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: Charis Fund

A Employer identification number: 94-6077619

Number and street (or P O box number if mail is not delivered to street address): PO Box 82270 | Room/suite

B Telephone number: (503) 232-0565

City or town, state, and ZIP code: Portland, OR 97282

C If exemption application is pending, check here ▶ ☐

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

D 1 Foreign organizations, check here ▶ ☐
2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

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

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

I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶$ 4,413,003.

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

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

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

		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received			N/A	
	2 Check ▶ ☒ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	28.	28.		
	4 Dividends and interest from securities	72,318.	72,318.		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	33,566.			
	b Gross sales price for all assets on line 6a 463,377.				
	7 Capital gain net income (from Part IV, line 2)		33,566.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss)				
	11 Other income	498,181.	498,181.		Statement 1
	12 **Total** Add lines 1 through 11	604,093.	604,093.		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0.	0.		0.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees				
	b Accounting fees Stmt 2	2,680.	2,010.		670.
	c Other professional fees Stmt 3	43,433.	43,433.		0.
	17 Interest				
	18 Taxes Stmt 4	6,000.	0.		0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses Stmt 5	2,846.	0.		2,846.
	24 **Total operating and administrative expenses** Add lines 13 through 23	54,959.	45,443.		3,516.
	25 Contributions, gifts, grants paid	339,779.			339,779.
	26 **Total expenses and disbursements** Add lines 24 and 25	394,738.	45,443.		343,295.
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	209,355.			
	b **Net investment income** (if negative, enter -0-)		558,650.		
	c **Adjusted net income** (if negative, enter -0-)			N/A	

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

		Beginning of year (a) Book Value	End of year (b) Book Value	End of year (c) Fair Market Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	183,963.	209,046.	209,046.
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock Stmt 6	763,913.	1,029,573.	1,164,551.
	c Investments - corporate bonds Stmt 7	110,821.	94,750.	105,380.
	11 Investments - land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other Stmt 8	1,199,298.	1,133,981.	2,934,026.
	14 Land, buildings, and equipment: basis ▶			
	Less accumulated depreciation ▶			
	15 Other assets (describe ▶)			
	16 **Total assets** (to be completed by all filers)	2,257,995.	2,467,350.	4,413,003.
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
	23 **Total liabilities** (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances	**Foundations that follow SFAS 117, check here ▶ [X] and complete lines 24 through 26 and lines 30 and 31**			
	24 Unrestricted	2,257,995.	2,467,350.	
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ [ ] and complete lines 27 through 31			
	27 Capital stock, trust principal, or current funds			
	28 Paid-in or capital surplus, or land, bldg., and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds			
	30 **Total net assets or fund balances**	2,257,995.	2,467,350.	
	31 **Total liabilities and net assets/fund balances**	2,257,995.	2,467,350.	

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	2,257,995.
2	Enter amount from Part I, line 27a	2	209,355.
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	2,467,350.
5	Decreases not included in line 2 (itemize) ▶	5	0.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	2,467,350.

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	Publicly traded securities	P	Various	Various
b	Capital Gains Dividends			
c				
d				
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	446,194.		429,811.	16,383.
b	17,183.			17,183.
c				
d				
e				

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

	(i) F.M.V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a				16,383.
b				17,183.
c				
d				
e				

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 } 2 33,566.

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

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2011	286,528.	3,721,064.	.077002
2010	254,140.	3,308,485.	.076815
2009	227,854.	2,770,094.	.082255
2008	240,613.	2,987,574.	.080538
2007	172,488.	2,425,622.	.071111

2	**Total** of line 1, column (d)	2	.387721
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	.077544
4	Enter the net value of noncharitable-use assets for 2012 from Part X, line 5	4	4,249,175.
5	Multiply line 4 by line 3	5	329,498.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	5,587.
7	Add lines 5 and 6	7	335,085.
8	Enter qualifying distributions from Part XII, line 4	8	343,295.

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter: ________ (attach copy of letter if necessary-see instructions)				
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ [X] and enter 1% of Part I, line 27b			1	5,587.
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	5,587.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			4	0.
5	**Tax based on investment income** Subtract line 4 from line 3. If zero or less, enter -0-			5	5,587.
6	Credits/Payments.				
a	2012 estimated tax payments and 2011 overpayment credited to 2012	6a	11,740.		
b	Exempt foreign organizations - tax withheld at source	6b			
c	Tax paid with application for extension of time to file (Form 8868)	6c			
d	Backup withholding erroneously withheld	6d			
7	Total credits and payments. Add lines 6a through 6d			7	11,740.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached			8	
9	**Tax due** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶			9	
10	**Overpayment** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶			10	6,153.
11	Enter the amount of line 10 to be: **Credited to 2013 estimated tax** ▶	6,153.	**Refunded** ▶	11	0.

Part VII-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for definition)?	1b		X
	If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities			
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ▶ $ 0. (2) On foundation managers. ▶ $ 0.			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0.			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities*	2		X
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b	If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T*	5		X
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7	Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV*	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ CA			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation*	8b	X	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		X
10	Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		X

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

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

Website address ▶ N/A

14 The books are in care of ▶ The Foundation Telephone no. ▶ (503) 232-0565

Located at ▶ PO Box 82270, Portland, OR ZIP+4 ▶ 97282

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

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

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

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

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

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

5a During the year did the foundation pay or incur any amount to:				
(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	☐ Yes ☒ No			
(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?	☐ Yes ☒ No			
(3) Provide a grant to an individual for travel, study, or other similar purposes?	☐ Yes ☒ No			
(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)?	☐ Yes ☒ No			
(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	☐ Yes ☒ No			
b If any answer is "Yes" to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)?	N/A	5b		
Organizations relying on a current notice regarding disaster assistance check here	▶ ☐			
c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A	☐ Yes ☐ No			
If "Yes," attach the statement required by Regulations section 53 4945-5(d).				
6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	☐ Yes ☒ No			
b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?		6b		X
If "Yes" to 6b, file Form 8870				
7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	☐ Yes ☒ No			
b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?	N/A	7b		

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
See Statement 9		0.	0.	0.

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

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

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

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

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

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

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

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

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

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

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	2,176,382.
b	Average of monthly cash balances	1b	300,384.
c	Fair market value of all other assets	1c	1,837,117.
d	**Total** (add lines 1a, b, and c)	1d	4,313,883.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e 0.		
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	4,313,883.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	64,708.
5	**Net value of noncharitable-use assets** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	4,249,175.
6	**Minimum investment return** Enter 5% of line 5	6	212,459.

Part XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ▶ ☐ and do not complete this part.)

1	Minimum investment return from Part X, line 6	1	212,459.
2a	Tax on investment income for 2012 from Part VI, line 5 2a 5,587.		
b	Income tax for 2012. (This does not include the tax from Part VI.) 2b		
c	Add lines 2a and 2b	2c	5,587.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	206,872.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	206,872.
6	Deduction from distributable amount (see instructions)	6	0.
7	**Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	206,872.

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	343,295.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	343,295.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	5,587.
6	**Adjusted qualifying distributions** Subtract line 5 from line 4	6	337,708.

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.

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Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2011	(c) 2011	(d) 2012
1 Distributable amount for 2012 from Part XI, line 7				206,872.
2 Undistributed income, if any, as of the end of 2012				
a Enter amount for 2011 only			0.	
b Total for prior years: ______ , ______ , ______		0.		
3 Excess distributions carryover, if any, to 2012:				
a From 2007				
b From 2008				
c From 2009				
d From 2010 241,353.				
e From 2011 291,381.				
f Total of lines 3a through e	532,734.			
4 Qualifying distributions for 2012 from Part XII, line 4: ▶ $ 343,295.				
a Applied to 2011, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2012 distributable amount				206,872.
e Remaining amount distributed out of corpus	136,423.			
5 Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	669,157.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b Taxable amount - see instructions		0.		
e Undistributed income for 2011. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2012. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2013				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2007 not applied on line 5 or line 7	0.			
9 **Excess distributions carryover to 2013** Subtract lines 7 and 8 from line 6a	669,157.			
10 Analysis of line 9:				
a Excess from 2008				
b Excess from 2009				
c Excess from 2010 241,353.				
d Excess from 2011 291,381.				
e Excess from 2012 136,423.				

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

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

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

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

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

1 **Information Regarding Foundation Managers:**

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

None

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

None

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

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

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

See Statement 10

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

c Any submission deadlines.

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

Part XV Supplementary Information (continued)

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

Recipient: Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
Alameda County Healthcare Foundation 2001 Broadway, Ste M Oakland, CA 94612		Public charity	Childhood obesity program	10,000.
American Red Cross 85 2nd Street San Francisco, CA 94105		Public charity	Hurricane Sandy relief	10,000.
Basic Needs Foundation 439 E 247 Carson City, NV 90745		Public charity	Food for the homeless	5,000.
Bay Area Rescue Mission 2114 Macdonald Ave Richmond, CA 94802		Public charity	Community garden program	9,600.
Bay View Opera House 4705 3rd St San Francisco, CA 94124		Public charity	Dare to Dream Program	5,000.
Total See continuation sheet(s) ▶ 3a				339,779.
b Approved for future payment				
None				
Total ▶ 3b				0.

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Be A Mentor PO Box 271 San Carlos, CA 94070		Public charity	Gang reduction program	7,500.
Bellevue Lifespring PO Box 53203 Bellevue, WA 98015		Public charity	Meals for kids	10,000.
Bellingham Childcare & Learning Center 2600 Squalicum Pkwy Bellingham, WA 98225		Public charity	Early Childhood Education Program	3,000.
Berkeley Food & Housing Project 2362 Bancroft Way Berkeley, CA 94704		Public charity	Exercise & nutrition program	5,000.
Boys & Girls Club of Hollywood 850 N Cahuenga Blvd Los Angeles, CA 90038		Public charity	Microlearning program	5,000.
Boys & Girls Club, King County 603 Stewart St Seattle , WA 98101		Public charity	At Risk Teen program	5,000.
Bread of Life Mission 97 S Main St Seattle, WA 98104		Public charity	Day shelter program	5,000.
Bridgeways 5801 23rd St W Everett, WA 98203		Public charity	Employment services	5,000.
CASA 701 Centre Plaza Dr Monterey Park, CA 91754		Public charity	Transition age youth program	5,000.
Catholic Housing Services 100 23rd Ave S Seattle, WA 98144		Public charity	Shelter program/meals	10,000.
Total from continuation sheets				300,179.

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Children's Center 1713 Penn Lane Oregon City, OR 97045		Public charity	Foundations of Hope	10,000.
Common Threads Farm 1715 Ellis St Bellingham, WA 98225		Public charity	Gardening training program	3,000.
Compass Family Services 49 Powell St, 3rd Fl San Francisco, CA 94102		Public charity	Housing fund	5,000.
Crisis Clinic 9725 3rd Ave NE, Ste 300 Seattle, WA 98115		Public charity	Teen chat/teen website	4,500.
East Oakland Community Project 8314 MacArthur Blvd Oakland, CA		Public charity	Summer program for kids	5,000.
East Valley Boys & Girls Club PO Box 2618 Baldwin Park, CA 91706		Public charity	Education program	5,000.
Faith Harvest Helpers PO Box 14672 Tumwater, WA 98511		Public charity	Food recovery/gleaning	5,000.
FISH 1335 SE Hawthorne Portland, OR 97214		Public charity	Food bank	5,000.
FISH 138 E Long St Carson City , NV 89706		Public charity	Family dining program	15,000.
Green House Project 411 N Division St Carson City, NV 89703		Public charity	Outdoor growing area	5,000.
Total from continuation sheets				

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient: Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Harbor Community Services 2905 S M St Tacoma, WA 98409		Public charity	Additional food services	5,000.
Impact Northwest PO Box 33530 Portland, OR 97292		Public charity	Youth support	5,000.
Kare PO Box 2080 Grass Valley, CA 95945		Public charity	Food program	5,000.
Legacy Hospice 815 NE Davis St Portland, OR 97232		Public charity	Hospice program	5,000.
Liberia Medical Association PO Box 5103 Tacoma, WA 98415		Public charity	Medical equipment	5,000.
Live Violence Free 2941 Lake Tahoe Blvd South Lake Tahoe, CA 96150		Public charity	Software and training	7,295.
Loaves & Fishes PO Box 2161 Sacramento, CA 95812		Public charity	Tables/benches	3,000.
Max Higbee Center 1210 Bay Street Ste 102 Bellingham, WA 98225		Public charity	Nutrition Program	3,000.
Medical Teams International 9680 153rd Ave NE Redmond, WA 98052		Public charity	Dental project	5,000.
Mirabella Seattle Foundation 116 Fairview Ave N Seattle, WA 98109		Public charity	Senior services	5,000.
Total from continuation sheets				

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
N Peninsula Food Pantry PO Box 280 Daly City, CA 94016		Public charity	Food purchase	5,000.
Neighborhood House 7780 SW Capital Hwy Portland, OR 97219		Public charity	Dry food purchase	5,000.
Nightwatch PO Box 21181 Seattle, WA 98111		Public charity	Shelter costs	3,000.
Northwest Harvest Organization PO Box 12272 Seattle, WA 98102		Public charity	3-Squares program	5,000.
Providence Child Care 830 NE 47th Portland, OR 97213		Public charity	Equipment purchase	7,600.
Returning Veterans Project 833 SE Main St Portland, OR 97214		Public charity	Continuing services	5,000.
Riley's Place 880 Runnymeade Rd Woodside, CA 94062		Public charity	Program for kids	5,000.
School to School International 164 Jules Ave San Francisco, CA 94112		Public charity	Clean water initiative	7,100.
Seashare 600 Ericksen Ave NE Bainbridge Island, WA 98110		Public charity	Seafood donation	5,000.
Senior Services of Island County 14594 SR 525 Langley, WA 98260		Public charity	Meals on Wheels	5,000.
Total from continuation sheets				

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Shelter Inc 1815 Arnold Drive Martinez, CA 94553		Public charity	Homeless prevention	5,000.
Sisters of the Road 133 NW 6th Ave Portland, OR 97209		Public charity	Hygiene program	5,000.
SPARC 320 Pacific Place Mt Vernon, WA 98273		Public charity	Family support	5,000.
St. Vincent de Paul PO Box 2269 Everett, WA 98213		Public charity	20 beds	3,000.
Team Read 135 37th Ave Seattle, WA 98122		Public charity	Pilot summer reading program	5,000.
Technically Learning 1511 3rd Ave Ste 531 Seattle, WA 98101		Public charity	Program expansion	10,000.
Toddler Learning Center 950 SE Regatta Dr #101 Oak Harbor, WA 98277		Public charity	Summer service program	5,000.
Venice Family Clinic 604 Rose Ave Venice, CA 90291		Public charity	Medical equipment	3,184.
Victory Academy 27960 SW Canyon Creek Rd Wilsonville, OR 97070		Public charity	Education program	10,000.
Virginia Garcia Memorial Foundation PO Box 568 Cornelius, OR 97113		Public charity	Health program	5,000.
Total from continuation sheets				

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient — Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Youth Builders 4816 SE 92nd Ave Portland, OR 97266		Public charity	Youth program	5,000.
Zephyr Point Presbyterian Conference Center 85 2nd Street Zephyr Point, NV		Public charity	Bathroom construction	15,000.
Total from continuation sheets				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	28.	
4 Dividends and interest from securities			14	72,318.	
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income			15	498,181.	
8 Gain or (loss) from sales of assets other than inventory			18	33,566.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a					
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)		0.		604,093.	0.

13 **Total.** Add line 12, columns (b), (d), and (e) 13 604,093.

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

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

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

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

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

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

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

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

b If "Yes," complete the following schedule.

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

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

Deborah Dobbins Warner 8-11-13 Treasurer

Signature of officer or trustee | Date | Title

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

Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature	Date	Check ☒ if self-employed	PTIN
	Sue Fujitani	Sue Fujitani	08/02/13		P00542703
	Firm's name ▶ Sue Fujitani			Firm's EIN ▶	
	Firm's address ▶ 3145 Geary Blvd #65 San Francisco, CA 94118			Phone no. 415-566-4619	

223622
12-05-12

Form 990-PF — Other Income — Statement 1

Description	(a) Revenue Per Books	(b) Net Investment Income	(c) Adjusted Net Income
Royalties	498,181.	498,181.	
Total to Form 990-PF, Part I, line 11	498,181.	498,181.	

Form 990-PF — Accounting Fees — Statement 2

Description	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Bookkeeping and tax preparation	2,680.	2,010.		670.
To Form 990-PF, Pg 1, ln 16b	2,680.	2,010.		670.

Form 990-PF — Other Professional Fees — Statement 3

Description	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Royalty interest management fee	17,010.	17,010.		0.
Investment management fee	26,423.	26,423.		0.
To Form 990-PF, Pg 1, ln 16c	43,433.	43,433.		0.

Form 990-PF — Taxes — Statement 4

Description	(a) Expenses Per Books	(b) Net Invest-ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Excise tax on net investment income	6,000.	0.		0.
To Form 990-PF, Pg 1, ln 18	6,000.	0.		0.

Form 990-PF — Other Expenses — Statement 5

Description	(a) Expenses Per Books	(b) Net Invest-ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Administrative costs	2,846.	0.		2,846.
To Form 990-PF, Pg 1, ln 23	2,846.	0.		2,846.

Form 990-PF — Corporate Stock — Statement 6

Description	Book Value	Fair Market Value
Equity securities - attached schedule	1,029,573.	1,164,551.
Total to Form 990-PF, Part II, line 10b	1,029,573.	1,164,551.

Form 990-PF — Corporate Bonds — Statement 7

Description	Book Value	Fair Market Value
Debt securities - attached schedule	94,750.	105,380.
Total to Form 990-PF, Part II, line 10c	94,750.	105,380.

Form 990-PF — Other Investments — Statement 8

Description	Valuation Method	Book Value	Fair Market Value
Mutual funds - attached schedule	COST	991,129.	1,096,909.
Mariano Rancho, LLC	COST	28,335.	406,667.
Royalty interest	COST	114,517.	1,430,450.
Total to Form 990-PF, Part II, line 13		1,133,981.	2,934,026.

Form 990-PF — Part VIII - List of Officers, Directors Trustees and Foundation Managers — Statement 9

Name and Address	Title and Avrg Hrs/Wk	Compen-sation	Employee Ben Plan Contrib	Expense Account
Roberta C. D'Anneo 1205 Filbert St San Francisco, CA 94109	President 0.50	0.	0.	0.
Diana D. Seder 645 West 11th Street Claremont, CA 91711	Treasurer to 11/12 0.50	0.	0.	0.
Deborah Dobbins Warner 1834 SE Exeter Dr Portland, OR 97202	Treasurer from 11/12 0.50	0.	0.	0.
Susan C. Meland 5820 18th Street Court, NW Gig Harbor, WA 98335	Secretary 0.50	0.	0.	0.
Virginia D. Chappelle 116 Fairview Ave N #160 Seattle, WA 98109	Trustee 0.50	0.	0.	0.
Allan C. D'Anneo 4112 Earnscliff Ave. Fair Oaks, CA 95628	Trustee 0.50	0.	0.	0.
Andrea J. D'Anneo PO Box 264 Philo, CA 95466	Trustee 0.50	0.	0.	0.

Allen L. Dobbins 620 SW Caruthers #782 Portland, OR 97201	Trustee 0.50	0.	0.	0.
Lewis M. Dobbins 16492 Jacks Road Nevada City, CA 95959	Trustee 0.50	0.	0.	0.
Peter T. Dobbins 655 Sylvan Way Redwood City, CA 94062	Trustee 0.50	0.	0.	0.
Totals included on 990-PF, Page 6, Part VIII		0.	0.	0.

Form 990-PF Grant Application Submission Information Statement 10
Part XV, Lines 2a through 2d

Name and Address of Person to Whom Applications Should be Submitted

See statement attached

Form and Content of Applications

Application should be written and sent by mail only

Any Submission Deadlines

March 31 and September 30

Restrictions and Limitations on Awards

Charis Fund supports small projects relating to social, educational, health and some religious needs. The trustees like to provide seed monies for specific projects to help them get established and gain local support. They prefer not to provide on-going support or operating funds. Charis also does not provide scholarships or sponsor individuals.

CHARIS FUND
FORM 990-PF #94-6077619
Year ended 12/31/13

Thank you for your letter of inquiry regarding the Charis Fund.

Overview of the Charis Fund:
Charis Fund is a small, benevolent trust established by the Dobbins Family in 1938. Charis Fund supports project primarily focusing on social welfare, health and health care, and education. Charis Fund is non-denominational; however, it often utilizes religious communities for program and service distribution.

Description of Grants:
The Trustees of Charis Fund prefer to give "seed money" to help initiate new programs that will, once established, develop ongoing and sustainable community support, rather than providing ongoing support to established programs and charities. We prefer to support novel programs aimed at the cause of a problem rather than "treating the symptoms." Charis normally does not give to "the arts", nor to colleges and universities whose alumni/ae can provide needed financial support. Charis is prohibited by law from giving to political or lobbying organizations or to only pre-selected charities. It is also prohibited from providing scholarships or sponsoring individuals. Charis grants typically fall in the $3,000 - $5,000 range, seldom exceeding $10,000.

All groups that Charis supports must be nonprofit organization under the provision of Section 501(c)(3) of the Internal Revenue Code. The majority of organizations funded by Charis are located in the state of California or the Pacific Northwest where the trustees reside. A Charis trustee might make a site visit to become familiar with your organization.

Charis Fund Trustees meet twice each year, usually in early May and November.

How to apply:
If you organization or project meets the above specifications and you wish to submit an application for consideration at our next meeting, please send a copy of your proposal, with the attached documentation, to each of the trustees listed on Part VIII (there are 9 trustees). Grant requests must be received by each of the trustees prior to March 31 or September 30, so they may be reviewed prior to the appropriate meeting.

Please include the following information with your proposal:
1. The document determining that your organization is exempt from Federal Income Tax under Section 501(c)(3) of the Internal Revenue Code.
2. The document stating that you organization is not a private foundation within the meaning of Section 509(a) of the Code.
3. If your organization is in California, the Franchise Tax Board of the State of California requires a document indicating that you are exempt from taxation under the provisions of Revenue and Taxation Code Section 23701(d).
4. Your budget.
5. A list of your Board of Directors
6. To help expedite your grant request, include a list of the members of the Charis Board to whom you have sent your proposal.

Thank you for your interest in the Charis Fund.

PART XV, 2a, b, c, d
Grant Application Procedures

CHARIS FUND
#94-6077619
Form 990-PF Year Ended 12/31/12

PART II, Lines 10 and 13
Investments

	Equities	Bonds	Mutual Funds	Total
Stifel 2168 pgs 2-4				
cost	214,930 44			214,930 44
market	236,831 45			236,831 45
Stifel 3552 pgs 5-7				
cost		94,750 35	48,102 67	142,853 02
market		105,379 61	50,026 14	155,405 75
Stifel 8595 pgs 8-16				
cost	814,643 00		943,026.10	1,757,669.10
market	927,719 20		1,046,883 07	1,974,602 27
TOTAL				
cost	1,029,573 44	94,750 35	991,128 77	2,115,452.56
market	1,164,550 65	105,379 61	1,096,909 21	2,366,839 47

STIFEL NICOLAUS

A DOBBINS AND L DOBBINS AND
D SEDER AND R D'ANNEO TTEES
CHARIS TRUST DTD 12/26/38
EQUITY COMPASS MANAGED
ACCOUNT

December 1 -
December 31, 2012
Account Number

Equities	Symbol/ Type	Quantity	Current Price/ Current Value	Average Unit Cost/ Cost Basis	Unrealized Gain/(-)Loss*	Estimated Annualized Income	Estimated Yield %
AGL RESOURCES INC CUSIP 001204106 ***Covered	GAS Cash	250	39 9700 9,992 50	40 8052 10,201 30	-208 80	460 00	4 60%
AT&T INC CUSIP 00206R102 ***Noncovered	T Cash	276	33 7100 9,303 96	28 6299 7,901 85	1,402 11	496 80	5 34%
ASTRAZENECA PLC SPONSORED ADR CUSIP 046353108 ***Mixed	AZN Cash	225	47 2700 10,635 75	48 0270 10,806 07	-170 32	641 25	6 03%
BCE INC NEW CUSIP 05534B760 ***Mixed	BCE Cash	227	42 9400 9,747 38	33 7305 7,656 82	2,090 56	518 74	5 32%
CENTURYLINK INC CUSIP 156700106 ***Mixed	CTL Cash	231	39 1200 9,036 72	40 6748 9,395 87	-359 15	669 90	7 41%
CHEVRON CORP CUSIP 166764100 ***Covered	CVX Cash	90	108 1400 9,732 60	99 6854 8,971 69	760 91	324 00	3 33%
CONOCOPHILLIPS CUSIP 20825C104 ***Covered	COP Cash	168	57 9900 9,742 32	50 1041 8,417 49	1,324 83	443.52	4 55%
DUKE ENERGY CORP NEW CUSIP 26441C204 ***Noncovered	DUK Cash	144	63 8000 9,187 20	51 5713 7,426 27	1,760 93	440 64	4 80%
GLAXOSMITHKLINE PLC SPONSORED ADR CUSIP 37733W105 ***Covered	GSK Cash	206	43 4700 8,954 82	43 5398 8,969 20	-14 38	477 71	5 33%
HEALTH CARE REIT INC CUSIP 42217K106 *Original Cost 7,686 71* ***Noncovered	HCN Cash	168	61 2900 10,296 72	44 3315 7,447 69	2,849 03	497 28	4 83%
HEINZ HJ COMPANY CUSIP 423074103 ***Covered	HNZ Cash	171	57 6800 9,863 28	51 4879 8,804 43	1,058 85	352 26	3 57%
JOHNSON & JOHNSON CUSIP 478160104 ***Covered	JNJ Cash	145	70 1000 10,164 50	60 9027 8,830 89	1,333 61	353 80	3 48%

ASSET DETAILS (continued)

PORTFOLIO ASSETS - HELD AT STIFEL (continued)

Equities	Symbol/ Type	Quantity	Current Price/ Current Value	Average Unit Cost/ Cost Basis	Unrealized Gain/(-)Loss*	Estimated Annualized Income	Estimated Yield %
KIMBERLY CLARK CORP CUSIP 494368103 ***Noncovered	KMB Cash	114	84 4300 9,625 02	62 4888 7,123 72	2,501 30	337 44	3 51%
KINDER MORGAN INC DE CUSIP 49456B101 ***Covered	KMI Cash	263	35 3300 9,291 79	34 7265 9,133 07	158 72	378 72	4 08%
KRAFT FOODS GRP INC CUSIP 50076Q106 ***Covered	KRFT Cash	225	45 4700 10,230 75	44 0145 9,903 26	327 49	450 00	4 40%
PFIZER INC CUSIP 717081103 ***Covered	PFE Cash	415	25 0793 10,407 90	19 3787 8,042 16	2,365 74	398 40	3 83%
PROCTER & GAMBLE COMPANY CUSIP 742718109 ***Covered	PG Cash	145	67 8900 9,844 05	69 8032 10,121 46	-277 41	325 96	3 31%
ROYAL DUTCH SHELL PLC SPONSORED ADR REPSTG A SHARES CUSIP 780259206 ***Mixed	RDS/A Cash	146	68 9500 10,066 70	63 0429 9,204 26	862 44	426 90	4 24%
SENIOR HOUSING PROPERTIES TRUST SBI CUSIP 81721M109 *Original Cost 10,272 57* ***Mixed	SNH Cash	439	23 6400 10,377 96	23 0949 10,138 67	239 29	684 84	6 60%
SOUTHERN COMPANY CUSIP 842587107 ***Noncovered	SO Cash	204	42 8100 8,733 24	37 8000 7,711 20	1,022 04	399 84	4 58%
TOTAL S A SPONSORED ADR CUSIP 89151E109 ***Covered	TOT Cash	211	52 0100 10,974 11	51 6780 10,904 06	70 05	625 25	5 70%
VERIZON COMMUNICATIONS INC CUSIP 92343V104 ***Noncovered	VZ Cash	218	43 2700 9,432 86	32 7394 7,137 19	2,295 67	449 08	4 76%

STIFEL NICOLAUS

A DOBBINS AND L DOBBINS AND
D SEDER AND R D'ANNEO TTEES
CHARIS TRUST DTD 12/26/38
EQUITY COMPASS MANAGED
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ASSET DETAILS (continued)

PORTFOLIO ASSETS - HELD AT STIFEL (continued)

Equities	Symbol/ Type	Quantity	Current Price/ Current Value	Average Unit Cost/ Cost Basis	Unrealized Gain/(-)Loss*	Estimated Annualized Income	Estimated Yield %
WASTE MANAGEMENT INC DEL	WM	280	33 7400	35 6048	-522 15	397 60	4 21%
CUSIP 94106L109	Cash		9,447 20	9,969 35			
***Mixed							
SEAGATE TECHNOLOGY PLC	STX	386	30 4200	27 7525	1,029 65	586 72	5 00%
CUSIP G7945M107	Cash		11,742 12	10,712 47			
***Covered							
Total Equities			**$236,831.45**	**$214,930.44**	**$21,901.01**	**$11,136.65**	**4.70%**

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STIFEL NICOLAUS

A DOBBINS L DOBBINS
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ASSET DETAILS

PORTFOLIO ASSETS - HELD AT STIFEL

Corporate/Government Bonds	Symbol/ Bond Rating/ Type	Quantity	Current Price/ Current Value	Average Unit Cost/ Cost Basis	Accrued Income	Unrealized Gain/(-)Loss*	Estimated Annualized Income	Estimated Yield %
NOVA SCOTIA PROV CDA DEBENTURE 30/360 CPN 7 250% DUE 07/27/13 DTD 07/27/93 FC 01/27/94 CUSIP 669827DQ7 ***Noncovered	S&P A+ Moody Aa2 Cash	10,000	103 9900 10,399 00	104 8619 10,486 19	310 14	-87 19	725 00	6 97%
MASCO CORP DEBENTURE CPN 7 125% DUE 08/15/13 DTD 08/15/93 FC 02/15/94 CUSIP 574599AN6 ***Noncovered	S&P BBB- Moody Ba3 Cash	10,000	102 8910 10,289 10	102 1115 10,211 15	269 17	77 95	712 50	6 92%

ASSET DETAILS (continued)

PORTFOLIO ASSETS - HELD AT STIFEL (continued)

Corporate/Government Bonds	Symbol/ Bond Rating/ Type	Quantity	Current Price/ Current Value	Average Unit Cost/ Cost Basis	Accrued Income	Unrealized Gain/(-)Loss*	Estimated Annualized Income	Estimated Yield %
PHILIPS ELECTRONICS NV CPN 7 250% DUE 08/15/13 DTD 08/15/93 FC 02/15/94 CUSIP 718448AB9 ***Noncovered	S&P A- Moody A3 Cash	10,000	103 9150 10,391 50	104 8369 10,483 69	273 89	-92 19	725 00	6 98%
NABISCO INC DEBENTURE B/E CPN 7 550% DUE 06/15/15 DTD 06/15/95 FC 12/15/95 CUSIP 629527AU6 ***Noncovered	S&P BBB Moody Baa2 Cash	9,000	115 9690 10,437 21	102 1510 9,193 59	30 20	1,243 62	679 50	6 51%
NATIONSBANK CORP SUBORDINATED NOTES CPN 7 750% DUE 08/15/15 DTD 09/05/95 FC 02/15/96 CUSIP 638585AN9 ***Noncovered	S&P BBB+ Moody Baa3 Cash	10,000	113 3470 11,334 70	101 3701 10,137 01	292 78	1,197 69	775 00	6 84%
ITT CORP INC NEW DEBENTURE B/E CPN 7 375% DUE 11/15/15 DTD 11/15/95 FC 05/15/96 CUSIP 450912AC4 ***Noncovered	S&P BBB Moody Baa2 Cash	10,000	115 6510 11,565 10	97 9645 9,796 45	94 24	1,768 65	737 50	6 38%
TIME WARNER INC DEBENTURE CPN 8 050% DUE 01/15/16 DTD 01/15/96 FC 07/15/96 CUSIP 887315BA6 ***Noncovered	S&P BBB Moody Baa2 Cash	10,000	116 9260 11,692 60	103 0599 10,305 99	371 19	1,386 61	805 00	6 88%

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ASSET DETAILS (continued)

PORTFOLIO ASSETS - HELD AT STIFEL (continued)

Corporate/Government Bonds	Symbol/ Bond Rating/ Type	Quantity	Current Price/ Current Value	Average Unit Cost/ Cost Basis	Accrued Income	Unrealized Gain/(-)Loss*	Estimated Annualized Income	Estimated Yield %
DAYTON HUDSON CORP DEBENTURE CPN 9 875% DUE 07/01/20 DTD 07/01/90 FC 01/01/91 CUSIP 239753BC9 ***Noncovered	S&P A+ Moody A2 Cash	10,000	145 0320 14,503 20	123 4803 12,348 03	493 75	2,155 17	987 50	6 81%
TIME WARNER INC DEBENTURE CPN 9 150% DUE 02/01/23 DTD 02/04/93 FC 08/01/93 CUSIP 887315AM1 ***Noncovered	S&P BBB Moody Baa2 Cash	10,000	147 6720 14,767 20	117 8825 11,788 25	381 25	2,978 95	915 00	6 20%
Total Corporate/Government Bonds		**89,000**	**$105,379.61**	**$94,750.35**	**$2,516.61**	**$10,629.26**	**$7,062.00**	**6.70%**

Principal Protected Notes are subject to the credit risk of the issuer Principal Protected Market Linked CDs are subject to applicable limits

Mutual Funds	Symbol/ Type	Quantity	Current Price/ Current Value	Average Unit Cost/ Cost Basis	Original Investment¹/ Cumulative Return²	Unrealized Gain/(-)Loss*	Estimated Annualized Income	Estimated Yield %
Open-End Funds								
LOOMIS SAYLES STRATEGIC INCOME CL C CUSIP 543487268 *Dividend Option Reinvest* ***Mixed	NECZX Cash	3,215 048	15 5600 50,026 14	14 9617 48,102 67	35,941 28 14,084 86	1,923 27	2,263.39	4 52%
Total Mutual Funds			**$50,026.14**	**$48,102.67**		**$1,923.27**	**$2,263.39**	**4.52%**
Total Portfolio Assets - Held at Stifel			**$155,405.75**	**$142,853.02**		**$12,552.53**	**$9,325.39**	**6.00%**

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ASSET DETAILS

PORTFOLIO ASSETS - HELD AT STIFEL

Equities	Symbol/ Type	Quantity	Current Price/ Current Value	Average Unit Cost/ Cost Basis	Unrealized Gain/(-)Loss*	Estimated Annualized Income	Estimated Yield %
AEGION CORP	AEGN	800	22 1900	21 7649	340 08	N/A	N/A
CUSIP 00770F104	Cash		17,752 00	17,411 92			
***Covered							
ALLEGHENY TECHNOLOGIES	ATI	1,004 060	30 3600	38 3726	-8,045 17	722 92	2 37%
INC	Cash		30,483 26	38,528 37			
CUSIP 01741R102							
Dividend Option Reinvest							
***Mixed							
APPLE INC	AAPL	201 854	532 1729	239 2269	59,132 31	2,139 65	1 99%
CUSIP 037833100	Cash		107,421 22	48,288 90			
Dividend Option Reinvest							
***Mixed							

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D SEDER & R D'ANNEO TTEES
THE CHARIS TR U/A DTD 12/26/38
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ASSET DETAILS (continued)

PORTFOLIO ASSETS - HELD AT STIFEL (continued)

Equities	Symbol/ Type	Quantity	Current Price/ Current Value	Average Unit Cost/ Cost Basis	Unrealized Gain/(-)Loss*	Estimated Annualized Income	Estimated Yield %
BRISTOL MYERS SQUIBB COMPANY CUSIP 110122108 *Dividend Option Reinvest* ***Covered	BMY Cash	606 036	32 5900 19,750 71	33 0673 20,039 96	-289 25	848 45	4 30%
CENTURYLINK INC CUSIP 156700106 *Dividend Option Reinvest* ***Mixed	CTL Cash	383 921	39 1200 15,018 98	37 7121 14,478 48	540 49	1,113 37	7 41%
CHEVRON CORP CUSIP 166764100 *Dividend Option Reinvest* ***Mixed	CVX Cash	118 105	108 1400 12,771 87	55 7324 6,582 27	6,189 55	425 17	3 33%
CITIGROUP INC NEW CUSIP 172967424 *Dividend Option Reinvest* ***Covered	C Cash	800 506	39 5600 31,668 01	31 1341 24,923 00	6,745 00	32 02	0 10%
COACH INC CUSIP 189754104 *Dividend Option Reinvest* ***Covered	COH Cash	353 812	55 5100 19,640 10	56 6144 20,030 85	-390 76	424 57	2 16%
COCA-COLA COMPANY CUSIP 191216100 *Dividend Option Reinvest* ***Mixed	KO Cash	630 939	36 2500 22,871 53	33 0382 20,845 07	2,026 45	643 55	2 81%
COSTCO WHOLESALE CORP CUSIP 22160K105 *Dividend Option Reinvest* ***Covered	COST Cash	107 365	98 7300 10,600 14	96 6085 10,372 37	227 76	118 10	1 11%
DISNEY WALT COMPANY CUSIP 254687106 *Dividend Option Reinvest* ***Mixed	DIS Cash	618 604	49 7900 30,800 29	36 6834 22,692 50	8,107 78	463 95	1 51%

ASSET DETAILS (continued)

PORTFOLIO ASSETS - HELD AT STIFEL (continued)

Equities	Symbol/ Type	Quantity	Current Price/ Current Value	Average Unit Cost/ Cost Basis	Unrealized Gain/(-)Loss*	Estimated Annualized Income	Estimated Yield %
DR REDDYS LABORATORIES LTD ADR CUSIP 256135203 *Dividend Option Reinvest* *Original Cost 16,006 82* ***Mixed	RDY Cash	403 273	33 2900 13,424 95	39 0572 15,750 71	-2,325 76	99 85	0 74%
E M C CORP MASS CUSIP 268648102 *Dividend Option Reinvest* ***Noncovered	EMC Cash	815	25 3000 20,619 50	25 8808 21,092 84	-473 34	N/A	N/A
EXPRESS SCRIPTS HOLDING COMPANY CUSIP 30219G108 *Dividend Option Reinvest* ***Covered	ESRX Cash	400	54 0000 21,600 00	52 8750 21,149 98	450 02	N/A	N/A
GENERAL ELECTRIC COMPANY CUSIP 369604103 *Dividend Option Reinvest* ***Mixed	GE Cash	1,241 266	20 9900 26,054 17	16 7916 20,842 81	5,211 35	943 36	3 62%
GOOGLE INC CL A CUSIP 38259P508 ***Noncovered	GOOG Cash	40	707 3800 28,295 20	483 0635 19,322 54	8,972 66	N/A	N/A
HEALTH CARE REIT INC CUSIP 42217K106 *Dividend Option Reinvest* ***Covered	HCN Cash	303 690	61 2900 18,613 16	58 2825 17,699 82	913 34	898 92	4 83%
INTEL CORP CUSIP 458140100 *Dividend Option Reinvest* ***Mixed	INTC Cash	1,842 611	20 6200 37,994.63	22 0319 40,596 26	-2,601 66	1,658 34	4 36%
INTERNATIONAL BUSINESS MACHINES CORP CUSIP 459200101 *Dividend Option Reinvest* ***Mixed	IBM Cash	55 927	191 5500 10,712 81	182 1308 10,186 03	526 77	190 15	1 77%

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ASSET DETAILS (continued)

PORTFOLIO ASSETS - HELD AT STIFEL (continued)

Equities	Symbol/ Type	Quantity	Current Price/ Current Value	Average Unit Cost/ Cost Basis	Unrealized Gain/(-)Loss*	Estimated Annualized Income	Estimated Yield %
JPMORGAN CHASE & COMPANY CUSIP 46625H100 *Dividend Option Reinvest* ***Covered	JPM Cash	704 088	43 9691 30,958 11	38 5948 27,174 13	3,783 95	844 90	2 73%
JOHNSON & JOHNSON CUSIP 478160104 *Dividend Option Reinvest* ***Mixed	JNJ Cash	310 962	70 1000 21,798 43	64 4475 20,040 71	1,757 71	758 74	3 48%
JOHNSON CONTROLS INC CUSIP 478366107 *Dividend Option Reinvest* ***Covered	JCI Cash	754 731	30 6700 23,147 59	26 6683 20,127 43	3,020 16	573 59	2 48%
KINDER MORGAN INC DE CUSIP 49456B101 *Dividend Option Reinvest* ***Covered	KMI Cash	576 373	35 3300 20,363 25	35 1865 20,280 54	82 71	829 97	4 08%
LILLY ELI & COMPANY CUSIP 532457108 *Dividend Option Reinvest* ***Covered	LLY Cash	402 963	49 3200 19,874 13	49 4581 19,929 78	-55 65	789 80	3 97%
MICROSOFT CORP CUSIP 594918104 *Dividend Option Reinvest* ***Covered	MSFT Cash	661 806	26 7097 17,676 63	29 5454 19,553 32	-1,876 71	608 86	3 44%
NESTLE S A SPNSD ADR REPSTING REG SHS CUSIP 641069406 *Dividend Option Reinvest* ***Mixed	NSRGY Cash	204 786	65 1700 13,345 90	57 8584 11,848 59	1,497 31	432 56	3 24%
NIKE INC CL B CUSIP 654106103 *Dividend Option Reinvest* ***Mixed	NKE Cash	491 075	51 6000 25,339 46	41 6708 20,463 49	4,875 95	825 00	3 26%
NUANCE COMMUNICATION INC CUSIP 67020Y100 ***Covered	NUAN Cash	900	22 3200 20,088 00	23 0394 20,735 46	-647 46		N/A

ASSET DETAILS (continued)

PORTFOLIO ASSETS - HELD AT STIFEL (continued)

Equities	Symbol/ Type	Quantity	Current Price/ Current Value	Average Unit Cost/ Cost Basis	Unrealized Gain/(-)Loss*	Estimated Annualized Income	Estimated Yield %
ORACLE CORP CUSIP 68389X105 *Dividend Option Reinvest* ***Mixed	ORCL Cash	640 274	33 3200 21,333 92	32 8056 21,004 57	329 34	153 66	0 72%
PALO ALTO NETWORKS INC CUSIP 697435105 ***Covered	PANW Cash	160	53 5200 8,563 20	62 0000 9,920 00	-1,356 80		N/A
PRECISION CASTPARTS CORP CUSIP 740189105 *Dividend Option Reinvest* ***Mixed	PCP Cash	140 417	189 4200 26,597 78	109 9122 15,433 54	11,164 18	16 85	0 06%
QLIK TECHNOLOGIES INC CUSIP 74733T105 ***Covered	QLIK Cash	350	21 7200 7,602 00	29 5800 10,353 00	-2,751 00		N/A
QUANTA SERVICES INC CUSIP 74762E102 ***Noncovered	PWR Cash	925	27 2900 25,243 25	21 3356 19,735 45	5,507 80	N/A	N/A
ROCHE HOLDING LIMITED SPONSORED ADR CUSIP 771195104 *Dividend Option Reinvest* ***Covered	RHHBY Cash	500	50 5000 25,250 00	45 7690 22,884 50	2,365 50	921 15	3 65%
SIEMENS A G SPONS ADR CUSIP 826197501 *Dividend Option Reinvest* ***Mixed	SI Cash	159 561	109 4700 17,467 14	129 6688 20,690 09	-3,222 95	620 54	3 55%
STARBUCKS CORP CUSIP 855244109 *Dividend Option Reinvest* ***Covered	SBUX Cash	401 634	53 6300 21,539 63	50 3332 20,215 52	1,324 11	337 37	1 57%
TATA MOTORS LTD SPONS ADR CUSIP 876568502 *Dividend Option Reinvest* ***Mixed	TTM Cash	521 946	28 7200 14,990 28	30 1385 15,730 69	-740 41	184 76	1 23%

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ASSET DETAILS (continued)

PORTFOLIO ASSETS - HELD AT STIFEL (continued)

Equities	Symbol/ Type	Quantity	Current Price/ Current Value	Average Unit Cost/ Cost Basis	Unrealized Gain/(-)Loss*	Estimated Annualized Income	Estimated Yield %
TELEFONICA S A SPONSORED ADR CUSIP 879382208 *Dividend Option Reinvest* ***Covered	TEF Cash	1,245 987	13 4900 16,808 36	16 8483 20,992 81	-4,184 45	N/A	N/A
3D SYSTEMS CORP DEL NEW CUSIP 88554D205 ***Covered	DDD Cash	300	53 3500 16,005 00	36 0367 10,811 00	5,194 00		N/A
TUPPERWARE BRANDS CORP CUSIP 899896104 *Dividend Option Reinvest* ***Covered	TUP Cash	322 844	64 1000 20,694 29	63 3442 20,450 30	243 98	464 89	2 25%
WELLS FARGO & CO NEW CUSIP 949746101 *Dividend Option Reinvest* ***Covered	WFC Cash	495 621	34 1800 16,940 32	31 1395 15,433 40	1,506 91	436 14	2 57%
Total Equities			**$927,719.20**	**$814,643.00**	**$113,075.80**	**$19,621.16**	**2.10%**

Mutual Funds	Symbol/ Type	Quantity	Current Price/ Current Value	Average Unit Cost/ Cost Basis	Original Investment¹/ Cumulative Return²	Unrealized Gain/(-)Loss*	Estimated Annualized Income	Estimated Yield %
Open-End Funds								
BLACKROCK GLOBAL ALLOCATION INSTL CL CUSIP 09251T509 *Dividend Option Reinvest* ***Mixed	MALOX Cash	4,068 042	19 8300 80,669 27	18 9187 76,962 13	63,288 73 17,380 54	3,707 10	1,505 17	1 87%
FIRST EAGLE GLOBAL CL I CUSIP 32008F606 *Dividend Option Reinvest* ***Mixed	SGIIX Cash	623 926	48 7600 30,422 63	44 1590 27,551 95	9,981 00 20,441 63	2,870 66	399 93	1 31%
IVA WORLDWIDE CL I CUSIP 45070A206 *Dividend Option Reinvest* ***Mixed	IVWIX Cash	636 132	15 9000 10,114 49	15 5040 9,862 57	2,194 87 7,919 62	251 88	102 41	1 01%

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ASSET DETAILS (continued)

PORTFOLIO ASSETS - HELD AT STIFEL (continued)

Mutual Funds Open-End Funds	Symbol/ Type	Quantity	Current Price/ Current Value	Average Unit Cost/ Cost Basis	Original Investment[1]/ Cumulative Return[2]	Unrealized Gain/(-)Loss*	Estimated Annualized Income	Estimated Yield %
INCOME FUND AMERICA CL F2 CUSIP 453320822 *Dividend Option Reinvest* ***Mixed	AMEFX Cash	1,765 808	18 0500 31,872 83	16 4313 29,014 50	27,170 41 4,702 42	2,858 29	1,223 70	3 84%
IVY HIGH INCOME CL I CUSIP 466000122 *Dividend Option Reinvest* ***Mixed	IVHIX Cash	8,244 072	8 5400 70,404 37	7 9718 65,720 38	60,000 00 10,404 37	4,683 94	5,383 37	7 65%
JOHN HANCOCK II STRATEGIC INCOME OPPORTUNITIES CL A CUSIP 47804A155 *Dividend Option Reinvest* ***Mixed	JIPAX Cash	15,188 684	11 1300 169,050 05	10 7222 162,855 57	140,000 00 29,050 05	6,194 33	8,885 38	5 26%
LOOMIS SAYLES STRATEGIC INCOME CL Y CUSIP 543487250 *Dividend Option Reinvest* ***Mixed	NEZYX Cash	3,614 188	15 4600 55,875 34	13 7096 49,549 15	16,169 45 39,705 89	6,325 98	3,075 67	5 50%
NUVEEN REAL ESTATE SECURITIES CL A CUSIP 670678705 *Dividend Option Reinvest* *Original Cost 51,332 24* ***Mixed	FREAX Cash	3,392 818	21 0200 71,317 03	15 1189 51,295 72	44,963 48 26,353 55	20,021 23	1,564 08	2 19%
OPPENHEIMER EQUITY INCOME CL A CUSIP 68381A103 *Dividend Option Reinvest* ***Covered	OAEIX Cash	1,595 809	25 5100 40,709 08	22 9849 36,679 48	35,102 41 5,606 67	4,029 57	1,166 53	2 87%

ASSET DETAILS (continued)

PORTFOLIO ASSETS - HELD AT STIFEL (continued)

Mutual Funds	Symbol/ Type	Quantity	Current Price/ Current Value	Average Unit Cost/ Cost Basis	Original Investment[1]/ Cumulative Return[2]	Unrealized Gain/(-)Loss*	Estimated Annualized Income	Estimated Yield %
Open-End Funds								
PIMCO ALL ASSET ALL AUTHORITY CL P CUSIP 72201M438 *Dividend Option Reinvest* ***Mixed	PAUPX Cash	3,934 247	11 0900 43,630 79	10 9508 43,083 15	36,000 00 7,630 79	547 60	3,100 18	7 11%
PIONEER STRATEGIC INCOME CL Y CUSIP 723884409 *Dividend Option Reinvest* ***Mixed	STRYX Cash	14,348 690	11 2800 161,853 22	9 8743 141,683 72	101,451 54 60,401 68	20,169 26	8,020 91	4 96%
PRUDENTIAL JENNISON 20/20 FOCUS CL Z CUSIP 74440G404 *Dividend Option Reinvest* ***Mixed	PTWZX Cash	3,398 624	16 6500 56,587 08	16 3903 55,704 43	51,704 33 4,882 75	882 63	N/A	N/A
PRUDENTIAL JENNISON EQUITY INCOME CL Z CUSIP 74441L832 *Dividend Option Reinvest* ***Mixed	JDEZX Cash	3,972 823	13 9800 55,540 06	12 6392 50,213 12	47,161 10 8,378 96	5,326 90	1,950 65	3 51%
PRUDENTIAL JENNISON HEALTH SCIENCES CL Z CUSIP 74441P866 *Dividend Option Reinvest* ***Mixed	PHSZX Cash	2,826 734	29 5400 83,501 72	21 0530 59,511 23	48,418 70 35,083 02	23,990 46	N/A	N/A
TOUCHSTONE LARGE CAP GROWTH CL A CUSIP 89154X302 *Dividend Option Reinvest* ***Mixed	TEQAX Cash	747 038	26 4700 19,774 09	26 9993 20,169 47	20,048 83 -274 74	-395 38	83 66	0 42%
TRANSAMERICA LARGE CAP VALUE CL A CUSIP 893509281 *Dividend Option Reinvest* ***Mixed	TWQAX Cash	2,445 979	11 2800 27,590 64	11 1321 27,228 78	25,000 00 2,590 64	361 80	491 64	1 78%

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ASSET DETAILS (continued)

PORTFOLIO ASSETS - HELD AT STIFEL (continued)

Mutual Funds	Symbol/ Type	Quantity	Current Price/ Current Value	Average Unit Cost/ Cost Basis	Original Investment[1]/ Cumulative Return[2]	Unrealized Gain/(-)Loss*	Estimated Annualized Income	Estimated Yield %
Closed-End Funds								
BLACKROCK ENHANCED EQUITY DIV TR CUSIP 09251A104 *Dividend Option Reinvest* ***Mixed	BDJ Cash	3,640 977	7 1800 26,142 20	6 8978 25,114 62	19,361 92 6,780 28	1,027 51	2,038 94	7 80%
EATON VANCE ENHANCED EQUITY INCOME FUND II CUSIP 278277108 *Dividend Option Reinvest* *Original Cost 11,097 42* ***Mixed	EOS Cash	1,132 968	10 4400 11,828 18	9 5555 10,826 13	9,411 13 2,417 05	1,001 98	1,189 61	10 06%
Total Mutual Funds			**$1,046,883.07**	**$943,026.10**		**$103,855.74**	**$40,181.83**	**3.84%**
Total Portfolio Assets - Held at Stifel			**$1,974,602.27**	**$1,757,669.10**		**$216,931.64**	**$59,702.98**	**3.02%**

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