<br>acquired<br>(Line 1b)<br>(Line 1a) | Date of<br>sale /<br>exchange<br>(Line 1c) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/loss (\$)      |
|----------------------------------------------------------------------------------|---------------------------------------|------------------------------------------|--------------------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|---------------------|
| UBS AG TRIGGER PAOS GS 6/14/2012<br>Symbol FXTTFI<br>CUSIP 90267X221             |                                       |                                          |                                            |                                            |                               |                                      |                                               |                                                 |                     |
| Redemption                                                                       | 500.0000                              |                                          | 06/10/11                                   | 06/14/12                                   | 3,478.00                      | 5,000.00                             |                                               |                                                 | (1,522.00)          |
| UBS AG TRIGGER PAOS HPQ 6/21/2012<br>Symbol FZSTFI<br>CUSIP 90267X627            |                                       |                                          |                                            |                                            |                               |                                      |                                               |                                                 |                     |
| Redemption                                                                       | 500.0000                              |                                          | 06/17/11                                   | 06/21/12                                   | 3,007.15                      | 5,000.00                             |                                               |                                                 | (1,992.85)          |
| UBS AG TRIGGER PAOS IOYG<br>7/19/2012<br>CUSIP 90267X791                         |                                       |                                          |                                            |                                            |                               |                                      |                                               |                                                 |                     |
| Redemption                                                                       | 500.0000                              |                                          | 07/15/11                                   | 07/19/12                                   | 2,599.40                      | 5,000.00                             |                                               |                                                 | (2,400.60)          |
| UBS AG TRIGGER STEP PS IPY BSKT<br>9/28/2012<br>Symbol EXVTFI<br>CUSIP 902669308 |                                       |                                          |                                            |                                            |                               |                                      |                                               |                                                 |                     |
| Redemption                                                                       | 5,000.0000                            |                                          | 03/28/11                                   | 09/28/12                                   | 50,000.00                     | 50,000.00                            |                                               |                                                 | 0.00                |
| <b>Total</b>                                                                     | <b>38,000.0000</b>                    |                                          |                                            |                                            | <b>\$377,719.50</b>           | <b>\$380,000.00</b>                  |                                               |                                                 | <b>\$(2,280.50)</b> |
| <b>Total</b>                                                                     |                                       |                                          |                                            |                                            | <b>\$417,113.40</b>           |                                      |                                               |                                                 |                     |

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# UBS Financial Services Inc.

## 2012 Informational Statement

P3101L0000508300048556.X

### 2012 Realized Gain/Loss Summary

| Description                                                            | Sale amount                | Cost/other basis           | Wash sale<br>loss disallowed | Net<br>Gain/Loss           |
|------------------------------------------------------------------------|----------------------------|----------------------------|------------------------------|----------------------------|
| <b>Short-term Gain/Loss</b>                                            |                            |                            |                              |                            |
| Short-term transactions for noncovered securities, included in line 2a |                            |                            |                              |                            |
| <b>Total short-term</b>                                                | 39,393 90<br>\$39,393 90   | 37,500 00<br>\$37,500 00   |                              | 1 893 90<br>\$1,893 90     |
| <b>Long-term Gain/Loss</b>                                             |                            |                            |                              |                            |
| Long-term transactions for noncovered securities, included in line 2a  |                            |                            |                              |                            |
| <b>Total long-term</b>                                                 | 377,719 50<br>\$377,719 50 | 380,000 00<br>\$380,000 00 |                              | (2,280 50)<br>\$(2,280 50) |
| <b>Sub Total</b>                                                       | <b>\$417,113.40</b>        | <b>\$417,500.00</b>        |                              | <b>\$(386.60)</b>          |
| <b>Totals</b>                                                          | <b>\$417,113.40</b>        | <b>\$417,500.00</b>        |                              | <b>\$(386.60)</b>          |

### Dividends and Distributions Details

Transactions shown as "Qualified Dividend" only indicate that the dividend is issuer-qualified. We do not compute the holding period required for a qualified dividend. It is the responsibility of the taxpayer to determine whether the holding period requirements have been met. To assist you, we include the ex-dividend date information if available.

| Security description                           | CUSIP     | Activity Description         | Ex Date           | Payment Date | Amount              |
|------------------------------------------------|-----------|------------------------------|-------------------|--------------|---------------------|
| LORD ABBETT INCOME FUND CLASS A                | 543916308 | Short Term Cap Gain Dividend | 12/18/12          | 12/18/12     | 2,401 32            |
|                                                |           |                              | 12/31/12          | 12/31/12     | 470 97              |
|                                                |           |                              | <b>Sub-Total:</b> |              | <b>\$ 2,872.29</b>  |
| LORD ABBETT SHORT DURATION INCOME FUND CLASS A | 543916100 | Short Term Cap Gain Dividend |                   | 12/18/12     | 75 27               |
|                                                |           |                              |                   | 12/31/12     | 362 71              |
|                                                |           |                              | <b>Sub-Total:</b> |              | <b>\$ 437.98</b>    |
| PINNACLE WEST CAP CORP                         | 723484101 | Qualified Dividend           | 01/30/12          | 03/01/12     | 8,698 73            |
|                                                |           | Qualified Dividend           | 04/27/12          | 06/01/12     | 9,590 70            |
|                                                |           | Qualified Dividend           | 07/30/12          | 09/04/12     | 10,498 95           |
|                                                |           | Qualified Dividend           | 10/31/12          | 12/03/12     | 10,898 91           |
|                                                |           |                              | <b>Sub-Total:</b> |              | <b>\$ 39,687.29</b> |
| RMA MONEY MKT PORTFOLIO                        | 90348L105 | Dividend                     |                   | 01/24/12     | 0 53                |
|                                                |           | Dividend                     |                   | 02/22/12     | 0 38                |
|                                                |           | Dividend                     |                   | 03/23/12     | 1 17                |
|                                                |           | Dividend                     |                   | 04/23/12     | 0 87                |
|                                                |           | Dividend                     |                   | 05/23/12     | 0 24                |
|                                                |           | Dividend                     |                   | 06/22/12     | 0 20                |
|                                                |           | Dividend                     |                   | 06/29/12     | 0 04                |
|                                                |           | Dividend                     |                   | 07/18/12     | 0 01                |
|                                                |           | Dividend                     |                   | 07/24/12     | 0 01                |
|                                                |           | Dividend                     |                   | 08/24/12     | 0 05                |

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 FULLMER HAWKINS DYAKON  
 213-972-1511/800-443-5203

# UBS Financial Services Inc. 2012 Informational Statement

P3101G0000033800032940-X

## Proceeds from Broker Transactions

Short-term transactions for covered securities, included in Line 2a.

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP       | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1c) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$)  |
|------------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|-----------------|
| ACCRETIVE HEALTH INC COM<br>Symbol AH<br>CUSIP 00438V103         | 317.0000                              |                                          | 03/30/12                      | 04/25/12                                   | 4,694.78                      | 6,355.72                             |                                               |                                                 | (1,660.94)      |
| AMAZON COM INC<br>Symbol AMZN<br>CUSIP 023135106                 | 22.0000                               |                                          | 02/01/12                      | 02/03/12                                   | 4,080.92                      | 3,951.90                             |                                               |                                                 | 129.02          |
|                                                                  | 38.0000                               |                                          | 04/04/12                      | 04/27/12                                   | 8,450.62                      | 7,350.97                             |                                               |                                                 | 1,099.65        |
| <b>Sub Total</b>                                                 | <b>60.0000</b>                        |                                          |                               |                                            | <b>12,531.54</b>              | <b>11,302.87</b>                     |                                               |                                                 | <b>1,228.67</b> |
| AMER ELECTRIC POWER CO<br>Symbol AEP<br>CUSIP 025537101          | 114.0000                              |                                          | 08/18/11                      | 02/24/12                                   | 4,311.29                      | 4,215.68                             |                                               |                                                 | 95.61           |
| AMERICAN INTL GROUP INC COM NEW<br>Symbol AIG<br>CUSIP 026874784 | 243.0000                              |                                          | 09/07/12                      | 10/18/12                                   | 9,108.97                      | 8,265.51                             |                                               |                                                 | 843.46          |
| AMERICAN TOWER CORP REIT<br>Symbol AMT<br>CUSIP 03027X100        | 33.0000                               |                                          | 04/25/12                      | 05/31/12                                   | 2,124.17                      | 2,133.35                             |                                               |                                                 | (9.18)          |
|                                                                  | 84.0000                               |                                          | 04/25/12                      | 10/01/12                                   | 6,047.86                      | 5,430.34                             |                                               |                                                 | 617.52          |
| <b>Sub Total</b>                                                 | <b>117.0000</b>                       |                                          |                               |                                            | <b>8,172.03</b>               | <b>7,563.69</b>                      |                                               |                                                 | <b>608.34</b>   |

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# UBS Financial Services Inc. 2012 Informational Statement

P3101G0000033800032941-X

## Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities; included in Line 2a. (continued)

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP      | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1a) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$)  |
|-----------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|-----------------|
| APPLE INC<br>Symbol AAPL<br>CUSIP 037833100                     |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                            | 1 0000                                |                                          | 04/25/11                      | 03/30/12                                   | 599 28                        | 353 31                               |                                               |                                                 | 245 97          |
| Sell                                                            | 2 0000                                |                                          | 06/10/11                      | 03/30/12                                   | 1,198 56                      | 654 09                               |                                               |                                                 | 544 47          |
| <b>Sub Total</b>                                                | <b>3.0000</b>                         |                                          |                               |                                            | <b>1,797.84</b>               | <b>1,007.40</b>                      |                                               |                                                 | <b>790.44</b>   |
| ARBITRAGE FUND NO LOAD CLASS<br>Symbol ARBFX<br>CUSIP 03875R106 |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                            | <b>802.1600</b>                       |                                          | 03/07/12                      | 04/25/12                                   | <b>10,331.82</b>              | <b>10,404.01</b>                     |                                               |                                                 | <b>(72.19)</b>  |
| AT&T INC<br>Symbol T<br>CUSIP 00206R102                         |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                            | 114 0000                              |                                          | 08/15/11                      | 03/16/12                                   | 3,605 76                      | 3,238 83                             |                                               |                                                 | 366 93          |
| Sell                                                            | 122 0000                              |                                          | 10/11/11                      | 03/16/12                                   | 3,858 80                      | 3,534 34                             |                                               |                                                 | 324 46          |
| <b>Sub Total</b>                                                | <b>236.0000</b>                       |                                          |                               |                                            | <b>7,464.56</b>               | <b>6,773.17</b>                      |                                               |                                                 | <b>691.39</b>   |
| BARRICK GOLD CORP CAD<br>Symbol ABX<br>CUSIP 067901108          |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                            | 213 0000                              |                                          | 12/19/11                      | 01/25/12                                   | 10,359 06                     | 9,505 70                             |                                               |                                                 | 853 36          |
| Sell                                                            | 48 0000                               |                                          | 04/04/12                      | 05/31/12                                   | 1,860 96                      | 2,023 74                             |                                               |                                                 | (162 78)        |
| Sell                                                            | 205 0000                              |                                          | 04/04/12                      | 10/25/12                                   | 8,069 91                      | 8,643 07                             |                                               |                                                 | (573 16)        |
| <b>Sub Total</b>                                                | <b>466.0000</b>                       |                                          |                               |                                            | <b>20,289.93</b>              | <b>20,172.51</b>                     |                                               |                                                 | <b>117.42</b>   |
| BIO REFERENCE LAB INC NEW<br>Symbol BRL<br>CUSIP 09057G602      |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                            | <b>217.0000</b>                       |                                          | 06/06/12                      | 06/07/12                                   | <b>4,322.54</b>               | <b>4,765.23</b>                      |                                               |                                                 | <b>(442.69)</b> |

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# UBS Financial Services Inc.

## 2012 Informational Statement

P3101G0000033800032942.X

### Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities; included in Line 2a. (continued)

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP<br>Activity type  | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b)<br>(Line 1a) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$)    | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$)                   |
|------------------------------------------------------------------------------|---------------------------------------|------------------------------------------|--------------------------------------------|--------------------------------------------|----------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|----------------------------------|
| CALPINE CORP NEW<br>Symbol CPN<br>CUSIP 131347304                            | 330.0000                              |                                          | 07/16/12                                   | 10/17/12                                   | 6,135.53                         | 5,693.30                             |                                               |                                                 | 442.23                           |
| CAMPBELL SOUP CO<br>Symbol CPB<br>CUSIP 134429109                            | 179.0000                              |                                          | 10/11/11                                   | 01/25/12                                   | 5,671.47                         | 5,960.51                             |                                               |                                                 | (289.04)                         |
| CENTURYLINK INC<br>Symbol CTL<br>CUSIP 156700106                             | 190.0000                              |                                          | 02/13/12                                   | 02/28/12                                   | 7,682.05                         | 7,211.28                             |                                               |                                                 | 470.77                           |
| CHINA LIFE INSURANCE CO LTD ADS<br>SPON ADR<br>Symbol LFC<br>CUSIP 16939P106 | 98.0000<br>105.0000<br>203.0000       |                                          | 08/29/12                                   | 10/16/12                                   | 4,468.83<br>4,798.69<br>9,267.52 | 3,938.55<br>4,219.87<br>8,158.42     |                                               |                                                 | 530.28<br>578.82<br>1,109.10     |
| CITIGROUP INC<br>Symbol C<br>CUSIP 172967424                                 | 227.0000                              |                                          | 01/12/12                                   | 01/17/12                                   | 6,576.06                         | 7,059.70                             |                                               |                                                 | (483.64)                         |
| CLEAN ENERGY FUELS CORP<br>Symbol CLNE<br>CUSIP 184499101                    | 209.0000<br>296.0000<br>505.0000      |                                          | 03/16/12                                   | 03/22/12                                   | 4,798.18<br>5,057.10<br>9,855.28 | 4,252.57<br>6,352.32<br>10,604.89    |                                               |                                                 | 545.61<br>(1,295.22)<br>(749.61) |

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UBS Financial Services Inc.

## 2012 Informational Statement

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### Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities, included in Line 2a. (continued)

| Security description (Line 8)<br>Symbol (Line 1a)<br>CUSIP<br>Activity type | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1c)<br>(Line 1a) | Date of<br>sale /<br>exchange<br>(Line 1d)<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/loss (\$) |
|-----------------------------------------------------------------------------|---------------------------------------|------------------------------------------|--------------------------------------------|---------------------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|----------------|
| COCA COLA CO COM<br>Symbol KO<br>CUSIP 191216100                            |                                       |                                          |                                            |                                                         |                               |                                      |                                               |                                                 |                |
| Sell                                                                        | 9 0000                                |                                          | 06/10/11                                   | 01/11/12                                                | 611 50                        | 589 04                               |                                               |                                                 | 22 46          |
| Sell                                                                        | 7 0000                                |                                          | 06/15/11                                   | 01/11/12                                                | 475 61                        | 457 23                               |                                               |                                                 | 18 38          |
| <b>Sub Total</b>                                                            | <b>16.0000</b>                        |                                          |                                            |                                                         | <b>1,087.11</b>               | <b>1,046.27</b>                      |                                               |                                                 | <b>40.84</b>   |
| COLGATE PALMOLIVE CO<br>Symbol CL<br>CUSIP 194162103                        |                                       |                                          |                                            |                                                         |                               |                                      |                                               |                                                 |                |
| Sell                                                                        | 3 0000                                |                                          | 04/25/11                                   | 03/28/12                                                | 287 85                        | 239 70                               |                                               |                                                 | 48 15          |
| Sell                                                                        | 5 0000                                |                                          | 06/10/11                                   | 03/28/12                                                | 479 75                        | 423 65                               |                                               |                                                 | 56 10          |
| Sell                                                                        | 3 0000                                |                                          | 06/15/11                                   | 03/28/12                                                | 287 85                        | 259 53                               |                                               |                                                 | 28 32          |
| <b>Sub Total</b>                                                            | <b>11.0000</b>                        |                                          |                                            |                                                         | <b>1,055.45</b>               | <b>922.88</b>                        |                                               |                                                 | <b>132.57</b>  |
| COMCAST CORP NEW CL A<br>Symbol CMCSA<br>CUSIP 20030N101                    |                                       |                                          |                                            |                                                         |                               |                                      |                                               |                                                 |                |
| Sell                                                                        | 67.0000                               |                                          | 04/25/12                                   | 05/31/12                                                | 1,927.66                      | 1,986.23                             |                                               |                                                 | (58.57)        |
| CORNING INC<br>Symbol GLW<br>CUSIP 219350105                                |                                       |                                          |                                            |                                                         |                               |                                      |                                               |                                                 |                |
| Sell                                                                        | 552.0000                              |                                          | 02/01/12                                   | 03/28/12                                                | 7,675.06                      | 7,147.56                             |                                               |                                                 | 527.50         |
| COSTCO WHOLESALE CORP<br>Symbol COST<br>CUSIP 22160K105                     |                                       |                                          |                                            |                                                         |                               |                                      |                                               |                                                 |                |
| Sell                                                                        | 63.0000                               |                                          | 05/31/12                                   | 06/20/12                                                | 5,769.96                      | 5,401.41                             |                                               |                                                 | 368.55         |
| CROWN CASTLE INTL CORP<br>Symbol CCI<br>CUSIP 228227104                     |                                       |                                          |                                            |                                                         |                               |                                      |                                               |                                                 |                |
| Sell                                                                        | 140.0000                              |                                          | 03/01/12                                   | 04/25/12                                                | 7,817.15                      | 7,325.82                             |                                               |                                                 | 491.33         |

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UBS Financial Services Inc.

## 2012 Informational Statement

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### Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities, included in Line 2a. (continued)

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$)    |
|------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------|
| CSX CORPORATION<br>Symbol CSX<br>CUSIP 126408103           |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                       | 45 0000                               |                                          | 03/08/12                      | 05/31/12                                   | 925 29                        | 912 08                               |                                               |                                                 | 13 21             |
| Sell                                                       | 265 0000                              |                                          | 03/08/12                      | 06/27/12                                   | 5,716 17                      | 5,371 16                             |                                               |                                                 | 345 01            |
| <b>Sub Total</b>                                           | <b>310.0000</b>                       |                                          |                               |                                            | <b>6,641.46</b>               | <b>6,283.24</b>                      |                                               |                                                 | <b>358.22</b>     |
| CYPRESS SEMICONDUCTOR CP<br>Symbol CY<br>CUSIP 232806109   |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                       | 405.0000                              |                                          | 03/08/12                      | 05/18/12                                   | 5,174.27                      | 6,236.91                             |                                               |                                                 | (1,062.64)        |
| DEERE AND CO<br>Symbol DE<br>CUSIP 244199105               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                       | 82.0000                               |                                          | 08/15/12                      | 11/30/12                                   | 6,960.04                      | 6,166.78                             |                                               |                                                 | 793.26            |
| DEVON ENERGY CORP NEW<br>Symbol DVN<br>CUSIP 25179M103     |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                       | 21 0000                               |                                          | 04/25/12                      | 05/31/12                                   | 1,239 78                      | 1,406 16                             |                                               |                                                 | (166 38)          |
| Sell                                                       | 92 0000                               |                                          | 04/25/12                      | 11/13/12                                   | 4,966 02                      | 6,160 30                             |                                               |                                                 | (1,194 28)        |
| <b>Sub Total</b>                                           | <b>113.0000</b>                       |                                          |                               |                                            | <b>6,205.80</b>               | <b>7,566.46</b>                      |                                               |                                                 | <b>(1,360.66)</b> |
| DOW CHEMICAL<br>Symbol DOW<br>CUSIP 260543103              |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                       | 251 0000                              |                                          | 07/25/12                      | 08/22/12                                   | 7,529 55                      | 7,559 41                             |                                               |                                                 | (29 86)           |
| Sell                                                       | 283 0000                              |                                          | 10/23/12                      | 10/24/12                                   | 8,588 98                      | 8,090 21                             |                                               |                                                 | 498 77            |
| <b>Sub Total</b>                                           | <b>534.0000</b>                       |                                          |                               |                                            | <b>16,118.53</b>              | <b>15,649.62</b>                     |                                               |                                                 | <b>468.91</b>     |
| EMC CORP MASS<br>Symbol EMC<br>CUSIP 268648102             |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                       | 241.0000                              |                                          | 07/11/12                      | 07/18/12                                   | 5,956.13                      | 5,673.94                             |                                               |                                                 | 282.19            |

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UBS Financial Services Inc.

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### Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities; included in Line 2a. (continued)

| Security description (Line 8)<br>Symbol (Line 1a)<br>CUSIP<br>Activity type | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1c) | Date of<br>sale /<br>exchange<br>(Line 1d) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$) |
|-----------------------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|----------------|
| EVEREST RE GROUP LTD BERMUDA<br>Symbol RE<br>CUSIP G3223R108                |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                                                        | 85.0000                               |                                          | 07/23/12                      | 07/30/12                                   | 8,922.41                      | 8,647.53                             |                                               |                                                 | 274.88         |
| FLUOR CORP NEW<br>Symbol FLR<br>CUSIP 343412102                             |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                                                        | 96.0000                               |                                          | 08/01/12                      | 08/03/12                                   | 4,957.49                      | 4,819.43                             |                                               |                                                 | 138.06         |
| FREEMONT-MCMORAN COPPER & GOLD<br>INC<br>Symbol FCX<br>CUSIP 35671D857      |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                                                        | 231.0000                              |                                          | 06/22/12                      | 07/19/12                                   | 7,982.87                      | 7,564.49                             |                                               |                                                 | 418.38         |
| GENL MILLS INC<br>Symbol GIS<br>CUSIP 370334104                             |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                                                        | 15.0000                               |                                          | 06/10/11                      | 03/16/12                                   | 582.41                        | 567.27                               |                                               |                                                 | 15.14          |
| Sell                                                                        | 10.0000                               |                                          | 06/15/11                      | 03/16/12                                   | 388.27                        | 379.78                               |                                               |                                                 | 8.49           |
| Sub Total                                                                   | 25.0000                               |                                          |                               |                                            | 970.68                        | 947.05                               |                                               |                                                 | 23.63          |
| GOLDMAN SACHS GROUP INC<br>Symbol GS<br>CUSIP 38141G104                     |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                                                        | 100.0000                              |                                          | 06/22/12                      | 07/17/12                                   | 9,951.43                      | 9,494.84                             |                                               |                                                 | 456.59         |
| GSV CAP CORP COM<br>Symbol GSVC<br>CUSIP 36191J101                          |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                                                        | 2.0000                                |                                          | 02/06/12                      | 03/16/12                                   | 36.26                         | 38.62                                |                                               |                                                 | (2.36)         |
| Sell                                                                        | 9.0000                                |                                          | 02/06/12                      | 03/16/12                                   | 163.19                        | 180.00                               |                                               |                                                 | (16.81)        |
| Sell                                                                        | 29.0000                               |                                          | 02/06/12                      | 03/19/12                                   | 527.79                        | 580.00                               |                                               |                                                 | (52.21)        |

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# UBS Financial Services Inc.

## 2012 Informational Statement

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### Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities, included in Line 2a. (continued)

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP           | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$)  |
|----------------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|-----------------|
|                                                                      |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| GSV CAP CORP COM<br>Symbol GSVCC<br>CUSIP 361911101                  |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                                 | 169 0000                              |                                          | 02/06/12                      | 03/20/12                                   | 3,058.84                      | 3,380.00                             |                                               |                                                 | (321.16)        |
| Sell                                                                 | 2 0000                                |                                          | 02/10/12                      | 03/20/12                                   | 36.20                         | 30.38                                |                                               |                                                 | 5.82            |
| <b>Sub Total</b>                                                     | <b>211.0000</b>                       |                                          |                               |                                            | <b>3,822.28</b>               | <b>4,209.00</b>                      |                                               |                                                 | <b>(386.72)</b> |
| HBE EQUIPMENT SERVICES INC<br>Symbol HEEES<br>CUSIP 404030108        |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                                 | 28 0000                               |                                          | 08/01/12                      | 08/02/12                                   | 437.90                        | 400.96                               |                                               |                                                 | 36.94           |
| Sell                                                                 | 51 0000                               |                                          | 08/01/12                      | 08/02/12                                   | 779.56                        | 730.32                               |                                               |                                                 | 49.24           |
| Sell                                                                 | 260 0000                              |                                          | 08/01/12                      | 08/02/12                                   | 3,836.55                      | 3,723.20                             |                                               |                                                 | 113.35          |
| <b>Sub Total</b>                                                     | <b>339.0000</b>                       |                                          |                               |                                            | <b>5,054.01</b>               | <b>4,854.48</b>                      |                                               |                                                 | <b>199.53</b>   |
| HALLIBURTON CO (HOLDING<br>COMPANY)<br>Symbol HAL<br>CUSIP 406216101 |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                                 | 166 0000                              |                                          | 06/14/12                      | 08/28/12                                   | 5,640.55                      | 4,744.04                             |                                               |                                                 | 896.51          |
| Sell                                                                 | 166 0000                              |                                          | 06/14/12                      | 11/14/12                                   | 5,006.90                      | 4,744.04                             |                                               |                                                 | 262.86          |
| <b>Sub Total</b>                                                     | <b>332.0000</b>                       |                                          |                               |                                            | <b>10,647.45</b>              | <b>9,488.08</b>                      |                                               |                                                 | <b>1,159.37</b> |
| HASBRO INC<br>Symbol HAS<br>CUSIP 418056107                          |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                                 | 230.0000                              |                                          | 07/20/12                      | 07/23/12                                   | 8,054.26                      | 7,766.66                             |                                               |                                                 | 287.60          |
| HUMANA INC<br>Symbol HUM<br>CUSIP 444859102                          |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                                 | 47 0000                               |                                          | 04/27/12                      | 05/31/12                                   | 3,574.79                      | 4,189.72                             |                                               |                                                 | (614.93)        |
| Sell                                                                 | 52 0000                               |                                          | 04/27/12                      | 08/27/12                                   | 3,639.49                      | 4,635.43                             |                                               |                                                 | (995.94)        |

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UBS Financial Services Inc.

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### Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities, included in Line 2a. (continued)

| Security description (Line 8)<br>Symbol (Line 1a)<br>CUSIP                 | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b)<br>(Line 1a) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$)    |
|----------------------------------------------------------------------------|---------------------------------------|------------------------------------------|--------------------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------|
| <b>HUMANA INC</b><br>Symbol HUM<br>CUSIP 444859102                         |                                       |                                          |                                            |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                                       | 2.0000                                |                                          | 04/27/12                                   | 09/19/12                                   | 139.91                        | 178.29                               |                                               |                                                 | (38.38)           |
| Sell                                                                       | 50.0000                               |                                          | 04/30/12                                   | 09/19/12                                   | 3,497.69                      | 4,035.14                             |                                               |                                                 | (537.45)          |
| <b>Sub Total</b>                                                           | <b>151.0000</b>                       |                                          |                                            |                                            | <b>10,851.88</b>              | <b>13,038.58</b>                     |                                               |                                                 | <b>(2,186.70)</b> |
| <b>HUNTSMAN CORP</b><br>Symbol HUN<br>CUSIP 447011107                      |                                       |                                          |                                            |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                                       | 454.0000                              |                                          | 03/16/12                                   | 04/02/12                                   | 6,799.97                      | 6,388.60                             |                                               |                                                 | 411.37            |
| Sell                                                                       | 113.0000                              |                                          | 03/27/12                                   | 04/02/12                                   | 1,692.50                      | 1,666.54                             |                                               |                                                 | 25.96             |
| Sell                                                                       | 593.0000                              |                                          | 04/11/12                                   | 05/01/12                                   | 9,179.63                      | 8,422.21                             |                                               |                                                 | 757.42            |
| <b>Sub Total</b>                                                           | <b>1,160.0000</b>                     |                                          |                                            |                                            | <b>17,672.10</b>              | <b>16,477.35</b>                     |                                               |                                                 | <b>1,194.75</b>   |
| <b>INTEL CORP</b><br>Symbol INTC<br>CUSIP 458140100                        |                                       |                                          |                                            |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                                       | 9.0000                                |                                          | 08/23/11                                   | 05/23/12                                   | 232.19                        | 196.01                               |                                               |                                                 | 36.18             |
| <b>INTL PAPER CO</b><br>Symbol IP<br>CUSIP 460146103                       |                                       |                                          |                                            |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                                       | 231.0000                              |                                          | 11/17/11                                   | 04/27/12                                   | 7,787.26                      | 6,400.48                             |                                               |                                                 | 1,386.78          |
| <b>ISHARES INC MSCI TURKEY INDEX FUND</b><br>Symbol TUR<br>CUSIP 464286715 |                                       |                                          |                                            |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                                       | 140.0000                              |                                          | 02/09/12                                   | 03/13/12                                   | 7,009.69                      | 7,231.00                             |                                               |                                                 | (221.31)          |

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# UBS Financial Services Inc. 2012 Informational Statement

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## Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities; included in Line 2a. (continued)

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP                 | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1f) | Date<br>acquired<br>(Line 1b)<br>(Line 1a) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3i) (\$) | Wash sale<br>loss disallowed<br>(Line 5i) (\$) | Federal income<br>tax withheld<br>(Line 4i) (\$) | Gain/Loss (\$)  |
|----------------------------------------------------------------------------|---------------------------------------|------------------------------------------|--------------------------------------------|--------------------------------------------|-------------------------------|---------------------------------------|------------------------------------------------|--------------------------------------------------|-----------------|
| ISHARES TRUST RUSSELL 2000 INDEX<br>FUND<br>Symbol IWM<br>CUSIP 464287655  |                                       |                                          |                                            |                                            |                               |                                       |                                                |                                                  |                 |
| Sell                                                                       | 29.0000                               |                                          | 04/02/12                                   | 05/31/12                                   | 2,178.66                      | 2,423.79                              |                                                |                                                  | (245.13)        |
| Sell                                                                       | 72.0000                               |                                          | 04/02/12                                   | 06/20/12                                   | 5,654.17                      | 6,017.67                              |                                                |                                                  | (363.50)        |
| Sell                                                                       | 125.0000                              |                                          | 10/04/12                                   | 10/25/12                                   | 10,126.07                     | 10,450.28                             |                                                |                                                  | (324.21)        |
| <b>Sub Total</b>                                                           | <b>226.0000</b>                       |                                          |                                            |                                            | <b>17,958.90</b>              | <b>18,901.74</b>                      |                                                |                                                  | <b>(942.84)</b> |
| ISHARES TRUST S&P 500 STOCK<br>INDEX FUND<br>Symbol PFF<br>CUSIP 464288687 |                                       |                                          |                                            |                                            |                               |                                       |                                                |                                                  |                 |
| Sell                                                                       | 269.0000                              |                                          | 02/03/12                                   | 03/13/12                                   | 10,544.78                     | 10,308.00                             |                                                |                                                  | 236.78          |
| JOHNSON & JOHNSON COM<br>Symbol JNJ<br>CUSIP 478160104                     |                                       |                                          |                                            |                                            |                               |                                       |                                                |                                                  |                 |
| Sell                                                                       | 99.0000                               |                                          | 04/17/12                                   | 04/25/12                                   | 6,359.62                      | 6,329.66                              |                                                |                                                  | 29.96           |
| JOY GLOBAL INC<br>Symbol JOY<br>CUSIP 481165108                            |                                       |                                          |                                            |                                            |                               |                                       |                                                |                                                  |                 |
| Sell                                                                       | 81.0000                               |                                          | 12/14/11                                   | 01/27/12                                   | 7,503.06                      | 6,297.42                              |                                                |                                                  | 1,205.64        |
| JUNIPER NETWORKS INC<br>Symbol JNPR<br>CUSIP 48203R104                     |                                       |                                          |                                            |                                            |                               |                                       |                                                |                                                  |                 |
| Sell                                                                       | 311.0000                              |                                          | 01/26/12                                   | 02/03/12                                   | 7,022.89                      | 7,113.66                              |                                                |                                                  | (90.77)         |
| LAM RESEARCH CORP<br>Symbol LRCX<br>CUSIP 512807108                        |                                       |                                          |                                            |                                            |                               |                                       |                                                |                                                  |                 |
| Sell                                                                       | 166.0000                              |                                          | 07/24/12                                   | 10/18/12                                   | 5,855.92                      | 5,707.63                              |                                                |                                                  | 148.29          |

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# UBS Financial Services Inc. 2012 Informational Statement

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## Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities, included in Line 2a. (continued)

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP                   | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b)<br>(Line 1a) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$)    |
|------------------------------------------------------------------------------|---------------------------------------|------------------------------------------|--------------------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------|
| LAS VEGAS SANDS CORP<br>Symbol LVS<br>CUSIP 517834107                        |                                       |                                          |                                            |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                                         | 64.0000                               |                                          | 04/10/12                                   | 05/31/12                                   | 2,923.24                      | 3,697.37                             | 278.20                                        |                                                 | (495.93)          |
| Sell                                                                         | 44.0000                               |                                          | 04/10/12                                   | 08/27/12                                   | 1,864.24                      | 2,541.95                             |                                               |                                                 | (677.71)          |
| Sell                                                                         | 75.0000                               |                                          | 04/26/12                                   | 08/27/12                                   | 3,177.68                      | 4,207.06                             |                                               |                                                 | (1,029.38)        |
| Sell                                                                         | 22.0000                               |                                          | 06/14/12                                   | 08/27/12                                   | 932.12                        | 1,245.10                             |                                               |                                                 | (312.98)          |
| Sell                                                                         | 1.0000                                |                                          | 06/14/12                                   | 11/14/12                                   | 41.72                         | 56.60                                |                                               |                                                 | (14.88)           |
| Sell                                                                         | 141.0000                              |                                          | 07/25/12                                   | 11/14/12                                   | 5,882.10                      | 5,294.19                             |                                               |                                                 | 587.91            |
| <b>Sub Total</b>                                                             | <b>347.0000</b>                       |                                          |                                            |                                            | <b>14,821.10</b>              | <b>17,042.27</b>                     | <b>278.20</b>                                 |                                                 | <b>(1,942.97)</b> |
| LAUDER ESTEE COS CL A<br>Symbol EL<br>CUSIP 518439104                        |                                       |                                          |                                            |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                                         | 99.0000                               |                                          | 05/31/12                                   | 08/01/12                                   | 5,054.15                      | 5,406.19                             |                                               |                                                 | (352.04)          |
| MARKET VECTORS ETF TR OIL SVCS ETF<br>Symbol OIH<br>CUSIP 57060U191          |                                       |                                          |                                            |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                                         | 161.0000                              |                                          | 06/20/12                                   | 11/13/12                                   | 5,994.41                      | 5,800.47                             |                                               |                                                 | 193.94            |
| MARKET VECTORS ETF TR JR GOLD<br>MINERS ETF<br>Symbol GDJ<br>CUSIP 57060U589 |                                       |                                          |                                            |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                                         | 252.0000                              |                                          | 03/14/12                                   | 04/04/12                                   | 5,763.92                      | 6,345.91                             |                                               |                                                 | (581.99)          |
| Sell                                                                         | 294.0000                              |                                          | 06/22/12                                   | 08/21/12                                   | 6,355.49                      | 5,693.68                             |                                               |                                                 | 661.81            |
| <b>Sub Total</b>                                                             | <b>546.0000</b>                       |                                          |                                            |                                            | <b>12,119.41</b>              | <b>12,039.59</b>                     |                                               |                                                 | <b>79.82</b>      |
| MARKET VECTORS GOLD MINERS ETF<br>Symbol GDJ<br>CUSIP 57060U100              |                                       |                                          |                                            |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                                         | 201.0000                              |                                          | 03/13/12                                   | 04/04/12                                   | 9,523.90                      | 10,508.15                            |                                               |                                                 | (984.25)          |

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UBS Financial Services Inc.

## 2012 Informational Statement

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### Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities; included in Line 2a. (continued)

| Security description (Line 8)                 |               | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1a) | Date<br>acquired<br>(Line 1b) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/loss (\$) |
|-----------------------------------------------|---------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|----------------|
| Symbol (Line 1d)<br>CUSIP                     | Activity Type |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| MARKET VECTORS INDONESIA IND                  |               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Symbol IDX<br>CUSIP 57060U753                 |               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                          |               | 42 0000                               |                                          | 01/12/12                      | 03/13/12                                   | 1,235.47                      | 1,225.56                             |                                               |                                                 | 9.91           |
| Sell                                          |               | 70 0000                               |                                          | 01/12/12                      | 03/13/12                                   | 2,059.12                      | 2,046.10                             |                                               |                                                 | 13.02          |
| Sell                                          |               | 36 0000                               |                                          | 01/12/12                      | 03/13/12                                   | 1,058.97                      | 1,053.36                             |                                               |                                                 | 5.61           |
| Sub Total                                     |               | 148.0000                              |                                          |                               |                                            | 4,353.56                      | 4,325.02                             |                                               |                                                 | 28.54          |
| MASTERCARD INC CL A                           |               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Symbol MA<br>CUSIP 57636Q104                  |               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                          |               | 19 0000                               |                                          | 01/31/12                      | 02/02/12                                   | 7,208.75                      | 6,775.97                             |                                               |                                                 | 432.78         |
| Sell                                          |               | 17 0000                               |                                          | 04/12/12                      | 04/27/12                                   | 7,822.60                      | 7,347.49                             |                                               |                                                 | 475.11         |
| Sell                                          |               | 12 0000                               |                                          | 05/01/12                      | 08/28/12                                   | 5,097.33                      | 5,465.91                             |                                               |                                                 | (368.58)       |
| Sell                                          |               | 2 0000                                |                                          | 05/31/12                      | 08/28/12                                   | 849.56                        | 804.87                               |                                               |                                                 | 44.69          |
| Sub Total                                     |               | 50.0000                               |                                          |                               |                                            | 20,978.24                     | 20,394.24                            |                                               |                                                 | 584.00         |
| MATTHEWS INTERNATIONAL PACIFIC                |               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| TIGER FUND<br>Symbol MAPTX<br>CUSIP 577130107 |               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                          |               | 171.8640                              |                                          | 02/24/12                      | 05/17/12                                   | 3,566.77                      | 3,909.91                             |                                               |                                                 | (343.14)       |
| MCKESSON CORP                                 |               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Symbol MCK<br>CUSIP 58155Q103                 |               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                          |               | 89.0000                               |                                          | 01/27/12                      | 01/31/12                                   | 7,371.68                      | 7,035.08                             |                                               |                                                 | 336.60         |
| MEAD JOHNSON NUTRITION CO COM                 |               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| STOCK<br>Symbol MJN<br>CUSIP 582839106        |               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                          |               | 90.0000                               |                                          | 10/26/11                      | 01/30/12                                   | 6,646.03                      | 6,525.99                             |                                               |                                                 | 120.04         |

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### Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities; included in Line 2a. (continued)

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP                              | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a)(1) | Cost or other basis<br>(Line 3)(1) | Wash sale<br>loss disallowed<br>(Line 5)(1) | Federal income<br>tax withheld<br>(Line 4)(1) | Gain/Loss (\$) |
|-----------------------------------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-----------------------------|------------------------------------|---------------------------------------------|-----------------------------------------------|----------------|
| METLIFE INC<br>Symbol MET<br>CUSIP 59156R108                                            |                                       |                                          |                               |                                            |                             |                                    |                                             |                                               |                |
| Sell                                                                                    | 25.0000                               |                                          | 04/25/12                      | 05/31/12                                   | 726.06                      | 893.44                             |                                             |                                               | (167.38)       |
| MORGAN STANLEY<br>Symbol MS<br>CUSIP 617446448                                          |                                       |                                          |                               |                                            |                             |                                    |                                             |                                               |                |
| Sell                                                                                    | 66.0000                               |                                          | 05/18/12                      | 05/31/12                                   | 853.03                      | 894.49                             |                                             |                                               | (41.46)        |
| Sell                                                                                    | 421.0000                              |                                          | 05/18/12                      | 06/20/12                                   | 6,011.76                    | 5,705.77                           |                                             |                                               | 305.99         |
| Sub Total                                                                               | 487.0000                              |                                          |                               |                                            | 6,864.79                    | 6,600.26                           |                                             |                                               | 264.53         |
| NESTLE S A SPONSORED ADR REPSTG<br>REG SHS SWITZ ADR<br>Symbol NSRGY<br>CUSIP 641069406 |                                       |                                          |                               |                                            |                             |                                    |                                             |                                               |                |
| Sell                                                                                    | 76.0000                               |                                          | 09/07/11                      | 03/14/12                                   | 4,632.87                    | 4,403.36                           |                                             |                                               | 229.51         |
| NIKE INC CL B<br>Symbol NKE<br>CUSIP 654106103                                          |                                       |                                          |                               |                                            |                             |                                    |                                             |                                               |                |
| Sell                                                                                    | 58.0000                               |                                          | 03/30/12                      | 04/25/12                                   | 6,276.17                    | 6,318.00                           |                                             |                                               | (41.83)        |
| OCCIDENTAL PETROLEUM CRP<br>Symbol OXY<br>CUSIP 674599105                               |                                       |                                          |                               |                                            |                             |                                    |                                             |                                               |                |
| Sell                                                                                    | 67.0000                               |                                          | 05/01/12                      | 11/02/12                                   | 5,371.26                    | 6,191.09                           |                                             |                                               | (819.83)       |
| Sell                                                                                    | 2.0000                                |                                          | 05/31/12                      | 11/02/12                                   | 160.34                      | 158.17                             |                                             |                                               | 2.17           |
| Sub Total                                                                               | 69.0000                               |                                          |                               |                                            | 5,531.60                    | 6,349.26                           |                                             |                                               | (817.66)       |
| PETSMART INC<br>Symbol PETM<br>CUSIP 716768106                                          |                                       |                                          |                               |                                            |                             |                                    |                                             |                                               |                |
| Sell                                                                                    | 101.0000                              |                                          | 11/13/12                      | 11/15/12                                   | 6,691.89                    | 6,666.59                           |                                             |                                               | 25.30          |

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## Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities; included in Line 2a. (continued)

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP       | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1c) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$) |
|------------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|----------------|
| Activity Type                                                    |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| PHILLIPS 66<br>Symbol PSX<br>CUSIP 718546104                     |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                                             | 206.0000                              |                                          | 07/31/12                      | 08/01/12                                   | 8,033.82                      | 7,750.64                             |                                               |                                                 | 283.18         |
| POLEN GROWTH FUND RETAIL<br>Symbol POLRX<br>CUSIP 360873665      |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                                             | 782.3970                              |                                          | 03/13/12                      | 05/31/12                                   | 10,061.63                     | 10,750.14                            |                                               |                                                 | (688.51)       |
| Sell                                                             | 607.9060                              |                                          | 03/13/12                      | 06/18/12                                   | 7,854.15                      | 8,352.63                             |                                               |                                                 | (498.48)       |
| Sub Total                                                        | 1,390.3030                            |                                          |                               |                                            | 17,915.78                     | 19,102.77                            |                                               |                                                 | (1,186.99)     |
| POWERSHARES QQQ TRUST ETF SER 1<br>Symbol QQQ<br>CUSIP 73935A104 |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                                             | 47.0000                               |                                          | 11/03/11                      | 01/27/12                                   | 2,830.76                      | 2,763.47                             |                                               |                                                 | 67.29          |
| Sell                                                             | 65.0000                               |                                          | 11/03/11                      | 01/27/12                                   | 3,914.87                      | 3,771.93                             |                                               |                                                 | 142.94         |
| Sell                                                             | 18.0000                               |                                          | 05/18/12                      | 05/31/12                                   | 1,109.72                      | 1,109.91                             |                                               |                                                 | (0.19)         |
| Sell                                                             | 88.0000                               |                                          | 05/18/12                      | 08/22/12                                   | 5,985.87                      | 5,426.22                             |                                               |                                                 | 559.65         |
| Sub Total                                                        | 218.0000                              |                                          |                               |                                            | 13,841.22                     | 13,071.53                            |                                               |                                                 | 769.69         |
| PROCTER & GAMBLE CO<br>Symbol PG<br>CUSIP 742718109              |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                                             | 70.0000                               |                                          | 08/29/11                      | 01/30/12                                   | 4,453.92                      | 4,416.30                             |                                               |                                                 | 37.62          |
| PRUDENTIAL FINANCIAL INC<br>Symbol PRU<br>CUSIP 744320102        |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                                             | 9.0000                                |                                          | 05/03/12                      | 05/31/12                                   | 412.55                        | 503.00                               |                                               |                                                 | (90.45)        |
| Sell                                                             | 119.0000                              |                                          | 05/03/12                      | 09/11/12                                   | 6,727.62                      | 6,650.84                             |                                               |                                                 | 76.78          |
| Sub Total                                                        | 128.0000                              |                                          |                               |                                            | 7,140.17                      | 7,153.84                             |                                               |                                                 | (13.67)        |

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# UBS Financial Services Inc.

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### Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities; included in Line 2a. (continued)

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP<br>Activity type                | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$) |
|--------------------------------------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|----------------|
| QUALCOMM INC<br>Symbol QCOM<br>CUSIP 747525103                                             |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                                                                       | 83.0000                               |                                          | 06/15/12                      | 07/19/12                                   | 4,869.51                      | 4,635.54                             |                                               |                                                 | 233.97         |
| RIVERBED TECHNOLOGY INC<br>Symbol RVBD<br>CUSIP 768573107                                  |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                                                                       | 294.0000                              |                                          | 01/27/12                      | 02/02/12                                   | 7,352.68                      | 7,111.11                             |                                               |                                                 | 241.57         |
| SANDISK CORP<br>Symbol SNDK<br>CUSIP 80004C101                                             |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                                                                       | 166.0000                              |                                          | 05/31/12                      | 07/23/12                                   | 6,309.68                      | 5,464.50                             |                                               |                                                 | 845.18         |
| SCHUMBERGER LTD NETHERLANDS<br>ANTILLES<br>Symbol SLB<br>CUSIP 806857108                   |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                                                                       | 2.0000                                |                                          | 04/18/12                      | 05/31/12                                   | 124.05                        | 139.48                               |                                               |                                                 | (15.43)        |
| Sell                                                                                       | 88.0000                               |                                          | 04/18/12                      | 08/28/12                                   | 6,537.02                      | 6,136.98                             |                                               |                                                 | 400.04         |
| <b>Sub Total</b>                                                                           | <b>90.0000</b>                        |                                          |                               |                                            | <b>6,661.07</b>               | <b>6,276.46</b>                      |                                               |                                                 | <b>384.61</b>  |
| SILVER WHEATON CORP CAD<br>Symbol SLW<br>CUSIP 828336107                                   |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                                                                       | 221.0000                              |                                          | 03/27/12                      | 04/04/12                                   | 6,959.54                      | 7,497.42                             |                                               |                                                 | (537.88)       |
| SPDR INDEX SHARES FUNDS S&P<br>INTERNATIONAL DIVIDEND ETF<br>Symbol DWX<br>CUSIP 78463X772 |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                                                                       | 145.0000                              |                                          | 01/31/12                      | 02/28/12                                   | 7,425.63                      | 7,101.43                             |                                               |                                                 | 324.20         |

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### Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities; included in Line 2a. (continued)

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP                      | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1f) | Date<br>acquired<br>(Line 1b)<br>(Line 1a) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line d) (\$) | Gain/Loss (\$)    |
|---------------------------------------------------------------------------------|---------------------------------------|------------------------------------------|--------------------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------|
| SPDR S&P MIDCAP 400 ETF TR<br>Symbol MIDY<br>CUSIP 78467Y107                    |                                       |                                          |                                            |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                                            | 14 0000                               |                                          | 04/12/12                                   | 05/31/12                                   | 2,338.17                      | 2,471.37                             |                                               |                                                 | (133.20)          |
| Sell                                                                            | 33 0000                               |                                          | 04/12/12                                   | 06/20/12                                   | 5,596.69                      | 5,825.37                             |                                               |                                                 | (228.68)          |
| Sell                                                                            | 50 0000                               |                                          | 11/06/12                                   | 11/15/12                                   | 8,622.82                      | 9,067.20                             |                                               |                                                 | (444.38)          |
| <b>Sub Total</b>                                                                | <b>97.0000</b>                        |                                          |                                            |                                            | <b>16,557.68</b>              | <b>17,363.94</b>                     |                                               |                                                 | <b>(806.26)</b>   |
| STARBUCKS CORP<br>Symbol SBUX<br>CUSIP 855244109                                |                                       |                                          |                                            |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                                            | <b>149.0000</b>                       |                                          | 01/26/12                                   | 03/09/12                                   | <b>7,663.33</b>               | <b>7,116.80</b>                      |                                               |                                                 | <b>546.53</b>     |
| STARWOOD HOTELS & RESORTS<br>WORLDWIDE INC NEW<br>Symbol HOT<br>CUSIP 85590A401 |                                       |                                          |                                            |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                                            | 28 0000                               |                                          | 04/25/12                                   | 05/31/12                                   | 1,459.98                      | 1,606.72                             |                                               |                                                 | (146.74)          |
| Sell                                                                            | 104.0000                              |                                          | 04/25/12                                   | 09/06/12                                   | 5,899.88                      | 5,967.82                             |                                               |                                                 | (67.94)           |
| <b>Sub Total</b>                                                                | <b>132.0000</b>                       |                                          |                                            |                                            | <b>7,359.86</b>               | <b>7,574.54</b>                      |                                               |                                                 | <b>(214.68)</b>   |
| SUNTRUST BANKS INC<br>Symbol STI<br>CUSIP 867914103                             |                                       |                                          |                                            |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                                            | <b>326.0000</b>                       |                                          | 10/16/12                                   | 11/15/12                                   | <b>8,282.66</b>               | <b>9,423.81</b>                      |                                               |                                                 | <b>(1,141.15)</b> |
| TARGET CORP<br>Symbol TGT<br>CUSIP 87612E106                                    |                                       |                                          |                                            |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                                            | 86 0000                               |                                          | 12/07/11                                   | 01/30/12                                   | 4,285.24                      | 4,618.10                             |                                               |                                                 | (332.86)          |
| Sell                                                                            | 96 0000                               |                                          | 08/01/12                                   | 08/15/12                                   | 6,226.56                      | 5,833.60                             |                                               |                                                 | 392.96            |
| <b>Sub Total</b>                                                                | <b>182.0000</b>                       |                                          |                                            |                                            | <b>10,511.80</b>              | <b>10,451.70</b>                     |                                               |                                                 | <b>60.10</b>      |

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### Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities; included in Line 2a. (continued)

| Security description (Line 8)<br>Symbol (Line 1a)<br>CUSIP                   | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$)  |
|------------------------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|-----------------|
| TEVA PHARMACEUTICALS IND LTD<br>ISRAEL ADR<br>Symbol TEVA<br>CUSIP 881624209 |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                                         | 24.0000                               |                                          | 05/09/12                      | 05/31/12                                   | 940.16                        | 1,016.04                             |                                               |                                                 | (75.88)         |
| Sell                                                                         | 139.0000                              |                                          | 05/09/12                      | 06/01/12                                   | 5,354.16                      | 5,884.59                             |                                               |                                                 | (530.43)        |
| <b>Sub Total</b>                                                             | <b>163.0000</b>                       |                                          |                               |                                            | <b>6,294.32</b>               | <b>6,900.63</b>                      |                                               |                                                 | <b>(606.31)</b> |
| UNITED PARCEL SERVICE INC CL B<br>Symbol UPS<br>CUSIP 911312106              |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                                         | 15.0000                               |                                          | 10/10/11                      | 05/31/12                                   | 1,110.31                      | 1,010.32                             |                                               |                                                 | 99.99           |
| UNIT RENTALS INC<br>Symbol URI<br>CUSIP 911363109                            |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                                         | 265.0000                              |                                          | 07/19/12                      | 07/23/12                                   | 8,282.22                      | 7,784.13                             |                                               |                                                 | 498.09          |
| VERIZON COMMUNICATIONS INC<br>Symbol VZ<br>CUSIP 92343V104                   |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                                         | 172.0000                              |                                          | 11/28/11                      | 03/16/12                                   | 6,800.75                      | 6,253.27                             |                                               |                                                 | 547.48          |
| VMWARE INC CL A<br>Symbol VMW<br>CUSIP 928563402                             |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                                         | 82.0000                               |                                          | 10/17/12                      | 11/06/12                                   | 7,706.78                      | 7,234.81                             |                                               |                                                 | 471.97          |
| VODAFONE GROUP PLC NEW SPON<br>ADR<br>Symbol VOD<br>CUSIP 92857W209          |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                                         | 53.0000                               |                                          | 08/10/11                      | 05/31/12                                   | 1,413.63                      | 1,343.93                             |                                               |                                                 | 69.70           |

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Account Number SS 15675 L3  
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213-972-1511/800-443-5203

UBS Financial Services Inc.

# 2012 Informational Statement

P3101G0000033800032956-X

## Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities; included in Line 2a. (continued)

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$)    |
|------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------|
| WESTPORT INNOVATIONS INC NEW                               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| ORD CAD                                                    |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| Symbol WPRT                                                |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| CUSIP 960908309                                            |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                       | 94 0000                               |                                          | 03/16/12                      | 04/03/12                                   | 3,828.19                      | 4,427.71                             | 344.41                                        |                                                 | (255.11)          |
| Sell                                                       | 41 0000                               |                                          | 03/16/12                      | 04/04/12                                   | 1,585.22                      | 1,931.24                             |                                               |                                                 | (346.02)          |
| Sell                                                       | 54 0000                               |                                          | 03/27/12                      | 04/04/12                                   | 2,087.86                      | 2,732.24                             |                                               |                                                 | (644.38)          |
| <b>Sub Total</b>                                           | <b>189.0000</b>                       |                                          |                               |                                            | <b>7,501.27</b>               | <b>9,091.19</b>                      | <b>344.41</b>                                 |                                                 | <b>(1,245.51)</b> |
| WHOLE FOODS MARKET INC                                     |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| Symbol WFM                                                 |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| CUSIP 966837106                                            |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                       | 49.0000                               |                                          | 05/02/12                      | 05/03/12                                   | 4,348.79                      | 4,110.41                             |                                               |                                                 | 238.38            |
| WISDOMTREE EMERGING MARKETS                                |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| EQUITY INCOM                                               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| Symbol DEM                                                 |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| CUSIP 97717W315                                            |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                   |
| Sell                                                       | 127.0000                              |                                          | 01/31/12                      | 03/20/12                                   | 7,296.01                      | 7,070.48                             |                                               |                                                 | 225.53            |
| <b>Total</b>                                               | <b>18.966.3270</b>                    |                                          |                               |                                            | <b>\$673,008.06</b>           | <b>\$669,243.42</b>                  | <b>\$622.61</b>                               |                                                 | <b>\$4,387.25</b> |

Short-term transactions for noncovered securities; included in Line 2a.

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$) |
|------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|----------------|
| FIRST EAGLE OVERSEAS FUND CLASS A                          |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Symbol SGOVX                                               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| CUSIP 32008F101                                            |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                                       | 153 9700                              |                                          | 10/27/11                      | 04/04/12                                   | 3,341.14                      | 3,528.99                             |                                               |                                                 | (187.85)       |
| Sell                                                       | 246 7310                              |                                          | 10/27/11                      | 04/25/12                                   | 5,329.39                      | 5,655.08                             |                                               |                                                 | (325.69)       |
| Sell                                                       | 11 7360                               |                                          | 12/14/11                      | 04/25/12                                   | 253.50                        | 237.89                               |                                               |                                                 | 15.61          |

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 213-972-1511/800-443-5203

# UBS Financial Services Inc.

## 2012 Informational Statement

P3101G0000033800032957-X

### Proceeds from Broker Transactions (continued)

Short-term transactions for noncovered securities; included in Line 2a. (continued)

| Security description (Line 8)<br>Symbol (Line 1a)<br>CUSIP<br>Activity type | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3+1) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withholding<br>(Line 4+1) (\$) | Gain/Loss (\$)  |
|-----------------------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------------|-----------------|
| <b>FIRST EAGLE OVERSEAS FUND CLASS A</b>                                    |                                       |                                          |                               |                                            |                               |                                        |                                               |                                                      |                 |
| Symbol SGOVX<br>CUSIP 32008F101                                             |                                       |                                          |                               |                                            |                               |                                        |                                               |                                                      |                 |
| Sell                                                                        | 19 4280                               |                                          | 12/14/11                      | 04/25/12                                   | 419 64                        | 393 80                                 |                                               |                                                      | 25 84           |
| Sell                                                                        | 0 0310                                |                                          | 12/14/11                      | 04/25/12                                   | 0 67                          | 0 62                                   |                                               |                                                      | 0 05            |
| <b>Sub Total</b>                                                            | <b>431.8960</b>                       |                                          |                               |                                            | <b>9,344.34</b>               | <b>9,816.38</b>                        |                                               |                                                      | <b>(472.04)</b> |
| <b>HEALTH CARE SELECT SECTOR SPDR</b>                                       |                                       |                                          |                               |                                            |                               |                                        |                                               |                                                      |                 |
| FUND                                                                        |                                       |                                          |                               |                                            |                               |                                        |                                               |                                                      |                 |
| Symbol XLV<br>CUSIP 81369Y209                                               |                                       |                                          |                               |                                            |                               |                                        |                                               |                                                      |                 |
| Sell                                                                        | 134.0000                              |                                          | 10/06/11                      | 01/25/12                                   | 4,821.22                      | 4,218.24                               |                                               |                                                      | 602.98          |
| <b>ISHARES SILVER TRUST</b>                                                 |                                       |                                          |                               |                                            |                               |                                        |                                               |                                                      |                 |
| Symbol SLV<br>CUSIP 46428Q109                                               |                                       |                                          |                               |                                            |                               |                                        |                                               |                                                      |                 |
| Sell                                                                        | 223.0000                              |                                          | 09/10/12                      | 10/25/12                                   | 6,928.45                      | 7,222.28                               |                                               |                                                      | (293.83)        |
| <b>ISHARES TRUST RUSSELL 2000 INDEX</b>                                     |                                       |                                          |                               |                                            |                               |                                        |                                               |                                                      |                 |
| FUND                                                                        |                                       |                                          |                               |                                            |                               |                                        |                                               |                                                      |                 |
| Symbol IWM<br>CUSIP 464287655                                               |                                       |                                          |                               |                                            |                               |                                        |                                               |                                                      |                 |
| Sell                                                                        | 75.0000                               |                                          | 12/06/11                      | 01/17/12                                   | 5,778.37                      | 5,692.31                               |                                               |                                                      | 86.06           |
| <b>MATTHEWS INTERNATIONAL PACIFIC</b>                                       |                                       |                                          |                               |                                            |                               |                                        |                                               |                                                      |                 |
| TIGER FUND                                                                  |                                       |                                          |                               |                                            |                               |                                        |                                               |                                                      |                 |
| Symbol MAPTX<br>CUSIP 577130107                                             |                                       |                                          |                               |                                            |                               |                                        |                                               |                                                      |                 |
| Sell                                                                        | 183 8040                              |                                          | 10/28/11                      | 04/04/12                                   | 4,115 38                      | 4,087 80                               |                                               |                                                      | 27 58           |
| Sell                                                                        | 150 1370                              |                                          | 10/28/11                      | 05/17/12                                   | 3,115 86                      | 3,339 05                               |                                               |                                                      | (223 19)        |
| Sell                                                                        | 8 1110                                |                                          | 12/08/11                      | 05/17/12                                   | 168 33                        | 167 49                                 |                                               |                                                      | 0 84            |
| Sell                                                                        | 2 7390                                |                                          | 12/08/11                      | 05/17/12                                   | 56 85                         | 56 56                                  |                                               |                                                      | 0 29            |
| <b>Sub Total</b>                                                            | <b>344.7910</b>                       |                                          |                               |                                            | <b>7,456.42</b>               | <b>7,650.90</b>                        |                                               |                                                      | <b>(194.48)</b> |

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UBS Financial Services Inc.

## 2012 Informational Statement

P3101G0000033800032958-X

### Proceeds from Broker Transactions (continued)

Short-term transactions for noncovered securities; included in Line 2a (continued)

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$)  |
|------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|-----------------|
| SPDR GOLD TRUST<br>Symbol: GLD<br>CUSIP: 78463V107         | 43.0000                               |                                          | 07/30/12                      | 10/17/12                                   | 7,298.35                      | 6,746.87                             |                                               |                                                 | 551.48          |
| WINTERGREEN FUND INC<br>Symbol: WGRNX<br>CUSIP: 97607W102  |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                       | 232.6960                              |                                          | 10/27/11                      | 04/04/12                                   | 3,395.03                      | 3,341.52                             |                                               |                                                 | 53.51           |
| Sell                                                       | 425.1840                              |                                          | 10/27/11                      | 05/17/12                                   | 5,948.32                      | 6,105.64                             |                                               |                                                 | (157.32)        |
| <b>Sub Total</b>                                           | <b>657.8800</b>                       |                                          |                               |                                            | <b>9,343.35</b>               | <b>9,447.16</b>                      |                                               |                                                 | <b>(103.81)</b> |
| <b>Total</b>                                               | <b>1,909.5670</b>                     |                                          |                               |                                            | <b>\$50,970.50</b>            | <b>\$50,794.14</b>                   |                                               |                                                 | <b>\$176.36</b> |

Long-term transactions for covered securities; included in Line 2a.

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP            | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$)  |
|-----------------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|-----------------|
| VODAFONE GROUP PLC NEW SPON<br>ADR<br>Symbol: VOD<br>CUSIP: 92857W209 |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                                  | 71.0000                               |                                          | 08/10/11                      | 10/25/12                                   | 1,956.68                      | 1,800.36                             |                                               |                                                 | 156.32          |
| Sell                                                                  | 133.0000                              |                                          | 10/11/11                      | 10/25/12                                   | 3,665.33                      | 3,567.45                             |                                               |                                                 | 97.88           |
| <b>Sub Total</b>                                                      | <b>204.0000</b>                       |                                          |                               |                                            | <b>5,622.01</b>               | <b>5,367.81</b>                      |                                               |                                                 | <b>254.20</b>   |
| <b>Total</b>                                                          | <b>204.0000</b>                       |                                          |                               |                                            | <b>\$5,622.01</b>             | <b>\$5,367.81</b>                    |                                               |                                                 | <b>\$254.20</b> |

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# UBS Financial Services Inc.

## 2012 Informational Statement

P3101G0000033800032959 X

### Proceeds from Broker Transactions (continued)

Long-term transactions for noncovered securities; included in Line 2a.

| Security description (Line 8) |               | Quantity /<br>face value<br>(Line 7e) | Original<br>cost basis (\$)<br>(Line 1c) | Date of                       |                                            | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/loss (\$) |
|-------------------------------|---------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|----------------|
| Symbol (Line 1d)<br>CUSIP     | Activity type |                                       |                                          | Date<br>acquired<br>(Line 1b) | Date of<br>sale /<br>exchange<br>(Line 1a) |                               |                                      |                                               |                                                 |                |
| COCA COLA CO COM              |               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Symbol KO                     |               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| CUSIP 191216100               |               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
|                               | Sell          | 21 0000                               |                                          | 05/27/10                      | 01/11/12                                   | 1,426.83                      | 1,072.77                             |                                               |                                                 | 354.06         |
|                               | Sell          | 25 0000                               |                                          | 08/05/10                      | 01/11/12                                   | 1,698.61                      | 1,398.50                             |                                               |                                                 | 300.11         |
|                               | Sell          | 10 0000                               |                                          | 09/13/10                      | 01/11/12                                   | 679.45                        | 581.69                               |                                               |                                                 | 97.76          |
|                               | Sub Total     | 56.0000                               |                                          |                               |                                            | 3,804.89                      | 3,052.96                             |                                               |                                                 | 751.93         |
| COLGATE PALMOLIVE CO          |               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Symbol CL                     |               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| CUSIP 194162103               |               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
|                               | Sell          | 7 0000                                |                                          | 05/27/10                      | 03/28/12                                   | 671.65                        | 548.71                               |                                               |                                                 | 122.94         |
|                               | Sell          | 18 0000                               |                                          | 08/05/10                      | 03/28/12                                   | 1,727.11                      | 1,392.66                             |                                               |                                                 | 334.45         |
|                               | Sell          | 8 0000                                |                                          | 09/13/10                      | 03/28/12                                   | 767.60                        | 603.44                               |                                               |                                                 | 164.16         |
|                               | Sell          | 10 0000                               |                                          | 10/18/10                      | 03/28/12                                   | 959.51                        | 766.50                               |                                               |                                                 | 193.01         |
|                               | Sub Total     | 43.0000                               |                                          |                               |                                            | 4,125.87                      | 3,311.31                             |                                               |                                                 | 814.56         |
| GENL MILLS INC                |               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Symbol GIS                    |               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| CUSIP 370334104               |               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
|                               | Sell          | 34 0000                               |                                          | 05/27/10                      | 03/16/12                                   | 1,320.13                      | 1,210.31                             |                                               |                                                 | 109.82         |
|                               | Sell          | 42 0000                               |                                          | 08/05/10                      | 03/16/12                                   | 1,630.75                      | 1,415.78                             |                                               |                                                 | 214.97         |
|                               | Sell          | 17 0000                               |                                          | 09/13/10                      | 03/16/12                                   | 660.06                        | 625.74                               |                                               |                                                 | 34.32          |
|                               | Sell          | 6 0000                                |                                          | 10/18/10                      | 03/16/12                                   | 232.97                        | 222.78                               |                                               |                                                 | 10.19          |
|                               | Sub Total     | 99.0000                               |                                          |                               |                                            | 3,843.91                      | 3,474.61                             |                                               |                                                 | 369.30         |
|                               | Total         | 198.0000                              |                                          |                               |                                            | \$11,774.67                   | \$9,838.88                           |                                               |                                                 | \$1,935.79     |

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 213-972-1511/800-443-5203

# UBS Financial Services Inc.

## 2012 Informational Statement

P3101G0000033800032960-X

### Proceeds from Broker Transactions (continued)

Term undetermined transactions for noncovered securities; included in Line 2a.

| Security description (Line 8)<br>Symbol (Line 1a)<br>CUSIP<br>Activity type | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$) | Date<br>acquired<br>(Line 1b) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/loss (\$) |
|-----------------------------------------------------------------------------|---------------------------------------|-----------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|----------------|
| ISHARES SILVER TRUST<br>Symbol SILV<br>CUSIP 46428Q109                      |                                       |                             |                               | 12/31/12                                   | 2.92                          |                                      |                                               |                                                 | Not Calculated |
| Return of Principal                                                         |                                       |                             |                               |                                            |                               |                                      |                                               |                                                 |                |
| SPDR GOLD TRUST<br>Symbol GLD<br>CUSIP 78463V107                            |                                       |                             |                               | 12/31/12                                   | 7.00                          |                                      |                                               |                                                 | Not Calculated |
| Return of Principal                                                         |                                       |                             |                               |                                            |                               |                                      |                                               |                                                 |                |
| <b>Total</b>                                                                |                                       |                             |                               |                                            | <b>\$9.92</b>                 |                                      |                                               |                                                 |                |
| <b>Total</b>                                                                |                                       |                             |                               |                                            | <b>\$741,385.16</b>           |                                      |                                               |                                                 |                |

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UBS Financial Services Inc.

## 2012 Informational Statement

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### 2012 Realized Gain/Loss Summary

| Description                                                                   | Sale amount         | Cost/other basis    | Wash sale<br>loss disallowed | Net<br>Gain/Loss  |
|-------------------------------------------------------------------------------|---------------------|---------------------|------------------------------|-------------------|
| <b>Short-term Gain/Loss</b>                                                   |                     |                     |                              |                   |
| Short-term transactions for covered securities, included in line 2a           | 673,008.06          | 669,243.42          | 622.61                       | 4,387.25          |
| Short-term transactions for noncovered securities, included in line 2a        | 50,970.50           | 50,794.14           |                              | 176.36            |
| <b>Total short-term</b>                                                       | <b>\$723,978.56</b> | <b>\$720,037.56</b> | <b>\$622.61</b>              | <b>\$4,563.61</b> |
| <b>Long-term Gain/Loss</b>                                                    |                     |                     |                              |                   |
| Long-term transactions for covered securities, included in line 2a            | 5,622.01            | 5,367.81            |                              | 254.20            |
| Long-term transactions for noncovered securities, included in line 2a         | 11,774.67           | 9,838.88            |                              | 1,935.79          |
| <b>Total long-term</b>                                                        | <b>\$17,396.68</b>  | <b>\$15,206.69</b>  |                              | <b>\$2,189.99</b> |
| <b>Sub Total</b>                                                              | <b>\$741,375.24</b> | <b>\$735,244.25</b> | <b>\$622.61</b>              | <b>\$6,753.60</b> |
| <b>Term Unknown Gain/Loss</b>                                                 |                     |                     |                              |                   |
| Term undetermined transactions for noncovered securities, included in line 2a | 9.92                |                     |                              |                   |
| <b>Totals</b>                                                                 | <b>\$741,385.16</b> | <b>\$735,244.25</b> | <b>\$622.61</b>              | <b>\$6,753.60</b> |

### Dividends and Distributions Details

Transactions shown as "Qualified Dividend" only indicate that the dividend is issuer-qualified. We do not compute the holding period required for a qualified dividend. It is the responsibility of the taxpayer to determine whether the holding period requirements have been met. To assist you, we include the ex-dividend date information if available.

| Security description     | CUSIP     | Activity Description  | Ex Date  | Payment Date      | Amount          |
|--------------------------|-----------|-----------------------|----------|-------------------|-----------------|
| AMER ELECTRIC POWER CO   | 025537101 | Qualified Dividend    | 02/08/12 | 03/09/12          | \$ 53.58        |
| AMERICAN TOWER CORP REIT | 03027X100 | Dividend              | 06/28/12 | 07/18/12          | 18.48           |
|                          |           | Dividend              | 09/27/12 | 10/15/12          | 19.32           |
|                          |           |                       |          | <b>Sub-Total:</b> | <b>\$ 37.80</b> |
| APPLE INC                | 037833100 | Qualified Dividend    | 08/09/12 | 08/16/12          | 26.50           |
|                          |           | Qualified Dividend    | 11/07/12 | 11/15/12          | 50.35           |
|                          |           |                       |          | <b>Sub-Total:</b> | <b>\$ 76.85</b> |
| AT&T INC                 | 00206R102 | Qualified Dividend    | 01/06/12 | 02/01/12          | \$ 103.84       |
| BARRICK GOLD CORP CAD    | 067901108 | Qualified Foreign Div | 05/29/12 | 06/15/12          | 50.60           |
|                          |           | Qualified Foreign Div | 08/29/12 | 09/17/12          | 41.00           |
|                          |           |                       |          | <b>Sub-Total:</b> | <b>\$ 91.60</b> |
| CAMPBELL SOUP CO         | 134429109 | Qualified Dividend    | 12/22/11 | 01/30/12          | \$ 51.91        |

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Your Financial Advisor or Contact  
FULLMER HAWKINS DYAKON  
213-972-1511/800-443-5203

UBS Financial Services Inc.

# 2012 Informational Statement

P3101L0000109400032970-X

## Proceeds from Broker Transactions

Short-term transactions for covered securities; included in Line 2a.

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1a) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$)       |
|------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|----------------------|
| POLEN GROWTH FUND RETAIL                                   |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                      |
| Symbol POLRX                                               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                      |
| CUSIP 360873665                                            |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                      |
| Sell                                                       | 3,937.0080                            |                                          | 04/17/12                      | 06/27/12                                   | 50,000.00                     | 54,881.89                            |                                               |                                                 | (4,881.89)           |
| Sell                                                       | 905.1730                              |                                          | 04/17/12                      | 06/28/12                                   | 11,316.63                     | 12,618.11                            |                                               |                                                 | (1,301.48)           |
| Sell                                                       | 484.8190                              |                                          | 05/01/12                      | 06/28/12                                   | 6,061.29                      | 6,685.65                             |                                               |                                                 | (624.36)             |
| Sell                                                       | 1,525.5530                            |                                          | 05/01/12                      | 10/24/12                                   | 20,000.00                     | 21,037.38                            |                                               |                                                 | (1,037.38)           |
| Sell                                                       | 1,514.0050                            |                                          | 05/01/12                      | 11/07/12                                   | 20,000.00                     | 20,878.13                            |                                               |                                                 | (878.13)             |
| Sell                                                       | 1,370.4740                            |                                          | 05/01/12                      | 11/15/12                                   | 17,624.30                     | 18,898.84                            |                                               |                                                 | (1,274.54)           |
| Sell                                                       | 1,824.8180                            |                                          | 05/03/12                      | 11/15/12                                   | 23,467.16                     | 25,000.00                            |                                               |                                                 | (1,532.84)           |
| <b>Sub Total</b>                                           | <b>11,561.8500</b>                    |                                          |                               |                                            | <b>148,469.38</b>             | <b>160,000.00</b>                    |                                               |                                                 | <b>(11,530.62)</b>   |
| VIRTUS EMERGING MARKETS                                    |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                      |
| Symbol HEMZX                                               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                      |
| CUSIP 928281707                                            |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                      |
| Sell                                                       | 1,041.6670                            |                                          | 05/03/12                      | 11/07/12                                   | 10,000.00                     | 9,875.00                             |                                               |                                                 | 125.00               |
| <b>Total</b>                                               | <b>12,603.5170</b>                    |                                          |                               |                                            | <b>\$158,469.38</b>           | <b>\$169,875.00</b>                  |                                               |                                                 | <b>\$(11,405.62)</b> |

Short-term transactions for noncovered securities; included in Line 2a.

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1a) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$) |
|------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|----------------|
| FIRST EAGLE OVERSEAS FUND CLASS A                          |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Symbol SGOVX                                               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| CUSIP 32008F101                                            |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                                       | 1,230.9210                            |                                          | 08/09/11                      | 05/17/12                                   | 25,000.00                     | 27,474.15                            |                                               |                                                 | (2,474.15)     |

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Account Number SS 15677 L3  
 Your Financial Advisor or Contact  
 FULLMER HAWKINS DYAKON  
 213-972-1511/800-443-5203

UBS Financial Services Inc.

# 2012 Informational Statement

P3101L0000109400032971-X

## Proceeds from Broker Transactions (continued)

Short-term transactions for noncovered securities; included in Line 2a. (continued)

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP                               | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$)      |
|------------------------------------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|---------------------|
|                                                                                          |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                     |
| FPA CRESCENT FUND<br>Symbol FPACX<br>CUSIP 30254T759                                     |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                     |
| Sell                                                                                     | 275 2680                              |                                          | 12/20/11                      | 08/22/12                                   | 7,828.62                      | 7,316.62                             |                                               |                                                 | 512.00              |
| Sell                                                                                     | 351 4940                              |                                          | 12/20/11                      | 11/07/12                                   | 10,000.00                     | 9,342.72                             |                                               |                                                 | 657.28              |
| <b>Sub Total</b>                                                                         | <b>626.7620</b>                       |                                          |                               |                                            | <b>17,828.62</b>              | <b>16,659.34</b>                     |                                               |                                                 | <b>1,169.28</b>     |
| NUVEEN TRADEWINDS VALUE<br>OPPORTUNITIES FUND CLASS A<br>Symbol NVOAX<br>CUSIP 67064Y669 |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                     |
| Sell                                                                                     | 71 7640                               |                                          | 12/16/11                      | 04/04/12                                   | 2,227.56                      | 2,190.96                             |                                               |                                                 | 36.60               |
| Sell                                                                                     | 187 3730                              |                                          | 12/16/11                      | 04/04/12                                   | 5,816.06                      | 5,720.50                             |                                               |                                                 | 95.56               |
| Sell                                                                                     | 104 0410                              |                                          | 12/30/11                      | 04/04/12                                   | 3,229.43                      | 3,149.32                             |                                               |                                                 | 80.11               |
| <b>Sub Total</b>                                                                         | <b>363.1780</b>                       |                                          |                               |                                            | <b>11,273.05</b>              | <b>11,060.78</b>                     |                                               |                                                 | <b>212.27</b>       |
| <b>Total</b>                                                                             | <b>2,220.8610</b>                     |                                          |                               |                                            | <b>\$54,101.67</b>            | <b>\$55,194.27</b>                   |                                               |                                                 | <b>\$(1,092.60)</b> |

Long-term transactions for covered securities; included in Line 2a.

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP             | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$)  |
|------------------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|-----------------|
|                                                                        |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| ANNALY CAPITAL MANAGEMENT INC<br>REIT<br>Symbol NLY<br>CUSIP 035710409 |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                                   | 240 0000                              |                                          | 04/26/11                      | 11/07/12                                   | 3,567.16                      | 4,239.96                             |                                               |                                                 | (672.80)        |
| Sell                                                                   | 120 0000                              |                                          | 07/29/11                      | 11/07/12                                   | 1,783.58                      | 1,971.50                             |                                               |                                                 | (187.92)        |
| <b>Sub Total</b>                                                       | <b>360.0000</b>                       |                                          |                               |                                            | <b>5,350.74</b>               | <b>6,211.46</b>                      |                                               |                                                 | <b>(860.72)</b> |

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Account Number SS 15677 L3  
Your Financial Advisor or Contact  
FULLMER HAWKINS DYAKON  
213-972-1511/800-443-5203

UBS Financial Services Inc.

## 2012 Informational Statement

P3101L0000109400032972-X

### Proceeds from Broker Transactions (continued)

Long-term transactions for covered securities; included in Line 2a. (continued)

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP<br>Activity type | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$)      |
|-----------------------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|---------------------|
| HATTERAS FINANCIAL CORP REIT<br>Symbol HTS<br>CUSIP 41902R103               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                     |
| Sell                                                                        | 290.0000                              |                                          | 04/26/11                      | 11/07/12                                   | 7,459.28                      | 8,177.77                             |                                               |                                                 | (718.49)            |
| <b>Total</b>                                                                | <b>650.0000</b>                       |                                          |                               |                                            | <b>\$12,810.02</b>            | <b>\$14,389.23</b>                   |                                               |                                                 | <b>\$(1,579.21)</b> |

Long-term transactions for noncovered securities; included in Line 2a

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP<br>Activity type | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$)  |
|-----------------------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|-----------------|
| FIRST EAGLE OVERSEAS FUND CLASS A<br>Symbol *SGOVX<br>CUSIP 32008F101       |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                                        | 903.3420                              |                                          | 08/09/11                      | 11/07/12                                   | 20,000.00                     | 20,162.60                            |                                               |                                                 | (162.60)        |
| FPA CRESCENT FUND<br>Symbol FPACX<br>CUSIP 30254T759                        |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                                        | 252.1580                              |                                          | 08/12/11                      | 08/22/12                                   | 7,171.38                      | 6,591.41                             |                                               |                                                 | 579.97          |
| IWA WORLDWIDE FUND CLASS A<br>Symbol IWVAX<br>CUSIP 45070A107               |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                 |
| Sell                                                                        | 2,172.5020                            |                                          | 05/10/10                      | 11/07/12                                   | 35,064.18                     | 33,000.31                            |                                               |                                                 | 2,063.87        |
| Sell                                                                        | 305.8130                              |                                          | 05/27/10                      | 11/07/12                                   | 4,935.82                      | 4,538.27                             |                                               |                                                 | 397.55          |
| <b>Sub Total</b>                                                            | <b>2,478.3150</b>                     |                                          |                               |                                            | <b>40,000.00</b>              | <b>37,538.58</b>                     |                                               |                                                 | <b>2,461.42</b> |

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Account Number SS 1567713  
 Your Financial Advisor or Contact  
 FULLMER HAWKINS DYAKON  
 213-972-1511/800-443-5203

UBS Financial Services Inc.

# 2012 Informational Statement

P3101L0000109400032973-X

## Proceeds from Broker Transactions (continued)

Long-term transactions for noncovered securities; included in Line 2a. (continued)

| Security description (Line 8)                                                            |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
|------------------------------------------------------------------------------------------|---------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|----------------|
| Symbol (Line 1d)                                                                         |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| CUSIP                                                                                    |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Activity type                                                                            | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/Loss (\$) |
| NUVEEN TRADEWINDS VALUE<br>OPPORTUNITIES FUND CLASS A<br>Symbol NVOAX<br>CUSIP 67064Y669 |                                       |                                          |                               |                                            |                               |                                      |                                               |                                                 |                |
| Sell                                                                                     | 924.4990                              |                                          | 05/27/10                      | 03/15/12                                   | 30,000.00                     | 28,150.99                            |                                               |                                                 | 1,849.01       |
| Sell                                                                                     | 92.7990                               |                                          | 05/27/10                      | 03/28/12                                   | 2,950.08                      | 2,825.73                             |                                               |                                                 | 124.35         |
| Sell                                                                                     | 693.6120                              |                                          | 07/30/10                      | 03/28/12                                   | 22,049.92                     | 21,508.92                            |                                               |                                                 | 541.00         |
| Sell                                                                                     | 596.2940                              |                                          | 07/30/10                      | 03/30/12                                   | 18,908.48                     | 18,491.08                            |                                               |                                                 | 417.40         |
| Sell                                                                                     | 665.1380                              |                                          | 08/10/10                      | 03/30/12                                   | 21,091.52                     | 21,098.18                            |                                               |                                                 | (6.66)         |
| Sell                                                                                     | 595.8960                              |                                          | 08/10/10                      | 04/04/12                                   | 18,496.61                     | 18,901.82                            |                                               |                                                 | (405.21)       |
| Sell                                                                                     | 143.4720                              |                                          | 12/15/10                      | 04/04/12                                   | 4,453.37                      | 5,021.52                             |                                               |                                                 | (568.15)       |
| Sell                                                                                     | 101.6160                              |                                          | 12/15/10                      | 04/04/12                                   | 3,154.17                      | 3,556.57                             |                                               |                                                 | (402.40)       |
| Sell                                                                                     | 111.0080                              |                                          | 12/31/10                      | 04/04/12                                   | 3,445.68                      | 3,883.06                             |                                               |                                                 | (437.38)       |
| Sub Total                                                                                | 3,924.3340                            |                                          |                               |                                            | 124,549.83                    | 123,437.87                           |                                               |                                                 | 1,111.96       |
| Total                                                                                    | 7,558.1490                            |                                          |                               |                                            | \$191,721.21                  | \$187,730.46                         |                                               |                                                 | \$3,990.75     |
| Total                                                                                    |                                       |                                          |                               |                                            | \$417,102.28                  |                                      |                                               |                                                 |                |

Account Number SS 15677 L3  
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 213-972-1511/800-443-5203

# UBS Financial Services Inc.

## 2012 Informational Statement

P3101L0000109400032974.X

### 2012 Realized Gain/Loss Summary

| Description                                                            | Sale amount         | Cost/other basis    | Wash sale<br>loss disallowed | Net<br>Gain/Loss     |
|------------------------------------------------------------------------|---------------------|---------------------|------------------------------|----------------------|
| <b>Short-term Gain/Loss</b>                                            |                     |                     |                              |                      |
| Short-term transactions for covered securities, included in line 2a    | 158,469.38          | 169,875.00          |                              | (11,405.62)          |
| Short-term transactions for noncovered securities, included in line 2a | 54,101.67           | 55,194.27           |                              | (1,092.60)           |
| <b>Total short-term</b>                                                | \$212,571.05        | \$225,069.27        |                              | \$(12,498.22)        |
| <b>Long-term Gain/Loss</b>                                             |                     |                     |                              |                      |
| Long-term transactions for covered securities, included in line 2a     | 12,810.02           | 14,389.23           |                              | (1,579.21)           |
| Long-term transactions for noncovered securities, included in line 2a  | 191,721.21          | 187,730.46          |                              | 3,990.75             |
| <b>Total long-term</b>                                                 | \$204,531.23        | \$202,119.69        |                              | \$2,411.54           |
| <b>Sub Total</b>                                                       | <b>\$417,102.28</b> | <b>\$427,188.96</b> |                              | <b>\$(10,086.68)</b> |
| <b>Totals</b>                                                          | <b>\$417,102.28</b> | <b>\$427,188.96</b> |                              | <b>\$(10,086.68)</b> |

### Dividends and Distributions Details

Transactions shown as "Qualified Dividend" only indicate that the dividend is issuer-qualified. We do not compute the holding period required for a qualified dividend. It is the responsibility of the taxpayer to determine whether the holding period requirements have been met. To assist you, we include the ex-dividend date information if available.

| Security description                    | CUSIP     | Activity Description | Ex Date  | Payment Date      | Amount             |
|-----------------------------------------|-----------|----------------------|----------|-------------------|--------------------|
| ANNALY CAPITAL MANAGEMENT INC REIT      | 035710409 | Dividend             | 03/28/12 | 04/26/12          | 180.00             |
|                                         |           | Dividend             | 06/27/12 | 07/26/12          | 172.80             |
|                                         |           | Dividend             | 09/27/12 | 10/29/12          | 162.00             |
|                                         |           |                      |          | <b>Sub-Total:</b> | <b>\$ 514.80</b>   |
| DWS RREEF GLOBAL INFRASTRUCTURE FD CL A | 233379718 | Dividend             |          | 12/20/12          | 534.18             |
|                                         |           | Dividend             |          | 12/20/12          | 472.52             |
|                                         |           | Qualified Dividend   |          | 12/20/12          | 773.82             |
|                                         |           | Qualified Dividend   |          | 12/20/12          | 684.47             |
|                                         |           |                      |          | <b>Sub-Total:</b> | <b>\$ 2,464.99</b> |
| FIRST EAGLE OVERSEAS FUND CLASS A       | 32008F101 | Dividend             |          | 12/13/12          | 146.34             |
|                                         |           | Short Term Cap Gain  |          | 12/13/12          | 49.81              |
|                                         |           | Qualified Dividend   |          | 12/13/12          | 575.19             |
|                                         |           | Foreign Tax Paid     |          | 12/13/12          | (80.07)            |
|                                         |           |                      |          | <b>Sub-Total:</b> | <b>\$ 691.27</b>   |
| FPA CRESCENT FUND                       | 302541759 | Dividend             |          | 07/03/12          | 73.90              |
|                                         |           | Dividend             |          | 07/03/12          | 18.47              |
|                                         |           | Qualified Dividend   |          | 07/03/12          | 295.60             |
|                                         |           | Qualified Dividend   |          | 07/03/12          | 73.90              |
|                                         |           |                      | 01/02/13 | 01/03/13          | 22.27              |

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Account Number SS 15679 L3  
Your Financial Advisor or Contact  
FULLMER HAWKINS DYAKON  
213-972-1511/800-443-5203

UBS Financial Services Inc.

# 2012 Informational Statement

P3101L0000508400048562-X

## Proceeds from Broker Transactions

Long-term transactions for noncovered securities; included in Line 2a.

| Security description (Line 8)<br>Symbol (Line 1d)<br>CUSIP | Quantity/<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1f) | Date<br>acquired<br>(Line 1b) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/loss (\$)   |
|------------------------------------------------------------|--------------------------------------|------------------------------------------|-------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|------------------|
| <b>DOUBLE LINE TOTAL RETURN FUND N</b>                     |                                      |                                          |                               |                                            |                               |                                      |                                               |                                                 |                  |
| Symbol DLTNX                                               |                                      |                                          |                               |                                            |                               |                                      |                                               |                                                 |                  |
| CUSIP 258620202                                            |                                      |                                          |                               |                                            |                               |                                      |                                               |                                                 |                  |
| Sell                                                       | 4,824 5610                           |                                          | 08/11/11                      | 10/04/12                                   | 55,000 00                     | 53,938 59                            |                                               |                                                 | 1,061 41         |
| Sell                                                       | 5,267 7790                           |                                          | 08/11/11                      | 11/07/12                                   | 60,000 00                     | 58,893 77                            |                                               |                                                 | 1,106 23         |
| Sell                                                       | 4,401 4080                           |                                          | 08/11/11                      | 12/18/12                                   | 50,000 00                     | 49,207 74                            |                                               |                                                 | 792 26           |
| <b>Sub Total</b>                                           | <b>14,493.7480</b>                   |                                          |                               |                                            | <b>165,000.00</b>             | <b>162,040.10</b>                    |                                               |                                                 | <b>2,959.90</b>  |
| <b>LORD ABBETT INCOME FUND CLASS A</b>                     |                                      |                                          |                               |                                            |                               |                                      |                                               |                                                 |                  |
| Symbol LAGVX                                               |                                      |                                          |                               |                                            |                               |                                      |                                               |                                                 |                  |
| CUSIP 543916308                                            |                                      |                                          |                               |                                            |                               |                                      |                                               |                                                 |                  |
| Sell                                                       | 16,501 6500                          |                                          | 04/30/10                      | 10/04/12                                   | 50,000 00                     | 46,204 62                            |                                               |                                                 | 3,795 38         |
| Sell                                                       | 82,236 8420                          |                                          | 04/30/10                      | 12/12/12                                   | 250,000 00                    | 230,263 16                           |                                               |                                                 | 19,736 84        |
| Sell                                                       | 13,422 8190                          |                                          | 04/30/10                      | 12/18/12                                   | 40,000 00                     | 37,583 89                            |                                               |                                                 | 2,416 11         |
| <b>Sub Total</b>                                           | <b>112,161.3110</b>                  |                                          |                               |                                            | <b>340,000.00</b>             | <b>314,051.67</b>                    |                                               |                                                 | <b>25,948.33</b> |
| <b>LORD ABBETT SHORT DURATION</b>                          |                                      |                                          |                               |                                            |                               |                                      |                                               |                                                 |                  |
| Symbol LALDX                                               |                                      |                                          |                               |                                            |                               |                                      |                                               |                                                 |                  |
| CUSIP 543916100                                            |                                      |                                          |                               |                                            |                               |                                      |                                               |                                                 |                  |
| Sell                                                       | 9,698 2760                           |                                          | 04/30/10                      | 10/04/12                                   | 45,000 00                     | 44,709 05                            |                                               |                                                 | 290 95           |
| Sell                                                       | 53,763 4410                          |                                          | 04/30/10                      | 12/12/12                                   | 250,000 00                    | 247,849 47                           |                                               |                                                 | 2,150 53         |
| Sell                                                       | 3,845 4080                           |                                          | 04/30/10                      | 12/18/12                                   | 17,881 15                     | 17,727 33                            |                                               |                                                 | 153 82           |
| Sell                                                       | 417 5460                             |                                          | 05/28/10                      | 12/18/12                                   | 1,941 59                      | 1,912 36                             |                                               |                                                 | 29 23            |
| Sell                                                       | 487 2030                             |                                          | 06/30/10                      | 12/18/12                                   | 2,265 49                      | 2,236 26                             |                                               |                                                 | 29 23            |
| Sell                                                       | 474 6890                             |                                          | 07/30/10                      | 12/18/12                                   | 2,207 30                      | 2,197 81                             |                                               |                                                 | 9 49             |
| Sell                                                       | 435 3210                             |                                          | 08/31/10                      | 12/18/12                                   | 2,024 25                      | 2,019 89                             |                                               |                                                 | 4 36             |
| Sell                                                       | 420 4590                             |                                          | 09/30/10                      | 12/18/12                                   | 1,955 13                      | 1,959 34                             |                                               |                                                 | (4 21)           |
| Sell                                                       | 376 7560                             |                                          | 10/29/10                      | 12/18/12                                   | 1,751 91                      | 1,759 45                             |                                               |                                                 | (7 54)           |
| Sell                                                       | 350 6060                             |                                          | 11/30/10                      | 12/18/12                                   | 1,630 32                      | 1,626 81                             |                                               |                                                 | 3 51             |

continued next page

Account Number 55 15679 L3  
 Your Financial Advisor or Contact  
 FULLMER HAWKINS DYAKON  
 213-972-1511/800-443-5203

UBS Financial Services Inc.

# 2012 Informational Statement

P3101L0000508400048563-X

## Proceeds from Broker Transactions (continued)

Long-term transactions for noncovered securities; included in Line 2a. (continued)

| Security description (Line 8)<br>Symbol (Line 1a)<br>CUSIP<br>Activity type          | Quantity /<br>face value<br>(Line 1e) | Original<br>cost basis (\$)<br>(Line 1b) | Date<br>acquired<br>(Line 1b)<br>(Line 1a) | Date of<br>sale /<br>exchange<br>(Line 1a) | Sale amount<br>(Line 2a) (\$) | Cost or other basis<br>(Line 3) (\$) | Wash sale<br>loss disallowed<br>(Line 5) (\$) | Federal income<br>tax withheld<br>(Line 4) (\$) | Gain/loss (\$)     |
|--------------------------------------------------------------------------------------|---------------------------------------|------------------------------------------|--------------------------------------------|--------------------------------------------|-------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------|--------------------|
| LORD ABBETT SHORT DURATION<br>INCOME FUND CLASS A<br>Symbol LALDX<br>CUSIP 543916100 |                                       |                                          |                                            |                                            |                               |                                      |                                               |                                                 |                    |
| Sell                                                                                 | 21 4870                               |                                          | 12/17/10                                   | 12/18/12                                   | 99 92                         | 98 84                                |                                               |                                                 | 1 08               |
| Sell                                                                                 | 472 7090                              |                                          | 12/17/10                                   | 12/18/12                                   | 2,198 09                      | 2,174 46                             |                                               |                                                 | 23 63              |
| Sell                                                                                 | 332 8910                              |                                          | 12/31/10                                   | 12/18/12                                   | 1,547 95                      | 1,531 30                             |                                               |                                                 | 16 65              |
| Sell                                                                                 | 321 0720                              |                                          | 01/31/11                                   | 12/18/12                                   | 1,492 98                      | 1,480 14                             |                                               |                                                 | 12 84              |
| Sell                                                                                 | 310 1260                              |                                          | 02/28/11                                   | 12/18/12                                   | 1,442 09                      | 1,429 68                             |                                               |                                                 | 12 41              |
| Sell                                                                                 | 291 0410                              |                                          | 03/31/11                                   | 12/18/12                                   | 1,353 34                      | 1,338 79                             |                                               |                                                 | 14 55              |
| Sell                                                                                 | 44 8370                               |                                          | 04/29/11                                   | 12/18/12                                   | 208 49                        | 207 15                               |                                               |                                                 | 1 34               |
| Sell                                                                                 | 211 5330                              |                                          | 04/29/11                                   | 12/27/12                                   | 983 63                        | 977 28                               |                                               |                                                 | 6 35               |
| Sell                                                                                 | 256 6950                              |                                          | 05/31/11                                   | 12/27/12                                   | 1,193 63                      | 1,188 50                             |                                               |                                                 | 5 13               |
| Sell                                                                                 | 271 0870                              |                                          | 06/30/11                                   | 12/27/12                                   | 1,260 55                      | 1,247 00                             |                                               |                                                 | 13 55              |
| Sell                                                                                 | 269 2860                              |                                          | 07/29/11                                   | 12/27/12                                   | 1,252 18                      | 1,241 41                             |                                               |                                                 | 10 77              |
| Sell                                                                                 | 66 6680                               |                                          | 08/31/11                                   | 12/27/12                                   | 310 01                        | 303 34                               |                                               |                                                 | 6 67               |
| <b>Sub Total</b>                                                                     | <b>73,139,1370</b>                    |                                          |                                            |                                            | <b>340,000.00</b>             | <b>337,215.66</b>                    |                                               |                                                 | <b>2,784.34</b>    |
| <b>Total</b>                                                                         | <b>199,794,1960</b>                   |                                          |                                            |                                            | <b>\$845,000.00</b>           | <b>\$813,307.43</b>                  |                                               |                                                 | <b>\$31,692.57</b> |
| <b>Total</b>                                                                         |                                       |                                          |                                            |                                            | <b>\$845,000.00</b>           |                                      |                                               |                                                 |                    |

Account Number SS 15679 L3  
 Your Financial Advisor or Contact  
 FULLMER HAWKINS DYAKON  
 213-972-1511/800-443-5203

# UBS Financial Services Inc.

## 2012 Informational Statement

P310110000508400048564.X

### 2012 Realized Gain/Loss Summary

| Description                                                           | Sale amount         | Cost/other basis    | Wash sale<br>loss disallowed | Net<br>Gain/Loss   |
|-----------------------------------------------------------------------|---------------------|---------------------|------------------------------|--------------------|
| <b>Long-term Gain/Loss</b>                                            |                     |                     |                              |                    |
| Long-term transactions for noncovered securities, included in line 2a | 845,000.00          | 813,307.43          |                              | 31,692.57          |
| <b>Total long-term</b>                                                | <b>\$845,000.00</b> | <b>\$813,307.43</b> |                              | <b>\$31,692.57</b> |
| <b>Sub Total</b>                                                      | <b>\$845,000.00</b> | <b>\$813,307.43</b> |                              | <b>\$31,692.57</b> |
| <b>Totals</b>                                                         | <b>\$845,000.00</b> | <b>\$813,307.43</b> |                              | <b>\$31,692.57</b> |

### Dividends and Distributions Details

Transactions shown as "Qualified Dividend" only indicate that the dividend is issuer-qualified. We do not compute the holding period required for a qualified dividend. It is the responsibility of the taxpayer to determine whether the holding period requirements have been met. To assist you, we include the ex-dividend date information if available.

| Security description            | CUSIP     | Activity Description | Ex Date  | Payment Date | Amount             |
|---------------------------------|-----------|----------------------|----------|--------------|--------------------|
| DOUBLE LINE TOTAL RETURN FUND N | 258620202 | Dividend             |          | 01/31/12     | 3,035.09           |
|                                 |           | Dividend             |          | 02/29/12     | 2,622.20           |
|                                 |           | Dividend             |          | 03/30/12     | 2,792.79           |
|                                 |           | Dividend             |          | 04/30/12     | 2,607.71           |
|                                 |           | Dividend             |          | 05/31/12     | 2,746.55           |
|                                 |           | Dividend             |          | 06/29/12     | 2,685.95           |
|                                 |           | Dividend             |          | 07/31/12     | 2,621.68           |
|                                 |           | Dividend             |          | 08/31/12     | 2,702.05           |
|                                 |           | Dividend             |          | 09/28/12     | 2,502.45           |
|                                 |           | Dividend             |          | 10/31/12     | 2,239.39           |
|                                 |           | Dividend             |          | 11/30/12     | 1,907.30           |
|                                 |           | Dividend             |          | 12/31/12     | 1,902.71           |
|                                 |           | <b>Sub-Total:</b>    |          |              | <b>\$30,365.87</b> |
| LORD ABBETT INCOME FUND CLASS A | 543916308 | Dividend             |          | 01/31/12     | 1,900.47           |
|                                 |           | Dividend             |          | 02/29/12     | 1,905.72           |
|                                 |           | Dividend             |          | 03/30/12     | 1,899.09           |
|                                 |           | Dividend             |          | 04/30/12     | 1,942.23           |
|                                 |           | Dividend             |          | 05/31/12     | 1,899.90           |
|                                 |           | Dividend             |          | 06/29/12     | 1,909.56           |
|                                 |           | Dividend             |          | 07/31/12     | 1,910.28           |
|                                 |           | Dividend             |          | 08/31/12     | 1,899.89           |
|                                 |           | Dividend             |          | 09/28/12     | 1,898.73           |
|                                 |           | Dividend             |          | 10/31/12     | 1,767.82           |
|                                 |           | Dividend             |          | 11/30/12     | 1,668.90           |
|                                 |           | Short Term Cap Gain  | 12/18/12 | 12/18/12     | 1,741.73           |

continued next page

# ADELANTE FOUNDATION

## SCHOLARSHIP APPLICATION

*(Submit 90 Days Before You Need it for School)*

NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

CITY: \_\_\_\_\_ STATE: \_\_\_\_\_ ZIP: \_\_\_\_\_

PHONE: ( ) \_\_\_\_\_ FAX: ( ) \_\_\_\_\_

E-MAIL: \_\_\_\_\_

HIGH SCHOOL/ADDRESS: \_\_\_\_\_

CITY: \_\_\_\_\_ STATE: \_\_\_\_\_ ZIP: \_\_\_\_\_

*Why do you need this Scholarship?*

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*How much are you requesting?*

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*If you only receive a Scholarship for tuition and books, how will you provide the remaining funds you need to go to college?*

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*What do you expect to achieve from a college education?*

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*What are your future plans?*

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**\* Please submit a five hundred word minimum essay outlining your commitment to and the reason why you have selected your particular course of study.**

## **ADELANTE FOUNDATION**

### **Scholarship Application Criteria**

**Scholarship Award:** Scholarships will be granted based on applicant tuition needs to be reviewed each semester. Returning applicants must submit previous semester grades and must have obtained a 2.5 or better average.

**Enrollment:** Full-time and Part-time applicants

**Institutions of Higher Learning:** All accredited facilities whether state or private institutions as well as accredited vocational institutions.

**Applicant Qualifications:** All applicants will be given consideration based on respective school semesters.

**Selection Process:** All new applicants must submit a five hundred word minimum essay outlining their commitment to and the reason why they have selected their particular course of study.

**Renewal:** Renewable Each Semester - For returning applicants a five hundred word minimum essay may include a perspective of the previous semester's classes and how they apply to their respective course of study or how the knowledge gained may be useful throughout one's lifetime.

**Contact:** Adelante Foundation, PO Box 488, Chandler AZ 85244

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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. ☒ **X**
- 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](http://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.

Enter filer's identifying number, see instructions

|                                                                                        |                                                                                         |  |                                         |  |
|----------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------|--|-----------------------------------------|--|
| <b>Type or print</b><br>File by the due date for filing your return. See instructions. | Name of exempt organization or other filer, see instructions                            |  | Employer identification number (EIN) or |  |
|                                                                                        | ADELANTE FOUNDATION, INC                                                                |  | 86-0966575                              |  |
|                                                                                        | Number, street, and room or suite no. If a P O box, see instructions                    |  | Social security number (SSN)            |  |
|                                                                                        | PO BOX 488                                                                              |  |                                         |  |
|                                                                                        | City, town or post office, state, and ZIP code. For a foreign address, see instructions |  |                                         |  |
|                                                                                        | CHANDLER                                                                                |  | AZ 85244                                |  |

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

| 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 ► ADELANTE FOUNDATION

Telephone No. ► (480) 895-9350

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 8/15/2013, 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

|                                                                                                                                                                                              |           |    |       |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|----|-------|
| <b>3a</b> 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.                                   | <b>3a</b> | \$ | 3,000 |
| <b>b</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. | <b>3b</b> | \$ |       |
| <b>c</b> <b>Balance due.</b> Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.      | <b>3c</b> | \$ | 3,000 |

**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

For Privacy Act and Paperwork Reduction Act Notice, see instructions.

Form **8868** (Rev. 1-2013)

HTA

- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** and check this box ☒ **X**
- Note.** Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868.
- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** (on page 1).

**Part II Additional (Not Automatic) 3-Month Extension of Time.** Only file the original (no copies needed).

Enter filer's identifying number, see instructions

|                                                                                     |                                                                                          |                                         |
|-------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------|-----------------------------------------|
| Type or print<br><br>File by the due date for filing your return. See instructions. | Name of exempt organization                                                              | Employer identification number (EIN) or |
|                                                                                     | ADELANTE FOUNDATION, INC                                                                 | 86-0966575                              |
|                                                                                     | Number, street, and room or suite no. If a P O box, see instructions                     | Social security number (SSN)            |
|                                                                                     | PO BOX 488                                                                               |                                         |
|                                                                                     | City, town or post office, state, and ZIP code. For a foreign address, see instructions. |                                         |
|                                                                                     | CHANDLER                                                                                 | AZ 85244                                |

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

| Application Is For                       | Return Code | Application Is For | Return Code |
|------------------------------------------|-------------|--------------------|-------------|
| Form 990 or Form 990-EZ                  | 01          |                    |             |
| 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          |

**STOP!** Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.

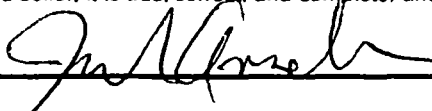
- The books are in the care of ☒ ADELANTE FOUNDATION, INC.  
Telephone No. ☒ (480) 895-9350 FAX No. ☐
- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) \_\_\_\_\_ 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

- 4 I request an additional 3-month extension of time until 11/15/2013
- 5 For calendar year 2012, or other tax year beginning \_\_\_\_\_, and ending \_\_\_\_\_
- 6 If the tax year entered in line 5 is for less than 12 months, check reason: ☐ Initial return ☐ Final return  
☐ Change in accounting period
- 7 State in detail why you need the extension THE INFORMATION NECESSARY TO FILE A PROPER AND COMPLETE RETURN IS NOT YET AVAILABLE.

|                                                                                                                                                                                                                                     |    |    |       |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|----|-------|
| 8a 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.                                                                                 | 8a | \$ | 3,000 |
| 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 and any amount paid previously with Form 8868. | 8b | \$ | 3,000 |
| c <b>Balance due.</b> Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.                                                    | 8c | \$ |       |

**Signature and Verification must be completed for Part II only.**

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form.

Signature  Title ☒ CPA Date ☒ 8/3/2013

Form **8868** (Rev 1-2013)