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

OMB No 1545-0052

2012Department of the Treasury
Internal Revenue Service

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

For calendar year 2012, or tax year beginning

, 2012, and ending

TEAMSTERS LOCAL 986 CHARITY FUND, INC.
1198 DURFEE AVE
SO. EL MONTE, CA 91733

A Employer identification number
95-2993422

B Telephone number (see the instructions)
626-350-9860

C If exemption application is pending, check here ☐

D 1 Foreign organizations, check here ☐

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

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

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

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

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

I Fair market value of all assets at end of year (from Part II, column (c), line 16) **J** Accounting method. ☐ Cash ☒ Accrual
☐ Other (specify) _____

P \$ 5,822,128. (Part I, column (d) must be on cash basis)

Part I Analysis of Revenue and Expenses

(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))

(a) Revenue and expenses per books

(b) Net investment income

(c) Adjusted net income

(d) Disbursements for charitable purposes (cash basis only)

REVENUE

- 1 Contributions, gifts, grants, etc. received (att sch)
2 Ck ☒ if the foundn is not req to att Sch B
3 Interest on savings and temporary cash investments
4 Dividends and interest from securities
5a Gross rents
b Net rental income or (loss)
6a Net gain/(loss) from sale of assets not on line 10
b Gross sales price for all assets on line 6a 836,986.
7 Capital gain net income (from Part IV, line 2)
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/(loss) (att sch)
11 Other income (attach schedule)

12 Total. Add lines 1 through 11

106,772.

106,772.

0.

ADMINISTRATIVE AND OPERATING EXPENSES

- 13 Compensation of officers, directors, trustees, etc
14 Other employee salaries and wages
15 Pension plans, employee benefits
16a Legal fees (attach schedule) SEE ST 1
b Accounting fees (attach sch) SEE ST 2
c Other prof fees (attach sch) SEE ST 3
17 Interest
18 Taxes (attach schedule)(see instrs) SEE STM 4
19 Depreciation (attach sch) and depletion
20 Occupancy
21 Travel, conferences, and meetings
22 Printing and publications
23 Other expenses (attach schedule) SEE STATEMENT 5

78,157.

14,293.

45,000.

4,261.

2,395.

1,146.

1,290.

144,106.

95,830.

239,936.

2,436.

2,436.

-133,164.

104,336.

78,157.

13,147.

45,000.

10.

1,105.

137,419.

95,830.

233,249.

24 Total operating and administrative expenses. Add lines 13 through 23

25 Contributions, gifts, grants paid PART XV

26 Total expenses and disbursements. Add lines 24 and 25

27 Subtract line 26 from line 12:

a Excess of revenue over expenses and disbursements

b Net investment income (if negative, enter -0-)

c Adjusted net income (if negative, enter -0-)

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Part II Balance Sheets		Beginning of year	End of year	
			(a) Book Value	(b) Book Value
ASSETS	1 Cash – non-interest-bearing			
	2 Savings and temporary cash investments	1,258,429.	358,557.	358,557.
	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 sch)			
	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 (attach schedule)	943,218.	444,182.	449,657.
	b Investments – corporate stock (attach schedule)			
	c Investments – corporate bonds (attach schedule)	3,562,531.	4,928,438.	4,980,031.
	11 Investments – land, buildings, and equipment basis			
LIABILITIES	Less accumulated depreciation (attach schedule)			
	12 Investments – mortgage loans			
	13 Investments – other (attach schedule)	129,602.	29,439.	33,883.
	14 Land, buildings, and equipment: basis			
	Less accumulated depreciation (attach schedule)			
	15 Other assets (describe)			
	16 Total assets (to be completed by all filers – see the instructions. Also, see page 1, item i)	5,893,780.	5,760,616.	5,822,128.
	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, & other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe)			
	23 Total liabilities (add lines 17 through 22)	0.	0.	
NET ASSETS OR FUND BALANCES	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. ☒			
	24 Unrestricted	148,257.	54,023.	
	25 Temporarily restricted	5,745,523.	5,706,593.	
	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, building, and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds			
	30 Total net assets or fund balances (see instructions)	5,893,780.	5,760,616.	
	31 Total liabilities and net assets/fund balances (see instructions)	5,893,780.	5,760,616.	

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	5,893,780.
2	Enter amount from Part I, line 27a	2	-133,164.
3	Other increases not included in line 2 (itemize)	3	
4	Add lines 1, 2, and 3	4	5,760,616.
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	5,760,616.

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 shares MLC Company)		(b) How acquired P — Purchase D — Donation	(c) Date acquired (month, day, year)	(d) Date sold (month, day, year)
1 a MERRILL LYNCH AC 163 (SEE ATTACHED)		P	VARIOUS	VARIOUS
b MERRILL LYNCH AC 165 (SEE ATTACHED)		P	VARIOUS	VARIOUS
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 734,448.		703,414.	31,034.
b 102,538.		100,164.	2,374.
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Column (h) gain minus column (k), but not less than -0-) or Losses (from column (h))
(j) Fair Market Value as of 12/31/69	(i) Adjusted basis as of 12/31/69	(k) Excess of column (i) over column (j), if any	
a			31,034.
b			2,374.
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	33,408.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8	3	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.

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 (column (b) divided by column (c))
2011	146,707.	158,792.	0.923894
2010	146,820.	24,951.	5.884333
2009	28,775.		
2008			
2007			

2 Total of line 1, column (d)	2	6.808227
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	2.269409
4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5	4	105,361.
5 Multiply line 4 by line 3	5	239,107.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	1,043.
7 Add lines 5 and 6	7	240,150.
8 Enter qualifying distributions from Part XII, line 4	8	233,249.

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)

1 a 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 instrs)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b		1	2,087.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, column (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	2,087.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	2,087.
6 Credits/Payments			
a 2012 estimated tax pmts and 2011 overpayment credited to 2012	6 a	1,600.	
b Exempt foreign organizations – tax withheld at source	6 b		
c Tax paid with application for extension of time to file (Form 8868)	6 c		
d Backup withholding erroneously withheld	6 d		
7 Total credits and payments. Add lines 6a through 6d	7	1,600.	
8 Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached	8	2.	
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed. SEE STATEMENT 6	9	511.	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10		
11 Enter the amount of line 10 to be. Credited to 2013 estimated tax	11		
	Refunded		

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 the instructions for definition)? <i>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</i>		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: (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? <i>If 'Yes,' attach a detailed description of the activities</i>		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? <i>If 'Yes,' attach a conformed copy of the changes</i>		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?		N/A
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If 'Yes,' attach the statement required by General Instruction T</i>		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?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If 'Yes,' complete Part II, column (c), and Part XV</i>	X	
8 a 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? <i>If 'No,' attach explanation</i>	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)? <i>If 'Yes,' complete Part XIV</i>		X
10 Did any persons become substantial contributors during the tax year? <i>If 'Yes,' attach a schedule listing their names and addresses</i>		X

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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? Website address <u>N/A</u>	13	X	
14	The books are in care of <u>CHRIS GRISWOLD</u> Telephone no <u>626-350-9860</u> Located at <u>1198 DURFEE AVE SO. EL MONTE CA</u> ZIP + 4 <u>90010</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here <u>N/A</u> and enter the amount of tax-exempt interest received or accrued during the year <u>15</u> <u>N/A</u>			
16	At any time during calendar year 2012, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		X
See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If 'Yes,' enter the name of the foreign country.				

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

File Form 4720 if any item is checked in the 'Yes' column, unless an exception applies.

	Yes	No
1 a 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)? Organizations relying on a current notice regarding disaster assistance check here ☐	1 b	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?	1 c	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? If 'Yes,' list the years <u>20</u> <u>20</u> <u>20</u> <u>20</u>	☐ Yes	☒ No
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer 'No' and attach statement - see instructions.)	2 b	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 <u>20</u> <u>20</u> <u>20</u> <u>20</u>		
3 a 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.)	3 b	N/A
4 a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4 a	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?	4 b	X

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Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5 a** 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)?

5 b 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?N/A ☐ Yes ☐ No

If 'Yes,' attach the statement required by Regulations section 53.4945-5(d)

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

6 b X

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

If 'Yes' to 6b, file Form 8870

7 a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?☐ Yes ☒ No

7 b N/A

b If 'Yes,' did the foundation receive any proceeds or have any net income attributable to the transaction?

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
CHRIS GRISWOLD 1198 DURFEE AVENUE SOUTH EL MONTE, CA 91733	CEO 2.00	0.	0.	0.
CONNIE TARANGO 1198 DURFEE AVENUE SOUTH EL MONTE, CA 91733	SECRETARY 2.00	0.	0.	0.
SEAN HARREN 1198 DURFEE AVENUE SOUTH EL MONTE, CA 91733	CFO 2.00	0.	0.	0.

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

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

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 (see instructions). If none, enter 'NONE.'**

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
JEFFER MANGELS BUTLER & MITCHELL LLP 1900 AVENUE OF THE STARS, 7TH FLOOR LOS ANGELES, CA 90067	LEGAL SERVICES	78,157.
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 (see instructions)

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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Form 990-PF (2012)

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	1 a	79,833.
b Average of monthly cash balances	1 b	27,132.
c Fair market value of all other assets (see instructions)	1 c	
d Total (add lines 1a, b, and c)	1 d	106,965.
e Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1 e	0.
2 Acquisition indebtedness applicable to line 1 assets	2	0.
3 Subtract line 2 from line 1d	3	106,965.
4 Cash deemed held for charitable activities Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	1,604.
5 Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	105,361.
6 Minimum investment return. Enter 5% of line 5	6	5,268.

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	5,268.
2 a Tax on investment income for 2012 from Part VI, line 5	2 a	2,087.
b Income tax for 2012 (This does not include the tax from Part VI)	2 b	
c Add lines 2a and 2b	2 c	2,087.
3 Distributable amount before adjustments Subtract line 2c from line 1	3	3,181.
4 Recoveries of amounts treated as qualifying distributions	4	
5 Add lines 3 and 4	5	3,181.
6 Deduction from distributable amount (see instructions)	6	
7 Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1	7	3,181.

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	1 a	233,249.
b Program-related investments — total from Part IX-B	1 b	
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)	3 a	
b Cash distribution test (attach the required schedule)	3 b	
4 Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	233,249.
5 Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions)	5	
6 Adjusted qualifying distributions. Subtract line 5 from line 4	6	233,249.

Note. The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2011	(c) 2011	(d) 2012
1 Distributable amount for 2012 from Part XI, line 7				3,181.
2 Undistributed income, if any, as of the end of 2012.				
a Enter amount for 2011 only			0.	
b Total for prior years: 20 __, 20 __, 20 __		0.		
3 Excess distributions carryover, if any, to 2012:				
a From 2007				
b From 2008				
c From 2009	29,145.			
d From 2010	147,658.			
e From 2011	140,045.			
f Total of lines 3a through e	316,848.			
4 Qualifying distributions for 2012 from Part XII, line 4. ► \$ 233,249.				
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				3,181.
e Remaining amount distributed out of corpus	230,068.			
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	546,916.			
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 instructions			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) (see instructions)	0.			
8 Excess distributions carryover from 2007 not applied on line 5 or line 7 (see instructions)	0.			
9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a	546,916.			
10 Analysis of line 9				
a Excess from 2008				
b Excess from 2009	29,145.			
c Excess from 2010	147,658.			
d Excess from 2011	140,045.			
e Excess from 2012	230,068.			

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(i)(3) or

4942(1)(5)

- 2a** Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

[illegible]

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

1 Information Regarding Foundation Managers:

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

NONE

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

NONE

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

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

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

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

- c Any submission deadlines**

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

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<i>a Paid during the year</i> SEE STATEMENT 7				
Total			3 a	95,830.
<i>b Approved for future payment</i>				
Total			3 b	

TEAMSTERS LOCAL 986 CHARITY FUND, INC.

95-2993422

STATEMENT 5
FORM 990-PF, PART I, LINE 23
OTHER EXPENSES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BANK SERVICE CHARGE	\$ 1,290.	\$ 1,290.		
LICENSES AND PERMITS	25.			\$ 25.
OFFICE EXPENSES	1,036.			1,036.
POSTAGE AND DELIVERY	44.			44.
TOTAL	\$ 2,395.	\$ 1,290.	\$ 0.	\$ 1,105.

STATEMENT 6
FORM 990-PF, PART VI, LINE 9
TAX DUE

	\$ 489.
	15.
	7.
TOTAL	\$ 511.

STATEMENT 7
FORM 990-PF, PART XV, LINE 3A
RECIPIENT PAID DURING THE YEAR

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND- ATION STATUS	PURPOSE OF GRANT	AMOUNT
IRWINDALE POLICE OFFICERS ASSO 5050 W. IRWINDALE AVENUE IRWINDALE, CA 91706		PUBLIC CH	CONTRIBUTION	\$ 250.
MCKINLEY CHILDREN'S CENTER 762 WEST CYPRESS STREET SAN DIMAS, CA 91773		PUBLIC CH	ENHANCING THE VALUABLE PROGRAMS FOR TROUBLED AND AT-RISK KIDS	500.
JOHN A. LYONS FOUNDATION 3737 CAMINO DEL RIO SOUTH #202 SAN DIEGO, CA 92108		PUBLIC CH	SPONSORSHIP	1,200.
JC 42 CHARITIES 818 OAK PARK ROAD, STE 250 COVINA, CA 91724		PUBLIC CH	DOWNEY PARK RECREATION CENTER'S CHRISTMAS EVENT FOR DISADVANTAGED KIDS	14,030.

2012

FEDERAL STATEMENTS

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TEAMSTERS LOCAL 986 CHARITY FUND, INC.

95-2993422

STATEMENT 1
FORM 990-PF, PART I, LINE 16A
LEGAL FEES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEES	\$ 78,157.			\$ 78,157.
TOTAL	<u>\$ 78,157.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>	<u>\$ 78,157.</u>

STATEMENT 2
FORM 990-PF, PART I, LINE 16B
ACCOUNTING FEES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
AUDIT	\$ 12,000.			\$ 12,000.
BOOKKEEPING/ACCOUNTING	2,293.	\$ 1,146.		1,147.
TOTAL	<u>\$ 14,293.</u>	<u>\$ 1,146.</u>	<u>\$ 0.</u>	<u>\$ 13,147.</u>

STATEMENT 3
FORM 990-PF, PART I, LINE 16C
OTHER PROFESSIONAL FEES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
CONSULTING FEES	\$ 45,000.			\$ 45,000.
TOTAL	<u>\$ 45,000.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>	<u>\$ 45,000.</u>

STATEMENT 4
FORM 990-PF, PART I, LINE 18
TAXES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FRANCHISE TAX BOARD	\$ 10.			\$ 10.
INTERNAL REVENUE SERVICE	4,251.			
TOTAL	<u>\$ 4,261.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>	<u>\$ 10.</u>

TEAMSTERS LOCAL 986 CHARITY FUND, INC.

95-2993422

STATEMENT 7 (CONTINUED)
FORM 990-PF, PART XV, LINE 3A
RECIPIENT PAID DURING THE YEAR

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND- ATION STATUS	PURPOSE OF GRANT	AMOUNT
BERNIE BUCKLEY MEMORIAL GOLF 300 SHADOW LANE LAS VEGAS, NV 89106		PUBLIC CH	SPONSORSHIP	\$ 4,500.
JAMES R. HOFFA SCHOLARSHIP FUND 25 LOUISIANA AVE, NW WASHINGTON, DC 20001		PUBLIC CH	SPONSORSHIP	13,100.
TEAMSTERS DISASTER RELIEF FUND 25 LOUISIANA AVE, NW WASHINGTON, DC 20001		PUBLIC CH	CONTRIBUTION	5,000.
LOS ANGELES ALLIANCE FOR A NEW ECONOMY 464 LUCAS AVENUE, #202 LOS ANGELES, CA 90017		PUBLIC CH	SPONSORSHIP	5,000.
TEAMSTERS LOCAL 631 ALL CHARITY FUND 700 N. LAMB BLVD LAS VEGAS, NV 89110		PUBLIC CH	DONATIONS	500.
COLETTE'S CHILDREN'S HOME 17301 BEACH BLVD, STE 23 HUNTINGTON BEACH, CA 92647		PUBLIC CH	DONATIONS TO SUPPORT ORGANIZATION THAT PROVIDES A HOME IN A SAFE AND NURTURING ENVIRONMENT FOR HOMELESS WOMEN AND CHILDREN.	11,000.
WETIP 780 NORTH "E" ST SAN BERNARDINO, CA 92405		PUBLIC CH	SPONSORSHIP	200.
WEST COVINA BRUINS YOUTH FOOTBALL PO BOX 1383 WEST COVINA, CA 91790		PUBLIC CH	SPONSORSHIP	200.
POLICE EXPO AND FAMILY SECURITY 520 S LAFAYETTE PARK PL SUITE 110 LOS ANGELES, CA 90057		PUBLIC CH	CONTRIBUTION	300.

TEAMSTERS LOCAL 986 CHARITY FUND, INC.

95-2993422

STATEMENT 7 (CONTINUED)
FORM 990-PF, PART XV, LINE 3A
RECIPIENT PAID DURING THE YEAR

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND- ATION STATUS	PURPOSE OF GRANT	AMOUNT
TEAMSTER HORSEMEN CHAPTER 42 20449 HUNTCLIFF LANE WALNUT, CA 91789		PUBLIC CH	CONTRIBUTION	\$ 1,000.
CALVARY PICO RIVERA CORY'S KITCHEN 8110 PARAMOUNT BLVD. PICO RIVERA, CA 90660		PUBLIC CH	CONTRIBUTION	200.
TRANSPORTATION OPPORTUNITY PROGRAM 1000 NORTH CENTRAL AVE., #400 GLENDALE,, CA 91202		PUBLIC CH	CONTRIBUTION	500.
CA COUNCIL OF THE BLIND 5646 MCCULLOCH AVE TEMPLE CITY, CA 91780		PUBLIC CH	CONTRIBUTION	200.
EASTVALE STALLIONS 127063 NORWEGIAN ST. CORONA, CA 92880		PUBLIC CH	CONTRIBUTION	2,750.
CORONA DEL MAR AQUATICS FEDERATION 2101 EASTBLUFF DRIVE NEWPORT BEACH, CA 92660		PUBLIC CH	CONTRIBUTION	800.
WEST WHITTIER GIRLS SOFTBALL 11419 ROSE HEDGE DR. WHITTIER, CA 90606		PUBLIC CH	CONTRIBUTION	200.
BOYS AND GIRLS CLUB OF ANTELOPE VALLEY P.O. BOX 10047 LANCASTER, CA 93584		PUBLIC CH	CONTRIBUTION	500.
CALCALIFORNIA TEAMSTERS HISPANIC CAUCUS 4626 MERCURY ST SAN DIEGO, CA 92111		PUBLIC CH	CONTRIBUTION	4,400.
CALRO 100 W. 1ST ST, RM 367 LOS ANGELES, CA 90012		PUBLIC CH	CONTRIBUTION	300.
CROHN'S COLITIS OF AMERICA FOUNDATION 386 PARK AVE S FL 17 NEW YORK, NY 10016		PUBLIC CH	CONTRIBUTION	500.

TEAMSTERS LOCAL 986 CHARITY FUND, INC.

95-2993422

STATEMENT 7 (CONTINUED)
FORM 990-PF, PART XV, LINE 3A
RECIPIENT PAID DURING THE YEAR

<u>NAME AND ADDRESS</u>	<u>DONEE RELATIONSHIP</u>	<u>FOUND- ATION STATUS</u>	<u>PURPOSE OF GRANT</u>	<u>AMOUNT</u>
HEALTH FAIR 1198 DURFEE AVE SOUTH EL MONTE, CA 91733		PUBLIC CH	CONTRIBUTION	\$ 25,000.
HELPING HAND OF AZUSA P.O BOX 77 AZUSA, CA 91702		PUBLIC CH	CONTRIBUTION	200.
HONORING OUR FALLEN HEROES P.O BOX 15679 LONG BEACH, CA 90815		PUBLIC CH	CONTRIBUTION	500.
JEWISH LABOR COMMITTEE 8339 WEST 3RD ST LOS ANGELES, CA 90048		PUBLIC CH	SPONSORSHIP	1,350.
NATIONAL MULTIPLE SCLEROSIS SOCIETY 2440 SEPULVEDA BLVD., #115 LOS ANGELES, CA 90064		PUBLIC CH	CONTRIBUTION	500.
NATIONAL TEAMSTERS HISPANIC CAUCUS 4626 MERCURY STREET SAN DIEGO, CA 92111		PUBLIC CH	SPONSORSHIP	1,000.
RANCHO CUCAMONGA POP WARNER FOOTBALL P.O. BOX 9016 ALTA LOMA, CA 91701		PUBLIC CH	CONTRIBUTION	150.
TOTAL \$				<u>95,830.</u>



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Taxpayer No.
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TEAMSTERS LOCAL 986 CHARITY FU

2012 TAX REPORTING STATEMENT

The following sections are provided to facilitate your review and the preparation of your tax return.

The 2012 proceeds from Broker and Barter Exchange Transactions section includes both sales of positions for "covered securities" and "noncovered securities". A covered security includes those with a purchase date within the following timeline: Equities acquired on or after January 1, 2011 and Mutual Funds acquired on or after January 1, 2012. Legislation requires reporting the gross proceeds of the sales of "covered" and "noncovered" securities and the adjusted cost basis for "covered securities". Any sale of a security that is considered a "noncovered security" will still be included in this section with the adjusted cost basis (where available) but the adjusted basis will not be transmitted to the IRS.

In calculating gain (loss), unless otherwise noted, it was assumed that the oldest position was liquidated first, and that you have made an election to amortize the premium paid on the purchase of taxable bonds. Under the Cost Basis Reporting Regulations, brokers need not track wash sale activity for substantially identical securities, transactions across accounts, or between covered and non-covered securities. However, you as a taxpayer still have to track and report wash sales as you have in the past which would include all of the aforementioned transaction types. Securities distributed from a retirement account reflect the tax basis on the date of distribution. Other methods for calculating gain (loss) are available. The cost basis for most Original Issue Discount ("OID") obligations includes the accretion of OID. For purposes of allocating original purchase price to the components of an equity unit consisting of a purchase contract and a debt security subject to a remarketing event, we assumed that the fair market value of the debt security on purchase date was equal to its adjusted issue price. The difference between your original cost and the amount allocable to the debt component was allocated to the purchase contract. In making adjustments to the cost basis of the purchase contract, it was assumed that the unit holder included contract adjustment payments in income when received.

1099-B 2012 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS (OMB NO. 1545-0715)

1a. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
LONG TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.								
NONCOVERED TRANSACTIONS - 1099-B Line 6a. (cost basis not reported to the IRS)								
100000.0000	WESTPAC BANKING 2.26% 2012 Sale	09/21/10	11/19/12	100,000.00	100,000.00	0.00	0.00	
55000.0000	JOHN HANCOCK LIFE INS CO Sale	08/04/10	10/15/12	55,000.00	55,000.00	0.00	0.00	
142000.0000	FEDERAL NATL MTG ASSOC Sale	02/01/10	02/08/12	150,423.44	142,189.10	0.00	8,234.34	
405000.0000	Security Subtotal	02/09/10	02/08/12	429,024.80	406,225.04	0.00	22,799.56	
				579,448.04	548,414.14	0.00	31,033.90	
	Noncovered Long Term Capital Gains and Losses Subtotal			734,448.04	703,414.14	0.00	31,033.90	
	NET LONG TERM CAPITAL GAINS AND LOSSES			734,448.04	703,414.14	0.00	31,033.90	
	TOTAL SALES PROCEEDS FOR CAPITAL GAINS AND LOSSES			734,448.04				
	TOTAL REPORTED SALES PROCEEDS			734,448.04				





Merrill Lynch

DUFFY KRUSPODIN & CO C/O JUDY

REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
160.0000	ISHARES MSCI EAFE INDEX	11/10/11	02/23/12	8,739.78	8,127.44	612.32
30.0000	VANGUARD TELECOMM SRVCS	03/29/11	02/23/12	1,941.27	2,023.50	(82.23)
77.0000	ISHARES BARCLAYS MBS BON	03/29/11	02/23/12	8,334.33	8,100.40	233.93
80.0000	PIMCO 1-5 YEAR US TIP IN	11/10/11	02/23/12	4,335.12	4,314.40	20.72
51.0000	MATERIALS SELECT SECTOR	03/29/11	02/23/12	1,915.53	2,004.81	(89.28)
75.0000	ISHARES IBOX \$	03/29/11	04/25/12	8,703.56	8,133.75	569.81
50.0000	VANGUARD SHORT TERM BOND	11/10/11	04/25/12	4,053.41	4,072.00	(18.59)
180.0000	SECTOR SPDR ENERGY	03/29/11	04/25/12	12,501.30	14,226.55	(1,725.25)
80.0000	VANGUARD SMALL CAP	11/10/11	07/25/12	5,879.08	5,581.60	297.48
70.0000	VANGUARD MID-CAP ETF	11/10/11	07/25/12	5,239.38	5,089.00	150.38
130.0000	VANGUARD DIVIDEND	11/10/11	07/25/12	7,310.55	6,971.45	339.10
128.0000	SECTOR SPDR UTILITIES	03/29/11	07/25/12	4,734.99	4,037.94	697.05
100.0000	SECTOR SPDR UTILITIES	11/10/11	07/25/12	3,699.22	3,492.10	207.12
230.0000	HEALTH CARE SELECT SPDR	11/10/11	10/31/12	9,198.18	7,729.50	1,468.68
437.0000	SECTOR SPDR INDUSTRIAL	03/29/11	10/31/12	15,951.89	16,259.20	(307.31)

8,739.78	+	612.32	+
1,941.27	+	82.23	-
8,334.33	+	233.93	+
4,335.12	+	20.72	+
1,915.53	+	89.28	-
8,703.56	+	569.81	+
4,053.41	+	18.59	-
12,501.30	+	1,725.25	-
5,879.08	+	297.48	+
5,239.38	+	150.38	+
7,310.55	+	339.10	+
4,734.99	+	697.05	+
3,699.22	+	207.12	+
9,198.18	+	1,468.68	+
15,951.89	+	307.31	-

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DUFFY KRUSPODIN & CO ATN-JUDY

BIA Fiscal Statement

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 12/31/12	Unrealized Gain or (Loss)	Est Accrued Interest	Est Annual Income
Cash and Money Funds							
	CASH		2,981.70	2,981.70			
330,975	ML Bus. Deposit Program	04/15/10	330,975.00	330,975.00			231.68
	Total Cash and Money Funds		333,956.70	333,956.70			231.68
Government Securities							
51,000	FICO STRIPS SERIES 5 DEBENTURES SER 5 ZERO% AUG 08 2014	02/23/12	50,391.55	50,442.06	50.51		
200,000	FEDERAL HOME LOAN BANK BONDS 01.750% SEP 11 2015	10/18/10	202,869.88	207,334.00	4,464.12	1,069.44	3,500.00
86,000	FEDL NTL MORTGAGE ASSOC CAP DEB BOOK ENT COUPON ZERO% FEB 01 2014	07/19/10	84,066.39	84,942.20	875.81		
55,000	FINANCING CORP COUPON STRIPS ZERO% NOV 02 2013	08/12/11	54,748.21	54,687.05	(61.16)		
50,000	FEDERAL FARM CREDIT BANK BONDS 04.450% JAN 23 2014	08/12/11	52,105.61	52,251.50	145.89	976.53	2,225.00
	Total Government Securities		444,181.64	449,656.81	5,475.17	2,045.97	5,725.00

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DUFFY KRUSPODIN & CO ATN:JUDY

BIA Fiscal Statement

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 12/31/12	Unrealized Gain or (Loss)	Est Accrued Interest	Est Annual Income
Corporate Bonds							
200,000	BARCLAYS BANK PLC GLB 05.200% JUL 10 2014	08/16/11	207,603.85	212,804.00	5,200.15	4,940.00	10,400.00
166,000	BERKSHIRE HATHAWAY INC GLB 03.200% FEB 11 2015	08/12/11	172,354.20	174,761.48	2,407.28	2,065.78	5,312.00
200,000	BERKSHIRE HATHAWAY INC ORIGINAL UNIT/TOTAL COST: 106.0660/212,132.00	09/29/11	207,700.62	210,556.00	2,855.38	2,488.89	6,400.00
200,000	GENZYME CORP COMPANY GUARNT GLB 03.625% JUN 15 2015	02/28/12	214,533.75	214,282.00	(251.75)	322.22	7,250.00
250,000	GENERAL ELEC CAP CORP GLB 05.900% MAY 13 2014	08/29/11	265,084.57	267,927.50	2,842.93	1,966.67	14,750.00
149,000	MERCK & CO INC GLB 04.000% JUN 30 2015	09/29/11	165,278.25	161,714.17	(3,564.08)		5,960.00
100,000	PFIZER INC. 5.35% DUE 3/15/2015 MOODY'S: A1 S&P. AA	09/29/11	109,203.27	110,131.00	927.73	1,575.28	5,350.00
200,000	WESTPAC BANKING 01.850% DEC 09 2013 MOODY'S: AA2 S&P AA-<	07/19/11	201,518.26	202,922.00	1,403.74	226.11	3,700.00

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00-17-6060B-IPSS000 05-2011



DUFFY KRUSPODIN & CO ATN:JUDY

BIA Fiscal Statement

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 12/31/12	Unrealized Gain or (Loss)	Est Accrued Interest	Est Annual Income
Corporate Bonds							
250,000	WACHOVIA BANK NA SUBD SER BKNT GLB 04 800% NOV 01 2014	08/15/11	261,797.76	268,337.50	6,539.74	2,000.00	12,000.00
250,000	WACHOVIA BANK NA ORIGINAL UNIT/TOTAL COST: 107.2480/268,120.00	11/15/11	261,386.23	268,337.50	6,951.27	2,000.00	12,000.00
250,000	WELLS FARGO SUBORDINATED SER AI GLB 04.750% FEB 09 2015	09/14/11	262,679.84	268,505.00	5,825.16	4,684.03	11,875.00
250,000	WELLS FARGO ORIGINAL UNIT/TOTAL COST: 109.1030/272,757.50	03/02/12	266,496.81	268,505.00	2,008.19	4,684.03	11,875.00
98,000	WELLS FARGO COMPANY GLB 04.375% JAN 31 2013	08/15/11	98,255.77	98,291.06	35.29	1,786.46	4,288.00
150,000	WELLS FARGO COMPANY ORIGINAL UNIT/TOTAL COST: 105.0600/157,590.00	08/18/11	150,441.15	150,445.50	4.35	2,734.37	6,563.00
250,000	USD ROYAL BK CANADA SER MTN 2.625% DEC 15 2015	02/08/12	261,543.64	263,867.50	2,323.86	291.67	6,563.00
100,000	USD ROYAL BK CANADA ORIGINAL UNIT/TOTAL COST: 105.9550/105,955.00	02/13/12	104,614.91	105,547.00	932.09	116.67	2,625.00

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DUFFY KRUSPODIN & CO ATN:JUDY

BIA Fiscal Statement

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 12/31/12	Unrealized Gain or (Loss)	Est Accrued Interest	Est Annual Income
Corporate Bonds							
93,000	USD ROYAL BK CANADA ORIGINAL UNIT/TOTAL COST: 105.7010/98,301.93	02/23/12	97,152.64	98,158.71	1,006.07	108.50	2,442.00
100,000	USD BARCLAYS PLC 2.750% FEB 23 2015 MOODY'S: A2 S&P: A + <	06/21/12	101,191.84	103,583.00	2,391.16	977.78	2,750.00
25,000	USD BANK NOVA SCOTIA 3.400% JAN 22 2015 MOODY'S: AA1 S&P: A + <	02/08/12	26,275.56	26,357.00	81.44	375.42	850.00
200,000	USD BANK NOVA SCOTIA ORIGINAL UNIT/TOTAL COST: 107.1640/214,328.00	02/13/12	210,093.28	210,856.00	762.72	3,003.33	6,800.00
48,000	USD BANK NOVA SCOTIA ORIGINAL UNIT/TOTAL COST: 107.5650/51,631.20	02/28/12	50,594.98	50,605.44	10.46	720.80	1,632.00
100,000	WESTPAC BANKING CORP GLB 03.000% AUG 04 2015	10/18/10	102,414.42	105,617.00	3,202.58	1,225.00	3,000.00
105,000	BARCLAYS BANK PLC GLB 02.375% JAN 13 2014	08/15/11	105,492.50	106,772.40	1,279.90	1,163.75	2,494.00
260,000	CREDIT SUISSE NEW YORK 02.200% JAN 14 2014 MOODY'S: A1 S&P: A + <	03/02/12	262,651.23	263,967.60	1,316.37	2,653.44	5,720.00

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DUFFY KRUSPODIN & CO ATN:JUDY

BIA Fiscal Statement

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 12/31/12	Unrealized Gain or (Loss)	Est Accrued Interest	Est Annual Income
Corporate Bonds							
195,000	SHELL INTERNATIONAL FIN COMPANY GUARNT GLB 03.250% SEP 22 2015	08/12/11	206,472.17	208,283.40	1,811.23	1,742.81	6,338.00
198,000	GENERAL ELEC CAP CORP SER MTN FLT% APR 07 2014	09/01/11	196,734.19	199,069.20	2,335.01	458.73	
100,000	JOHN HANCOCK LIFE INS CO SER SIGN 03.900% JUN 15 2013	09/14/11	101,249.99	100,932.00	(317.99)	173.33	3,900.00
250,000	GENERAL ELEC CAP CORP SER GMTN 05.400% SEP 20 2013	07/19/11	257,622.12	258,895.00	1,272.88	3,787.50	13,500.00
Total Corporate Bonds			4,928,437.80	4,980,030.96	51,593.16	48,272.57	176,337.00

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DUFFY KRUSPODIN & CO C/O JUDY

WOMA Fiscal Statement

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 12/31/12	Unrealized Gain or (Loss)	Est Accrued Interest	Est Annual Income
	CASH		1.44	1.44			
12,559	BBIF MONEY FUND CLASS 3		12,559.00	12,559.00			6.28
	Total Cash and Money Funds		12,560.44	12,560.44			6.28

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 12/31/12	Unrealized Gain or (Loss)	Est Annual Income
	Mutual Funds/Closed End Funds/UIT					
200	VANGUARD INFORMATION TECH ETF	11/10/11	12,582.50	13,822.00	1,239.50	167.00
500	FIRST TR SR FL II SR FLOAT RATE INC FD II	11/10/11	6,686.80	7,585.00	898.20	525.00
263	CONSUMER DISCRETIONARY SPDR	03/29/11	10,169.26	12,476.48	2,307.22	200.00
	Total Mutual Funds/Closed End Funds/UIT		29,438.56	33,883.48	4,444.92	892.00

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