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

2012

Open to public inspection

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 AUG 1, 2012, and ending JUL 31, 2013

Name of foundation
THE RODERICK S.,
FLOSSIE R. & HELEN M. GALLOWAY FOUNDATION

A Employer identification number

58-2140070

Number and street (or P.O. box number if mail is not delivered to street address)

BLDG. ONE, 7000 PEACHTREE DUNWOODY RD.

Room/suite

B Telephone number

770-804-8044

City or town, state, and ZIP code

ATLANTA, GA 30328

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 changeD 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 foundationE 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)

J Accounting method: ☐ Cash ☒ Accrual☐ Other (specify) _____F If the foundation is in a 60-month termination
under section 507(b)(1)(B), check here ☐

\$ 10,806,605. (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).)

	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
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	57,038.	57,038.		STATEMENT 1
4 Dividends and interest from securities	277,569.	277,569.		STATEMENT 2
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	358,847.			
b Gross sales price for all assets on line 6a	4,648,884.			
7 Capital gain net income (from Part IV, line 2)		358,847.		
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				
12 Total. Add lines 1 through 11	693,454.	693,454.		
13 Compensation of officers, directors, trustees, etc	150,000.	99,900.		0.
14 Other employee salaries and wages				
15 Pension plans, employee benefits				
16a Legal fees STMT 3	11,992.	8,035.		0.
b Accounting fees STMT 4	13,075.	8,760.		0.
c Other professional fees				
17 Interest	28.	19.		0.
18 Taxes STMT 5	13,333.	8,933.		0.
19 Depreciation and depletion				
20 Occupancy				
21 Travel, conferences, and meetings				
22 Printing and publications				
23 Other expenses STMT 6	89,673.	89,466.		0.
24 Total operating and administrative expenses. Add lines 13 through 23	278,101.	215,113.		0.
25 Contributions, gifts, grants paid	521,000.			521,000.
26 Total expenses and disbursements. Add lines 24 and 25	799,101.	215,113.		521,000.
27 Subtract line 26 from line 12:				
a Excess of revenue over expenses and disbursements	-105,647.			
b Net investment income (if negative, enter -0-)		478,341.		
c Adjusted net income (if negative, enter -0-)			N/A	

Part II Balance Sheets

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

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	629,252.	652,090.	652,090.
	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 8	9,144,780.	9,010,645.	10,133,897.
	c Investments - corporate bonds			
11 Investments - land, buildings, and equipment basis ▶				
Less: accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other				
14 Land, buildings, and equipment: basis ▶				
Less: accumulated depreciation ▶				
15 Other assets (describe ▶ STATEMENT 9)	20,721.	20,618.	20,618.	
16 Total assets (to be completed by all filers)	9,794,753.	9,683,353.	10,806,605.	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
23 Total liabilities (add lines 17 through 22)	0.	0.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☐			
	and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☒			
	and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	0.	0.	
28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.		
29 Retained earnings, accumulated income, endowment, or other funds	9,794,753.	9,683,353.		
30 Total net assets or fund balances	9,794,753.	9,683,353.		
31 Total liabilities and net assets/fund balances	9,794,753.	9,683,353.		

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	9,794,753.
2 Enter amount from Part I, line 27a	2	-105,647.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	9,689,106.
5 Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 7	5	5,753.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	9,683,353.

Part IV Capital Gains and Losses for Tax on Investment Income

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			
b			
c			
d			
e 4,648,884.		4,290,037.	358,847.

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			
b			
c			
d			
e			358,847.

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	358,847.
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	546,565.	10,693,620.	.051111
2010	550,000.	11,260,684.	.048843
2009	515,000.	10,889,975.	.047291
2008	443,000.	10,225,004.	.043325
2007	300,000.	13,502,474.	.022218

2 Total of line 1, column (d)	2	.212788
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	.042558
4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5	4	10,808,626.
5 Multiply line 4 by line 3	5	459,994.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	4,783.
7 Add lines 5 and 6	7	464,777.
8 Enter qualifying distributions from Part XII, line 4	8	521,000.

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)		1	4,783.
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b		2	0.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).		3	4,783.
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
3 Add lines 1 and 2		5	4,783.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		6a	5,557.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		6b	
6 Credits/Payments:		6c	
a 2012 estimated tax payments and 2011 overpayment credited to 2012		6d	
b Exempt foreign organizations - tax withheld at source		7	5,557.
c Tax paid with application for extension of time to file (Form 8868)		8	
d Backup withholding erroneously withheld		9	
7 Total credits and payments. Add lines 6a through 6d		10	774.
8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached		11	0.
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed			
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid			
11 Enter the amount of line 10 to be: Credited to 2013 estimated tax ☒ 774. Refunded ☒			

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?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (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		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • 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? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ☒ GA		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

N/A

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>MARK WEINSTEIN</u> Telephone no. ► <u>770-804-8044</u> Located at ► <u>BLDG ONE, 7000 PEACHTREE DUNWOODY ROAD, ATLANTA,</u> ZIP+4 ► <u>30328</u>			
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	
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? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►	16	Yes	No
				X

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ 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	N/A	1b
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
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 ►	☐ 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.)	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
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2012?		4b
		X

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

5a During the year did the foundation pay or incur any amount to:

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? ☐ 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)? ☐ Yes ☒ No
Organizations relying on a current notice regarding disaster assistance check here ☐ N/A

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☒ No
If "Yes," attach the statement required by Regulations section 53.4945-5(d) ☐ N/A

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? ☐ Yes ☒ No
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? ☐ Yes ☒ No

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
MARK G. WEINSTEIN	TRUSTEE			
BUILDING ONE, 7000 PEACHTREE DUNWOODY				
ATLANTA, GA 30328	10.00	75,000.	0.	0.
JAMES H. MOBLEY, JR.	TRUSTEE			
782 KINGS WAY				
ATLANTA, GA 30327	5.00	37,500.	0.	0.
RICHARD M. AMBERY	TRUSTEE			
BUILDING ONE, 7000 PEACHTREE DUNWOODY				
ATLANTA, GA 30328	5.00	37,500.	0.	0.

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

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

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

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	
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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.

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.

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.

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	1a	10,273,577.
b	Average of monthly cash balances	1b	699,647.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	10,973,224.
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	10,973,224.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	164,598.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	10,808,626.
6	Minimum investment return. Enter 5% of line 5	6	540,431.

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	540,431.
2a	Tax on investment income for 2012 from Part VI, line 5	2a	4,783.
b	Income tax for 2012. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	4,783.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	535,648.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	535,648.
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	535,648.

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	521,000.
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	521,000.
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	4,783.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	516,217.

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				535,648.
2 Undistributed income, if any, as of the end of 2012				
a Enter amount for 2011 only			520,118.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2012:				
a From 2007				
b From 2008				
c From 2009				
d From 2010				
e From 2011				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2012 from Part XII, line 4: ▶ \$ 521,000.				
a Applied to 2011, but not more than line 2a			520,118.	
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				882.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	0.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2011. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2012. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2013				534,766.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2007 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2008				
b Excess from 2009				
c Excess from 2010				
d Excess from 2011				
e Excess from 2012				

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

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

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

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

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

1 Information Regarding Foundation Managers:

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

NONE

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

NONE

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

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

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

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

c Any submission deadlines:

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

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
ALZHEIMER'S FOUNDATION OF AMERICA 322 EIGHTH AVE, 7TH FL NEW YORK, NY 10001				2,000.
AMERICAN PARKINSON DISEASE ASSOCIATION INC 135 PARKINSON AVE STATEN ISLAND, NY 10305				1,000.
ATLANTA COMMUNITY FOOD BANK 732 JOSEPH E. LOWERY BLVD NW ATLANTA, GA 30318				10,000.
ATLANTA HABITAT FOR HUMANITY 519 MEMORIAL DRIVE SE ATLANTA, GA 30312				2,000.
BEN MASSELL DENTAL CLINIC 700 14TH STREET NW ATLANTA, GA 30318				7,000.
Total	SEE CONTINUATION SHEET(S)			521,000.
b Approved for future payment				
NONE				
Total				0.

▶ 3a

▶ 3b

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	JP MORGAN (CASH IN LIEU)	P		
b	JP MORGAN	P		
c	JP MORGAN	P		
d	BNY MELLON	P		
e	BNY MELLON	P		
f	MERRILL LYNCH (CASH IN LIEU)	P		
g	MERRILL LYNCH	P		
h	MERRILL LYNCH	P		
i	SUNTRUST	P		
j	CAPITAL GAINS DIVIDENDS			
k				
l				
m				
n				
o				

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	31.		31.
b	28,160.		28,160.
c	1,060,025.	951,040.	108,985.
d	4.		4.
e	599,299.	626,251.	-26,952.
f	732.		732.
g	30,574.		30,574.
h	1,630,352.	1,609,277.	21,075.
i	1,288,802.	1,103,469.	185,333.
j	10,905.		10,905.
k			
l			
m			
n			
o			

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			31.
b			28,160.
c			108,985.
d			4.
e			-26,952.
f			732.
g			30,574.
h			21,075.
i			185,333.
j			10,905.
k			
l			
m			
n			
o			

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2	358,847.
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 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
BEST FRIENDS ANIMAL SOCIETY 5001 ANGEL CANYON RD KANAB, UT 84741				1,000.
CAMP SUNSHINE 1850 CLAIRMONT RD DECATUR, GA 30033-3405				10,000.
CAMP TWIN LAKES 600 MEANS ST SUITE 110 ATLANTA, GA 30318				5,000.
CANINE ASSISTANTS, INC 3160 FRANCIS RD MILTON, GA 30004				5,000.
CHILDREN'S HEALTHCARE OF ATLANTA 1687 TULLIE CIRCLE NE ATLANTA, GA 30325				20,000.
COMMUNITY PANTRY PO BOX 1067 CLAYTON, GA 30525				5,000.
CURE CHILDHOOD CANCER 1117 PERIMETER CENTER WEST, STE N402 ATLANTA, GA 30338				10,000.
DOCTORS WITHOUT BORDERS USA 333 SEVENTH AVENUE, 2ND FL NEW YORK, NY 10001-5004				2,000.
DREAM HOUSE FOR MEDICALLY FRAGILE CHILDREN, INC. 2092 SCENIC HIGHWAY N, STE B SNELLVILLE, GA 30078				10,000.
FOSTER CARE SUPPORT FOUNDATION, INC. 115 MANSELL PLACE ROSWELL, GA 30075				5,000.
Total from continuation sheets				499,000.

THE RODERICK S.,
FLOSSIE R. & HELEN M. GALLOWAY FOUNDATION 58-2140070

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
FRAGILE KIDS FOUNDATION 3350 RIVERWOOD PKWY, STE 1400 ATLANTA, GA 30339				10,000.
GEORGIA STATE UNIVERSITY FOUNDATION, INC./PROJECT HEALTHY GRANDPARENTS 1 PARK PL, STE 533 ATLANTA, GA 30303				2,000.
IOWA STATE UNIVERSITY FOUNDATION 104 MARSTON HALL AMES, IA 50011-2151				250,000.
JCI FOUNDATION INC PO BOX 488 LAKEMOUNT, GA 30552				15,000.
JENKINS CLINIC, INC. 1800 HOWELL MILL RD, STE 500 ATLANTA, GA 30318				10,000.
JUDGE DEBRA HALPERN BERNES SCHOLARSHIP/COBB CO BAR COMMUNITY SVC ASSOC 70 HAYNES ST, STE 2006 MARIETTA, GA 30090				2,000.
JUVENILE DIABETES RESEARCH FOUNDATION 3525 PIEDMONT RD, NE BLDG 6, STE 300 ATLANTA, GA 30305				5,000.
MARY HALL FREEDOM HOUSE, INC 200 HANOVER PARK RD, STE 200 SANDY SPRINGS, GA 30350				5,000.
MUSEUM OF AVIATION FOUNDATION, INC. PO BOX 2469 WARNER ROBINS, GA 31099				1,000.
NORTH GEORGIA COMMUNITY FOUNDATION 615 F OAK ST, STE 1300 GAINESVILLE, GA 30501				5,000.
Total from continuation sheets				

THE RODERICK S.,
FLOSSIE R. & HELEN M. GALLOWAY FOUNDATION 58-2140070

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
NORTHSIDE HOSPITAL FOUNDATION 1000 JOHNSON FERRY RD ATLANTA, GA 30342-1611				20,000.
ONE GOOD DEED, INC. 1308 VISTA LEAF DRIVE DECATUR, GA 30033				1,000.
RAINBOW OMEGA, INC. PO BOX 740 EASTABOGA, AL 36260				5,000.
SAFEHOUSE OUTREACH, INC. 89 ELLIS ST NE ATLANTA, GA 30303				1,000.
SHEPHERD SPINAL CENTER/SHARE INITIATIVE 2020 PEACHTREE RD NW ATLANTA, GA 30309				25,000.
SHIRLEY CARVER MILLER SCHOLARSHIP/TECHNICAL COLLEGE SYSTEM OF GA 1800 CENTURY PL, STE 575 ATLANTA, GA 30345				1,000.
THE FIRST TEE OF ATLANTA 1053 CASCADE CIRCLE SW ATLANTA, GA 30311				1,000.
THE LEUKEMIA & LYMPHOMA SOCIETY - GA CHAPTER 3715 NORTHSIDE PKWY BLDG 400 STE 300 ATLANTA, GA 30327				20,000.
THE MENDED HEARTS INC., CHAPTER 81 3401 WINTER WOOD COURT MARIETTA, GA 30062-1247				1,000.
THE NORMA LIVINGSTON OVARIAN CANCER FOUNDATION, INC. 3595 RIDGEVIEW DR W BIRMINGHAM, GA 35213				1,000.
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
THE PRESTON ROBERT TISCH BRAIN TUMOR CENTER AT DUKE UNIVERSITY DUMC BOX 3624 DURHAM, NC 27710				10,000.
THE WEINSTEIN HOSPICE 3150 HOWELL MILL RD NW ATLANTA, GA 30327-2199				3,000.
VISITING NURSE/HOSPICE ATLANTA 5775 GLENRIDGE DR NE STE E200 ATLANTA, GA 30328				5,000.
WOUNDED WARRIOR PROJECT 1020 AC SKINNER PKWY. STE 100 JACKSONVILLE, FL 32256				5,000.
FEED FANNIN, INC. PO BOX 1085 BLUE RIDGE, GA 30513				1,000.
EAGLE RANCH, INC. PO BOX 7200 CHESTNUT MOUNTAIN, GA 30502				1,000.
MARCUS AUTISM CENTER 1920 BRIARCLIFF RD ATLANTA, GA 30329-4010				2,000.
UNITED THROUGH READING 11750 SORRENTO VALLEY RD, STE 100 SAN DIEGO, CA 92121				1,000.
LUKE'S WINGS 1238 WASHINGTON AVE, STE 401 WASHINGTON, DC 20007				1,000.
KATE'S CLUB 1330 W PEACHTREE ST NW, STE 520 ATLANTA, GA 30309				1,000.
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
BE THE MATCH FOUNDATION 315 W PONCE DE LEON AVE, STE 710 DECATUR, GA 30030				1,000.
THE VITAL FORCE JOURNAL, INC. 7701 CEDAR CANYON PLACE, NE ALBUQUERQUE, NM 87122				1,000.
ATLANTA MISSION PO BOX 1807 ATLANTA, GA 30301-9904				2,000.
THE AGAINST MALARIA FOUNDATION PO BOX 7247-6370 PHILADELPHIA, PA 19170-6370				2,000.
KIPP: METRO ATLANTA 350 TEMPLE ST, NW ATLANTA, GA 30314				2,000.
THE BREMAN MUSEUM 1440 STRING STREET ATLANTA, GA 30309				2,000.
FULTON COUNTY COURT APPOINTED SPECIAL ADVOCATES, (CASA), INC. 395 PRYOR ST, STE 4116 ATLANTA, GA 30312				2,000.
THE SHELTERING ARMS 385 CENTENNIAL OLYMPIC PARK DR ATLANTA, GA 30313				1,000.
LITERACY ACTION, INC. 100 EDGEWOOD AVE, STE 650 ATLANTA, GA 30303				2,000.
Total from continuation sheets				

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

SOURCE	AMOUNT
BNY MELLON	31,417.
JP MORGAN	16,445.
MERRILL LYNCH	9,176.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	57,038.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
BNY MELLON	46,113.	10,905.	35,208.
JP MORGAN	47,783.	0.	47,783.
MERRILL LYNCH	102,658.	0.	102,658.
SUNTRUST	91,920.	0.	91,920.
TOTAL TO FM 990-PF, PART I, LN 4	288,474.	10,905.	277,569.

FORM 990-PF LEGAL FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEES	11,992.	8,035.		0.
TO FM 990-PF, PG 1, LN 16A	11,992.	8,035.		0.

FORM 990-PF ACCOUNTING FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	13,075.	8,760.		0.
TO FORM 990-PF, PG 1, LN 16B	13,075.	8,760.		0.

FORM 990-PF	TAXES			STATEMENT	5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
PAYROLL TAXES	11,486.	7,696.		0.	
FOREIGN TAXES W/H	1,847.	1,237.		0.	
TO FORM 990-PF, PG 1, LN 18	13,333.	8,933.		0.	

FORM 990-PF	OTHER EXPENSES			STATEMENT	6
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
BROKERAGE ACCT FEES	89,047.	89,047.		0.	
PAYROLL SERVICE FEES	626.	419.		0.	
TO FORM 990-PF, PG 1, LN 23	89,673.	89,466.		0.	

FORM 990-PF	OTHER DECREASES IN NET ASSETS OR FUND BALANCES			STATEMENT	7
DESCRIPTION	AMOUNT				
BOOK TO TAX INVESTMENT BASIS DIFFERENCES	5,753.				
TOTAL TO FORM 990-PF, PART III, LINE 5	5,753.				

FORM 990-PF	CORPORATE STOCK		STATEMENT	8
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE		
INVESTMENTS CORPORATE STOCK	9,010,645.	10,133,897.		
TOTAL TO FORM 990-PF, PART II, LINE 10B	9,010,645.	10,133,897.		

FORM 990-PF	OTHER ASSETS		STATEMENT 9
DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
ACCRUED INTEREST/INCOME	20,721.	20,618.	20,618.
TO FORM 990-PF, PART II, LINE 15	20,721.	20,618.	20,618.



BNY MELLON
WEALTH MANAGEMENT

Realized Gain Loss Transaction

Reported in U.S. Dollars

Traded from 01 Aug 12 to 31 Jul 13

GALLOWAY FOUNDATION-IMA

Trade Date	Transaction Type	Security ID	Federal Short Term Gain/Loss	Federal Long Term Gain/Loss	Gain/Loss
Gains					
	Capital Gains Distribution	712223106	103 71	2,277 09	2,380 80
	Capital Gains Distribution	05569M509	1,892 95	5,632 74	7,525 69
	Capital Gains Distribution	87234N765	632 18	0 00	632 18
	Capital Gains Distribution	05569M368	365 90	0 00	365 90
09/11/2012	Sell an Asset	231021106	0 00	9,715 79	9,715 79
09/11/2012	Sell an Asset	459200101	0 00	4,795 77	4,795 77
09/11/2012	Sell an Asset	718546104	0 00	2,145 55	2,145 55
10/03/2012	Sell an Asset	037833100	0 00	8,693 48	8,693 48
10/03/2012	Sell an Asset	071813109	0 00	1,719 53	1,719 53
10/03/2012	Sell an Asset	655844108	0 00	1,450 04	1,450 04
10/03/2012	Sell an Asset	681919106	0 00	153 12	153 12
10/03/2012	Sell an Asset	68389X105	0 00	1,309 95	1,309 95
10/03/2012	Sell an Asset	00206R102	0 00	255 85	255 85
10/03/2012	Sell an Asset	42809H107	0 00	277 78	277 78
10/03/2012	Sell an Asset	718172109	0 00	2,397 53	2,397 53



BNY MELLON
WEALTH MANAGEMENT

Realized Gain Loss Transaction

Reported in U.S. Dollars

Traded from 01 Aug 12 to 31 Jul 13

GALLOWAY FOUNDATION-IMA

Trade Date	Transaction Type	Security ID	Federal Short Term Gain/Loss	Federal Long Term Gain/Loss	Gain/Loss
10/03/2012	Sell an Asset	887317303	0.00	5,187.80	5,187.80
10/25/2012	Sell an Asset	50076Q106	3.99	0.00	3.99
11/02/2012	Sell an Asset	H6169Q108	0.00	9.01	9.01
12/07/2012	Sell an Asset	261980494	0.00	110.00	110.00
12/07/2012	Sell an Asset	87234N765	0.00	713.88	713.88
02/01/2013	Sell an Asset	98956P102	0.00	2,510.16	2,510.16
02/01/2013	Sell an Asset	91912E105	0.00	2,053.36	2,053.36
02/01/2013	Sell an Asset	H6169Q108	0.00	921.32	921.32
04/15/2013	Sell an Asset	912828HW3	0.00	5,859.50	5,859.50
Total Gains			2,998.73	58,189.25	61,187.98
Losses					
09/11/2012	Sell an Asset	26201H500	0.00	-5,685.00	-5,685.00
09/11/2012	Sell an Asset	05569M855	0.00	-18,901.02	-18,901.02
10/03/2012	Sell an Asset	17275R102	0.00	-1,556.96	-1,556.96
10/03/2012	Sell an Asset	05569M855	0.00	-12,074.18	-12,074.18
10/03/2012	Sell an Asset	05569M871	0.00	-19,706.49	-19,706.49

2,998.73 (CAP)
392 (STCG)
790,833 (CAP)
50,279.42 (LTCG)

Realized Gain Loss Transaction

For the period ended 07/31/2013

Reported in U.S. Dollars

Traded from 01 Aug 12 to 31 Jul 13

GALLOWAY FOUNDATION-IMA

Trade Date	Transaction Type	Security ID	Federal Short Term Gain/Loss	Federal Long Term Gain/Loss	Gain/Loss
12/07/2012	Sell an Asset	261980759	0.00	-260.00	-260.00
					DREYFUS HIGH YIELD-I
01/17/2013	Sell an Asset	26201H500	0.00	-12,235.41	-12,235.41
					DREYFUS EMERGING MARKETS -I
01/17/2013	Sell an Asset	05569M871	0.00	-3,400.00	-3,400.00
					BNY MELLON INTERNATIONAL-M
02/01/2013	Sell an Asset	05569M780	0.00	-482.96	-482.96
					BNY MELLON S/T US GOV SECS-M
04/15/2013	Sell an Asset	912828HW3	0.00	-2,929.75	-2,929.75
					U S TSY INFL IDX BD 0 625% 4/15/13
Total Losses			0.00	-77,231.77	-77,231.77
Total Realized Gain/Loss Transactions : GALLOWAY FOUNDATION-IMA			2,998.73	-19,042.52	-16,043.79
Total Realized Gain/Loss Transactions : All Selected Accounts			2,998.73	-19,042.52	-16,043.79



RODERICK S FLOSSIE R & HELEN



Fiscal Statement

FISCAL YEAR ACTIVITY

Date	Transaction	Quantity	Description	Price	Debit	Credit
Other Activity						
08/03/12	Fgn Div Tax		POTASH CORP SASKATCHEWAN			
08/06/12	Journal Entry		TR FROM 70602520		2.88	
10/02/12	Journal Entry		UMA FEE QTLY ADJ 3Q2012		214.48	100,000.00
10/02/12	Journal Entry		UMA FEE QTRLY 4Q2012		1,125.47	
11/06/12	Cash in Lieu		ADT CORP SHS			20.50
11/06/12	Cash in Lieu		PENTAIR LTD			2.47
11/12/12	Cash in Lieu		PENTAIR LTD			0.01
01/02/13	Journal Entry		UMA FEE QTLY ADJ 4Q2012	12.20		
01/02/13	Journal Entry		UMA FEE QTRLY 1Q2013	1,157.24		
03/20/13	Fgn Div Tax		NIELSEN HOLDINGS B V	6.91		
04/02/13	Journal Entry		UMA FEE QTLY ADJ 1Q2013	48.46		
04/02/13	Journal Entry		UMA FEE QTRLY 2Q2013	1,263.26		
04/05/13	CertIF fee		NOVARTIS ADR			1.37
04/05/13	CertIF fee		NOVARTIS ADR	1.37		
04/05/13	CertIF fee		NOVARTIS ADR	0.91		
04/05/13	Fgn Div Tax		NOVARTIS ADR	66.24		
04/18/13	Fgn Div Tax		NOVARTIS ADR	9.08		
04/30/13	Journal Entry		AGRUM INC			892.91
04/30/13	Journal Entry		REFUND/ADJUSTMENT	403,559.74		
05/01/13	Transferred		TR TO 706-02520	896.00		
05/16/13	Journal Entry		TFR TO 706-02520	27.75		
Net Total				408,391.99		100,917.26

REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
35.0000	EBAY INC	08/05/11	08/08/12	1,576.44	1,036.90	539.54 LT
8.0000	GOOGLE INC CL A	01/27/12	07/12/12	4,558.59	4,593.59	35.00 ST
5.0000	GOOGLE INC CL A	01/27/12	07/12/12	2,849.12	2,870.99	N/C
3.0000	GOOGLE INC CL A	01/27/12	07/12/12	1,709.47	1,722.60	(13.13) ST
174.0000	LOWE'S COMPANIES INC	02/16/12	08/08/12	4,590.20	4,737.27	N/C
51.0000	LOWE'S COMPANIES INC	02/16/12	08/08/12	1,345.41	1,388.51	(43.10) ST

PLEASE SEE REVERSE SIDE

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Statement Period Year Ending 07/31/13
Account No. 706-02453

X 00032660





RODERICK S FLOSSIE R & HELEN

EMASM Fiscal Statement

REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
174.0000	LOWE'S COMPANIES INC	02/16/12	08/15/12	4,671.79	4,677.44	(5.65) S
56.0000	LOWE'S COMPANIES INC	02/29/12	08/08/12	1,477.31	1,595.61	(118.30) S
29.0000	LOWE'S COMPANIES INC	02/29/12	08/15/12	778.64	826.30	(47.66) S
18.0000	WT05 17KINDER MORGAN WI	05/24/11	08/22/12	53.99	34.29	19.70 L
75.0000	WT05 17KINDER MORGAN WI	05/25/11	08/22/12	224.99	142.87	82.12 L
90.0000	WT05 17KINDER MORGAN WI	06/17/11	08/22/12	270.00	171.44	98.56 L
92.0000	WT05 17KINDER MORGAN WI	11/15/11	08/22/12	275.99	175.26	100.73 S
0.1372	WT05 17KINDER MORGAN WI	11/15/11	08/22/12	0.40	0.25	0.15 S
0.8628	WT05 17KINDER MORGAN WI	06/07/12	08/22/12	2.59	N/A	N/C
159.0000	CELANESE CORP DEL SER A	04/27/12	09/24/12	6,236.66	7,812.59	(1,575.93) S
21.0000	CELANESE CORP DEL SER A	08/07/12	09/24/12	823.72	825.20	(1.48) S
4.0000	POTASH CORP SASKATCHEWAN	10/12/11	08/31/12	162.15	195.89	(33.74) S
133.0000	POTASH CORP SASKATCHEWAN	12/23/11	08/31/12	5,391.76	5,736.36	(344.60) S
70.0000	POTASH CORP SASKATCHEWAN	08/07/12	08/31/12	2,837.78	3,010.69	(172.91) S
27.0000	VISA INC CL A SHRS	07/12/11	09/05/12	3,455.85	2,385.88	1,069.97 L
248.0000	NIELSEN HOLDINGS B V	01/26/11	10/17/12	7,914.59	6,242.58	1,672.01 L
150.0000	TYCO INTL LTD NAMEN-AKT	04/21/11	10/17/12	2,808.41	2,503.15	305.26 L
19.0000	TYCO INTL LTD NAMEN-AKT	03/27/12	10/08/12	4,223.78	3,993.43	230.35 S
62.0000	TYCO INTL LTD NAMEN-AKT	04/20/12	10/08/12	535.01	524.59	10.42 S
84.0000	TYCO INTL LTD NAMEN-AKT	08/07/12	10/08/12	1,745.83	1,717.60	28.23 S
52.0000	TYCO INTL LTD NAMEN-AKT	09/14/12	10/08/12	2,365.32	2,375.68	(10.36) S
273.0000	AMERICAN INTERNATIONAL	08/21/12	11/06/12	1,464.26	1,428.06	36.20 S
35.0000	PENTAIR LTD	03/27/12	11/20/12	8,956.33	9,423.50	(467.17) S
5.0000	PENTAIR LTD	03/28/12	11/20/12	1,608.85	1,388.99	219.86 S
15.0000	PENTAIR LTD	04/20/12	11/20/12	229.83	204.33	25.50 S
20.0000	PENTAIR LTD	08/07/12	11/20/12	689.51	619.36	70.15 S
13.0000	PENTAIR LTD	09/14/12	11/20/12	919.35	843.18	76.17 S
24.0000	BORG WARNER INC COM	12/15/10	12/03/12	597.59	532.53	65.06 S
37.0000	BORG WARNER INC COM	02/03/11	12/03/12	1,592.03	1,645.14	(53.11) L
93.0000	CELANESE CORP DEL SER A	08/07/12	11/29/12	2,454.39	2,408.37	46.02 L
80.0000	CUMMINS INC COM	12/28/11	12/31/12	3,742.54	3,654.43	88.11 S
24.0000	CUMMINS INC COM	05/01/12	12/31/12	8,631.93	7,101.47	1,530.46 L
55.0000	CUMMINS INC COM	08/07/12	12/31/12	2,589.58	2,702.01	(112.43) S
5.0000	CUMMINS INC COM	09/14/12	12/31/12	5,934.45	5,608.35	326.10 S
28.0000	DISCOVERY COMMUNICATN	11/18/10	12/31/12	539.50	511.53	27.97 S
38.0000	DISCOVERY COMMUNICATN	12/31/10	01/08/13	1,729.68	1,039.83	689.85 L
3.0000	GOOGLE INC CL A	01/27/12	01/16/13	2,347.43	1,396.36	951.07 L
5.0000	GOOGLE INC CL A	02/06/12	01/16/13	2,155.92	1,722.60	433.32 S
5.0000	GOOGLE INC CL A	02/22/12	01/16/13	3,593.20	3,038.48	554.72 S
				3,593.21	3,235.27	357.94 S

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RODERICK S FLOSSIE R & HELEN

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Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
7.0000	GOOGLE INC CL A	04/19/12	01/16/13	5,030.50	4,263.69	766.81 ST
83.0000	OCCIDENTAL PETE CORP CAL	09/20/12	12/31/12	6,221.88	7,269.35	(1,047.47) ST
91.0000	OCCIDENTAL PETE CORP CAL	10/10/12	12/31/12	6,821.58	7,552.94	(731.36) ST
26.0000	UNITED PARCEL SVC CL B	07/22/10	02/01/13	2,071.63	1,630.20	441.43 LT
25.0000	UNITED PARCEL SVC CL B	07/29/10	02/01/13	1,991.97	1,610.33	381.64 LT
15.0000	UNION PACIFIC CORP	01/26/12	01/29/13	2,021.26	1,729.16	292.10 LT
26.0000	AGRIUM INC	02/12/13	04/10/13	2,465.72	2,919.86	(454.14) ST
95.0000	AGRIUM INC	02/13/13	04/10/13	9,009.39	10,705.55	(1,696.16) ST
24.0000	AMAZON COM INC COM	10/26/12	04/24/13	6,460.17	5,504.04	956.13 ST
35.0000	AMAZON COM INC COM	02/13/13	04/24/13	9,421.09	9,399.28	21.81 ST
93.0000	AMERICAN INTERNATIONAL	08/21/12	04/24/13	3,864.06	3,210.20	653.86 ST
128.0000	AMERICAN INTERNATIONAL	09/11/12	04/24/13	5,318.28	4,214.09	1,104.19 ST
95.0000	AMERICAN INTERNATIONAL	04/05/13	04/24/13	3,947.17	3,573.48	373.69 ST
96.0000	AMERICAN TOWER REIT INC	05/05/09	04/24/13	7,787.52	2,831.47	4,956.05 LT
76.0000	AMERICAN TOWER REIT INC	03/28/11	04/24/13	6,165.12	3,813.36	2,351.76 LT
81.0000	AMERICAN TOWER REIT INC	08/07/12	04/24/13	6,570.74	5,728.85	841.89 ST
73.0000	ADT CORP SHS	03/27/12	04/03/13	3,284.93	2,532.91	752.02 LT
2.0000	ADT CORP SHS	03/27/12	04/24/13	86.95	69.39	17.56 LT
9.0000	ADT CORP SHS	03/28/12	04/24/13	391.31	323.90	67.41 LT
31.0000	ADT CORP SHS	04/20/12	04/24/13	1,347.85	1,119.43	228.42 LT
42.0000	ADT CORP SHS	08/07/12	04/24/13	1,826.12	1,548.42	277.70 ST
26.0000	ADT CORP SHS	09/14/12	04/24/13	1,130.45	930.69	199.76 ST
112.0000	ADT CORP SHS	10/05/12	04/24/13	4,869.66	4,189.86	679.80 ST
48.0000	BORG WARNER INC COM	02/03/11	04/24/13	3,551.22	3,124.37	426.85 LT
23.0000	BORG WARNER INC COM	05/21/12	04/24/13	1,701.62	1,717.98	(16.36) ST
64.0000	BORG WARNER INC COM	07/12/12	04/24/13	4,734.97	3,984.35	750.62 ST
59.0000	BORG WARNER INC COM	08/07/12	04/24/13	4,365.06	4,151.18	213.88 ST
15.0000	BLACKROCK INC	07/13/11	04/05/13	3,624.76	2,785.07	839.69 LT
23.0000	BLACKROCK INC	07/13/11	04/24/13	5,949.04	4,270.45	1,678.59 LT
15.0000	BLACKROCK INC	05/23/12	04/24/13	3,879.81	2,422.58	1,457.23 ST
19.0000	BLACKROCK INC	08/07/12	04/24/13	4,914.44	3,306.19	1,608.25 ST
118.0000	BOEING COMPANY	07/09/12	04/24/13	10,758.85	8,777.90	1,980.95 ST
51.0000	BOEING COMPANY	08/07/12	04/24/13	4,650.01	3,791.56	858.45 ST
58.0000	BOEING COMPANY	09/12/12	04/24/13	5,288.26	4,138.91	1,149.35 ST
23.0000	BOEING COMPANY	10/16/12	04/24/13	2,097.07	1,694.07	403.00 ST
96.0000	CAPITAL ONE FINL	02/01/12	04/24/13	5,445.84	4,478.82	967.02 LT
46.0000	CAPITAL ONE FINL	02/16/12	04/24/13	2,609.46	2,261.95	347.51 LT
16.0000	CAPITAL ONE FINL	03/15/12	04/24/13	907.64	846.40	61.24 LT
63.0000	CAPITAL ONE FINL	08/07/12	04/24/13	3,573.84	3,572.10	1.74 ST
64.0000	CAPITAL ONE FINL	09/05/12	04/24/13	3,630.57	3,575.40	55.17 ST

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Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
508.0000	CALPINE CORP	03/06/13	04/24/13	10,766.77	9,950.15	816.62 S
34.0000	DISCOVERY COMMUNICATN	12/31/10	04/01/13	2,379.94	1,249.37	1,130.57 L
40.0000	DISCOVERY COMMUNICATN	03/29/11	04/01/13	2,799.94	1,357.96	1,441.98 L
67.0000	DISCOVERY COMMUNICATN	03/29/11	04/24/13	4,748.18	2,274.57	2,473.61 L
77.0000	DISCOVERY COMMUNICATN	08/07/12	04/24/13	5,456.87	3,891.58	1,565.29 S
42.0000	EBAY INC COM	08/05/11	04/24/13	2,225.25	1,244.27	980.98 L
71.0000	EBAY INC COM	08/15/11	04/24/13	3,761.74	2,169.74	1,592.00 L
88.0000	EBAY INC COM	08/26/11	04/24/13	4,662.44	2,554.78	2,107.66 L
46.0000	EBAY INC COM	10/28/11	04/24/13	2,437.19	1,515.45	921.74 L
70.0000	EBAY INC COM	08/07/12	04/24/13	3,708.76	3,205.08	503.68 S
68.0000	EBAY INC COM	04/23/13	04/24/13	3,602.81	3,556.20	46.61 S
247.0000	ENBRIDGE ENERGY MGMT LLC	06/11/12	04/24/13	7,412.25	7,294.11	118.14 S
108.0000	ENBRIDGE ENERGY MGMT LLC	08/07/12	04/24/13	3,240.99	3,257.57	(16.58) S
136.0000	EXPRESS SCRIPTS HLDG CO	11/06/12	04/24/13	7,697.88	7,383.83	314.05 S
148.0000	EXPRESS SCRIPTS HLDG CO	01/16/13	04/24/13	8,377.11	8,042.01	335.10 S
29.0000	EXPRESS SCRIPTS HLDG CO	03/27/13	04/24/13	1,641.47	1,671.59	(30.12) S
12.0000	KINDER MORGAN INC. DEL	05/24/11	04/24/13	478.05	385.38	92.67 L
49.0000	KINDER MORGAN INC. DEL	05/25/11	04/24/13	1,952.05	1,573.63	378.42 L
59.0000	KINDER MORGAN INC. DEL	06/17/11	04/24/13	2,350.43	1,894.78	455.65 L
60.0000	KINDER MORGAN INC. DEL	11/15/11	04/24/13	2,390.27	1,926.89	463.38 L
85.0000	KINDER MORGAN INC. DEL	06/06/12	04/24/13	3,386.23	2,737.43	648.80 S
80.0000	KINDER MORGAN INC. DEL	08/07/12	04/24/13	3,187.04	2,922.00	265.04 S
63.0000	KINDER MORGAN INC. DEL	09/14/12	04/24/13	2,509.80	2,282.00	227.80 S
7.0000	MONSANTO CO NEW DEL COM	11/04/10	04/24/13	729.45	433.36	296.09 L
41.0000	MONSANTO CO NEW DEL COM	06/17/11	04/24/13	4,272.51	2,708.79	1,563.72 L
12.0000	MONSANTO CO NEW DEL COM	08/07/12	04/24/13	1,250.49	1,069.32	181.17 S
63.0000	MONSANTO CO NEW DEL COM	11/07/12	04/24/13	6,565.08	5,531.08	1,034.00 S
30.0000	MONSANTO CO NEW DEL COM	02/13/13	04/24/13	3,126.24	3,073.85	52.39 S
80.0000	MCDONALDS CORP COM	08/30/12	04/24/13	8,053.74	7,106.82	946.92 S
59.0000	MCDONALDS CORP COM	09/12/12	04/24/13	5,939.63	5,371.99	567.64 S
21.0000	MCDONALDS CORP COM	09/14/12	04/24/13	2,114.11	1,933.01	181.10 S
54.0000	NOVARTIS ADR	03/19/12	04/24/13	3,923.13	3,000.64	922.49 L
85.0000	NOVARTIS ADR	03/20/12	04/24/13	6,175.30	4,705.07	1,470.23 L
43.0000	NOVARTIS ADR	08/07/12	04/24/13	3,123.99	2,547.54	576.45 S
43.0000	NIELSEN HOLDINGS B V	04/21/11	04/24/13	1,476.58	1,223.13	253.45 L
33.0000	NIELSEN HOLDINGS B V	08/26/11	04/24/13	1,133.19	927.70	205.49 L
212.0000	NIELSEN HOLDINGS B V	08/07/12	04/24/13	7,279.93	6,131.78	1,148.15 S
125.0000	PIONEER NATURAL RES CO	01/02/13	04/24/13	14,467.55	13,545.74	921.81 S
19.0000	PIONEER NATURAL RES CO	03/28/13	04/24/13	2,199.07	2,381.98	(182.91) S
68.0000	PRAXAIR INC	04/29/10	04/23/13	7,496.46	5,744.63	1,751.83 L

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REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
33 0000	PRAXAIR INC	08/07/12	04/23/13	3,637.99	3,521.45	116.54 ST
36 0000	PRAXAIR INC	09/14/12	04/23/13	3,968.72	3,861.85	106.87 ST
10 0000	UNITED PARCEL SVC CL B	07/29/10	04/24/13	834.98	644.13	190.85 ST
28 0000	UNITED PARCEL SVC CL B	09/13/10	04/24/13	2,337.94	1,902.19	435.75 LT
29 0000	UNITED PARCEL SVC CL B	08/07/12	04/24/13	2,421.44	2,206.90	214.54 ST
56 0000	UNITED PARCEL SVC CL B	10/08/12	04/24/13	4,675.91	4,119.98	555.93 ST
49 0000	UNION PACIFIC CORP	01/26/12	04/24/13	7,217.53	5,648.57	1,568.96 ST
26 0000	UNION PACIFIC CORP	02/17/12	04/24/13	3,829.71	2,860.03	969.68 LT
27 0000	UNION PACIFIC CORP	03/26/12	04/24/13	3,977.01	2,985.50	991.51 LT
28 0000	UNION PACIFIC CORP	08/07/12	04/24/13	4,124.32	3,470.88	653.44 ST
46 0000	VISA INC CL A SHRS	07/12/11	04/24/13	7,681.36	4,064.84	3,616.52 LT
14 0000	VISA INC CL A SHRS	10/31/11	04/24/13	2,337.81	1,329.02	1,008.79 LT
23 0000	VISA INC CL A SHRS	08/07/12	04/24/13	3,840.69	2,999.57	841.12 ST
111 0000	VERISK ANALYTICS INC	12/31/12	04/24/13	6,655.91	5,624.20	1,031.71 ST
6,635 0000	FRAC ENBRIDGE ENERGY	08/16/12	04/25/13	1.32	1.98	(0.66) ST
92,405 0000	FRAC ENBRIDGE ENERGY	11/16/12	04/25/13	18.48	25.41	(6.93) ST
22,825 0000	FRAC ENBRIDGE ENERGY	02/19/13	04/25/13	4.57	6.39	(1.82) ST
2 0000	ADT CORP SHS	03/27/12	04/24/13	86.95	69.39	(17.56) LT
2 0000	ADT CORP SHS	03/27/12	04/24/13	86.95	69.14	17.81 LT
9 0000	ADT CORP SHS	03/28/12	04/24/13	391.31	323.90	(67.41) LT
31 0000	ADT CORP SHS	03/28/12	04/24/13	391.31	322.78	68.53 LT
31 0000	ADT CORP SHS	04/20/12	04/24/13	1,347.85	1,119.43	(228.42) LT
42 0000	ADT CORP SHS	04/20/12	04/24/13	1,347.85	1,115.55	232.30 LT
42 0000	ADT CORP SHS	08/07/12	04/24/13	1,826.12	1,548.42	(277.70) ST
42 0000	ADT CORP SHS	08/07/12	04/24/13	1,826.12	1,543.17	282.95 ST
26 0000	ADT CORP SHS	09/14/12	04/24/13	1,130.45	930.69	(199.76) ST
26 0000	ADT CORP SHS	09/14/12	04/24/13	1,130.45	927.44	203.01 ST
112 0000	ADT CORP SHS	10/05/12	04/24/13	4,869.66	4,189.86	(679.80) ST
112 0000	ADT CORP SHS	10/05/12	04/24/13	4,869.66	4,175.86	693.80 ST

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RODERICK S FLOSSIE R & HELEN



Fiscal Statement

FISCAL YEAR ACTIVITY

Date	Transaction	Quantity	Description	Price	Debit	Credit
Dividends and Interest						
08/01/12	Dividend		LINCOLN NTL CORP IND NPV			9.12
08/08/12	Dividend		LOWE'S COMPANIES INC			26.08
08/06/12	Dividend		PNC FINCL SERVICES GROUP			16.40
08/03/12	Bank Interest		BANK DEPOSIT INT 08/03			0.05
			Net Total			201.85

Other Activity

08/03/12	Journal Entry		TR TO 70602520		225,095.76	
08/06/12	Transferred		TFR TO 706-02520		19.23	
08/07/12	Journal Entry		TFR TO 706-02520		16.40	
08/07/12	Journal Entry		REFUND/ADJUSTMENT			483.16
08/08/12	Journal Entry		TFR TO 706-02520		483.16	
08/09/12	Journal Entry		TFR TO 706-02520		26.08	
08/16/12	Journal Entry		TFR TO 706-02520		8.64	
08/21/12	Journal Entry		TFR TO 706-02520		32.76	
09/05/12	Journal Entry		TFR TO 706-02520		77.22	
			Net Total		225,759.25	483.16

REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
63.0000	ALLSTATE CORP DEL COM	05/11/12	07/30/12	2,199.28	2,195.94	3.34 S
18.0000	ALLSTATE CORP DEL COM	05/16/12	07/30/12	628.36	610.28	18.08 S
16.0000	ALLSTATE CORP DEL COM	06/26/12	07/30/12	558.55	536.32	22.23 S
23.0000	ALLSTATE CORP DEL COM	07/19/12	07/30/12	802.92	797.93	4.99 S
13.0000	APOLLO GROUP INC CL A	10/21/11	07/30/12	363.86	617.19	(253.33) S
6.0000	APOLLO GROUP INC CL A	10/24/11	07/30/12	167.93	288.61	(120.68) S

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RODERICK S FLOSSIE R & HELEN

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REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
6.0000	APOLLO GROUP INC CL A	12/09/11	07/30/12	167.94	300.47	(132.53) ST
3.0000	APOLLO GROUP INC CL A	01/06/12	07/30/12	83.97	170.48	(86.51) ST
11.0000	AIRGAS INC COM	10/04/11	07/30/12	873.26	688.23	185.03 ST
4.0000	AIRGAS INC COM	12/20/11	07/30/12	317.56	313.97	3.59 ST
9.0000	ABERCROMBIE & FITCH CO	09/09/11	07/30/12	316.61	573.49	(256.88) ST
4.0000	ABERCROMBIE & FITCH CO	09/14/11	07/30/12	140.72	262.22	(121.50) ST
4.0000	ABERCROMBIE & FITCH CO	09/27/11	07/30/12	140.72	266.25	(125.53) ST
24.0000	ALASKA AIR GROUP INC COM	09/29/09	07/30/12	837.10	329.82	507.28 LT
6.0000	ALASKA AIR GROUP INC COM	06/03/10	07/30/12	209.28	151.86	57.42 LT
22.0000	AETNA INC NEW	07/14/11	07/30/12	809.14	963.01	(153.87) LT
7.0000	AETNA INC NEW	10/31/11	07/30/12	257.45	282.09	(24.64) ST
17.0000	AETNA INC NEW	02/03/12	07/30/12	625.25	746.03	(120.78) ST
9.0000	ADVANCE AUTO PARTS INC	12/05/11	07/30/12	632.86	630.50	2.36 ST
4.0000	ADVANCE AUTO PARTS INC	12/20/11	07/30/12	281.28	275.84	5.44 ST
117.0000	AMERICAN INTERNATIONAL	04/16/12	07/30/12	3,695.24	3,826.75	(131.51) ST
9.0000	AMERICAN INTERNATIONAL	04/17/12	07/30/12	284.25	295.58	(11.33) ST
19.0000	AMERIPRISE FINL INC	06/08/12	07/30/12	995.38	916.41	78.97 ST
8.0000	AMERIPRISE FINL INC	06/11/12	07/30/12	419.11	389.71	29.40 ST
7.0000	AMERIPRISE FINL INC	06/28/12	07/30/12	366.73	354.36	12.37 ST
12.0000	ARROW ELECTRONICS	02/04/10	07/30/12	417.11	319.32	97.79 LT
11.0000	ARROW ELECTRONICS	03/01/10	07/30/12	382.35	320.84	61.51 LT
16.0000	ARROW ELECTRONICS	04/13/10	07/30/12	556.15	487.22	68.93 LT
11.0000	AVNET INC	02/03/10	07/30/12	352.32	303.49	48.83 LT
13.0000	AVNET INC	03/10/10	07/30/12	416.38	374.86	41.52 LT
13.0000	AVNET INC	07/06/10	07/30/12	416.38	318.41	97.97 LT
7.0000	AVNET INC	11/29/10	07/30/12	224.21	219.81	4.40 LT
31.0000	BB&T CORPORATION	05/18/12	07/30/12	988.57	933.06	55.51 ST
16.0000	BB&T CORPORATION	05/21/12	07/30/12	510.22	481.40	28.82 ST
15.0000	BB&T CORPORATION	06/08/12	07/30/12	478.35	430.17	48.18 ST
8.0000	CABOT CORP	05/17/12	07/30/12	308.55	307.73	0.82 ST
11.0000	CABOT CORP	05/25/12	07/30/12	424.26	421.99	2.27 ST
8.0000	CABOT CORP	06/08/12	07/30/12	308.55	291.67	16.88 ST
11.0000	CABOT CORP	07/19/12	07/30/12	424.27	435.34	(11.07) ST
3.0000	CAPITAL ONE FINL	05/24/12	07/30/12	170.61	153.78	16.83 ST
40.0000	CAPITAL ONE FINL	05/25/12	07/30/12	2,274.90	2,068.19	206.71 ST
58.0000	CAPITAL ONE FINL	06/01/12	07/30/12	3,298.62	2,827.72	470.90 ST
37.0000	CAPITAL ONE FINL	06/04/12	07/30/12	2,104.30	1,803.62	300.68 ST
12.0000	CVS CAREMARK CORP	09/21/09	07/30/12	540.15	433.43	106.72 LT
25.0000	CVS CAREMARK CORP	11/10/09	07/30/12	1,125.32	760.27	365.05 LT
17.0000	CVS CAREMARK CORP	11/12/09	07/30/12	765.22	507.75	257.47 LT

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RODERICK S FLOSSIE R & HELEN

EMASM Fiscal Statement

REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
7.0000	CVS CAREMARK CORP	06/20/11	07/30/12	315.09	262.56	52.53 L
11.0000	CVS CAREMARK CORP	07/14/11	07/30/12	495.14	409.57	85.57 L
12.0000	CVS CAREMARK CORP	07/27/11	07/30/12	540.15	437.62	102.53 L
12.0000	CVS CAREMARK CORP	08/03/11	07/30/12	540.16	429.82	110.34 S
7.0000	CVS CAREMARK CORP	08/25/11	07/30/12	315.09	239.95	75.14 S
15.0000	CVS CAREMARK CORP	10/20/11	07/30/12	675.21	520.68	154.53 S
47.0000	CARNIVAL CORP PAIRED SHS	07/19/12	07/30/12	1,588.75	1,574.41	14.34 S
77.0000	CARNIVAL CORP PAIRED SHS	07/25/12	07/30/12	2,602.86	2,490.86	112.00 S
9.0000	CARTER HOLDINGS INC	06/18/12	07/30/12	462.77	469.31	(6.54) S
6.0000	CARTER HOLDINGS INC	06/26/12	07/30/12	308.51	312.46	(3.95) S
6.0000	CARTER HOLDINGS INC	07/05/12	07/30/12	308.51	334.61	(26.10) S
9.0000	CARTER HOLDINGS INC	07/19/12	07/30/12	462.78	487.78	(25.00) S
17.0000	CHEVRON CORP	06/05/12	07/30/12	1,857.38	1,638.26	219.12 S
9.0000	CONOCOPHILLIPS	03/26/12	07/30/12	492.10	533.52	(41.42) S
3.0000	CONOCOPHILLIPS	03/31/12	07/30/12	164.03	177.67	(13.64) S
15.0000	CONOCOPHILLIPS	04/03/12	07/30/12	820.18	883.26	(63.08) S
7.0000	CONOCOPHILLIPS	04/04/12	07/30/12	382.75	409.63	(26.88) S
55.0000	CONOCOPHILLIPS	04/11/12	07/30/12	3,007.34	3,133.11	(125.77) S
28.0000	CONOCOPHILLIPS	06/11/12	07/30/12	1,531.02	1,530.22	0.80 S
26.0000	COCA COLA ENTERPRISES	12/07/11	07/30/12	767.24	684.32	82.92 S
13.0000	COCA COLA ENTERPRISES	12/20/11	07/30/12	383.62	335.66	47.96 S
58.0000	DELL INC	09/16/11	07/30/12	688.44	880.83	(192.39) S
35.0000	DELL INC	04/05/12	07/30/12	415.45	577.59	(162.14) S
20.0000	DOLLAR TREE INC	01/11/12	07/30/12	1,028.78	823.83	204.95 S
7.0000	DR PEPPER SNAPPLE GROUP	10/12/10	07/30/12	318.56	244.08	74.48 L
6.0000	DR PEPPER SNAPPLE GROUP	10/15/10	07/30/12	273.05	210.59	62.46 L
12.0000	DR PEPPER SNAPPLE GROUP	11/24/10	07/30/12	546.10	452.14	93.96 L
10.0000	DR PEPPER SNAPPLE GROUP	12/20/11	07/30/12	455.10	392.72	62.38 S
6.0000	DIRECTV GROUP HLDNGS CLA	01/25/10	07/30/12	295.28	186.59	108.69 L
20.0000	DIRECTV GROUP HLDNGS CLA	01/29/10	07/30/12	984.30	619.14	365.16 L
15.0000	DIRECTV GROUP HLDNGS CLA	02/03/10	07/30/12	738.22	471.35	266.87 L
13.0000	DIRECTV GROUP HLDNGS CLA	02/04/10	07/30/12	639.79	399.53	240.26 L
30.0000	DIRECTV GROUP HLDNGS CLA	02/26/10	07/30/12	1,476.45	1,008.15	468.30 L
9.0000	DIRECTV GROUP HLDNGS CLA	12/20/11	07/30/12	442.93	386.06	56.87 S
10.0000	DIRECTV GROUP HLDNGS CLA	12/21/11	07/30/12	492.15	429.89	62.26 S
9.0000	DIRECTV GROUP HLDNGS CLA	12/22/11	07/30/12	442.94	386.33	56.61 S
3.0000	DIRECTV GROUP HLDNGS CLA	01/03/12	07/30/12	147.64	130.57	17.07 S
16.0000	DIRECTV GROUP HLDNGS CLA	01/04/12	07/30/12	787.46	699.16	88.30 S
5.0000	ENERGIZER HLDGS INC COM	10/04/11	07/30/12	392.24	323.33	68.91 S
6.0000	ENERGIZER HLDGS INC COM	10/05/11	07/30/12	470.69	397.79	72.90 S

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Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
3.0000	EVEREST RE GROUP LTD	05/03/12	07/30/12	314.03	302.15	11.88 ST
4.0000	EVEREST RE GROUP LTD	05/04/12	07/30/12	418.71	401.72	16.99 ST
5.0000	EVEREST RE GROUP LTD	07/27/12	07/30/12	523.39	515.80	7.59 ST
20.0000	EXPEDIA INC	06/08/12	07/30/12	1,117.45	943.12	174.33 ST
6.0000	EXPEDIA INC	07/19/12	07/30/12	335.24	285.82	49.42 ST
9.0000	FAMILY DOLLAR STORES	10/14/11	07/30/12	598.12	488.40	109.72 ST
8.0000	FAMILY DOLLAR STORES	10/20/11	07/30/12	531.67	459.11	72.56 ST
5.0000	FAMILY DOLLAR STORES	07/11/12	07/30/12	332.30	347.44	(15.14) ST
3.0000	F5 NETWORKS INC COM	05/21/12	07/30/12	284.99	344.22	(59.23) ST
20.0000	FAIRCHILD SEMICON INTL	04/30/10	07/30/12	268.19	228.39	39.80 LT
4.0000	FEDEX CORP DELAWARE COM	10/03/11	07/27/12	360.08	266.02	94.06 ST
5.0000	FEDEX CORP DELAWARE COM	10/04/11	07/27/12	450.11	323.29	126.82 ST
9.0000	FEDEX CORP DELAWARE COM	01/06/12	07/27/12	810.20	769.27	40.93 ST
123.0000	FORD MOTOR CO	10/25/11	07/30/12	1,118.15	1,528.21	(410.06) ST
17.0000	FOREST LABS INC	12/12/11	07/30/12	577.98	497.75	80.23 ST
9.0000	FOREST LABS INC	12/16/11	07/30/12	306.00	261.41	44.59 ST
38.0000	GAP INC DELAWARE	10/31/11	07/30/12	1,133.51	724.29	409.22 ST
23.0000	GAP INC DELAWARE	06/28/12	07/30/12	686.07	612.97	73.10 ST
11.0000	GAP INC DELAWARE	07/19/12	07/30/12	328.13	323.22	4.91 ST
110.0000	GENERAL MOTORS CO	11/11/11	07/30/12	2,135.54	2,492.88	(357.34) ST
14.0000	GENERAL MOTORS CO	11/30/11	07/30/12	271.79	295.84	(24.05) ST
17.0000	GENERAL MOTORS CO	12/01/11	07/30/12	330.04	363.39	(33.35) ST
17.0000	GENERAL MOTORS CO	12/21/11	07/30/12	330.04	342.44	(12.40) ST
18.0000	GENERAL MOTORS CO	12/27/11	07/30/12	349.46	363.09	(13.63) ST
9.0000	GENERAL MOTORS CO	01/06/12	07/30/12	174.73	203.89	(29.16) ST
15.0000	GNC HOLDINGS INC SHS	03/26/12	07/30/12	580.78	521.89	58.89 ST
9.0000	GNC HOLDINGS INC SHS	03/27/12	07/30/12	348.47	314.60	33.87 ST
6.0000	GNC HOLDINGS INC SHS	05/23/12	07/30/12	232.32	223.12	9.20 ST
17.0000	GENUINE PARTS CO	09/15/11	07/30/12	1,092.56	920.38	172.18 ST
5.0000	GENUINE PARTS CO	09/28/11	07/30/12	321.35	257.02	64.33 ST
5.0000	HESS CORP	05/20/11	07/30/12	238.89	316.11	(77.22) LT
6.0000	HESS CORP	05/21/11	07/30/12	286.67	382.04	(95.37) LT
24.0000	HESS CORP	11/28/11	07/30/12	1,146.70	1,362.06	(215.36) ST
6.0000	HARRIS CORP DEL	12/09/11	07/30/12	286.68	350.15	(63.47) ST
5.0000	HARRIS CORP DEL	07/07/10	07/30/12	211.94	208.99	2.95 LT
6.0000	HARRIS CORP DEL	07/12/10	07/30/12	254.34	258.14	(3.80) LT
12.0000	HASBRO INC COM	10/04/11	07/30/12	428.15	386.07	42.08 ST
12.0000	HASBRO INC COM	10/05/11	07/30/12	428.15	396.62	31.53 ST
12.0000	HEWLETT PACKARD CO DEL	04/27/11	07/30/12	219.95	492.69	(272.74) LT
13.0000	HEWLETT PACKARD CO DEL	05/02/11	07/30/12	238.28	524.29	(286.01) LT

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Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
6 0000	HEWLETT PACKARD CO DEL	05/06/11	07/30/12	109.97	247.95	(137.98) L
10 0000	HEWLETT PACKARD CO DEL	05/09/11	07/30/12	183.29	411.15	(227.86) L
12 0000	HEWLETT PACKARD CO DEL	05/17/11	07/30/12	219.95	435.09	(215.14) L
22 0000	HEWLETT PACKARD CO DEL	05/19/11	07/30/12	403.25	795.96	(392.71) L
15 0000	HEWLETT PACKARD CO DEL	05/31/11	07/30/12	274.94	559.51	(284.57) L
8 0000	HEWLETT PACKARD CO DEL	06/13/11	07/30/12	146.63	279.84	(133.21) L
12 0000	HEWLETT PACKARD CO DEL	07/05/11	07/30/12	219.95	439.35	(219.40) L
11 0000	HEWLETT PACKARD CO DEL	07/13/11	07/30/12	201.62	389.99	(188.37) L
15 0000	HEWLETT PACKARD CO DEL	07/15/11	07/30/12	274.95	525.43	(250.48) L
10 0000	HEWLETT PACKARD CO DEL	07/27/11	07/30/12	183.30	366.45	(183.15) L
10 0000	HEWLETT PACKARD CO DEL	07/28/11	07/30/12	183.29	366.57	(183.28) L
35 0000	HEWLETT PACKARD CO DEL	12/07/11	07/30/12	641.55	993.48	(351.93) S
40 0000	HEWLETT PACKARD CO DEL	12/09/11	07/30/12	733.20	1,127.31	(394.11) S
9 0000	HEWLETT PACKARD CO DEL	12/20/11	07/30/12	164.97	233.93	(68.96) S
12 0000	HEWLETT PACKARD CO DEL	12/27/11	07/30/12	219.97	309.82	(89.85) S
7 0000	INGRAM MICRO INC CL A	08/26/09	07/30/12	107.79	117.56	(9.77) L
17 0000	INGRAM MICRO INC CL A	11/25/09	07/30/12	261.80	306.13	(44.33) L
13 0000	INGRAM MICRO INC CL A	12/02/09	07/30/12	200.20	223.04	(22.84) L
8 0000	JPMORGAN CHASE & CO	07/27/10	07/30/12	289.95	341.72	(51.77) L
16 0000	JPMORGAN CHASE & CO	07/27/10	07/30/12	579.90	588.78	(8.88) L
2 0000	JPMORGAN CHASE & CO	07/27/10	07/30/12	72.48	82.36	(9.88) L
14 0000	JPMORGAN CHASE & CO	08/03/10	07/30/12	507.41	553.04	(45.63) L
4 0000	JPMORGAN CHASE & CO	08/03/10	07/30/12	144.97	158.22	(13.25) L
44 0000	JPMORGAN CHASE & CO	04/15/11	07/30/12	1,594.75	1,993.29	(398.54) L
14 0000	JPMORGAN CHASE & CO	04/18/11	07/30/12	507.42	615.44	(108.02) L
22 0000	JPMORGAN CHASE & CO	04/20/11	07/30/12	797.37	982.11	(184.74) L
10 0000	JPMORGAN CHASE & CO	07/06/11	07/30/12	362.44	404.60	(42.16) L
5 0000	JPMORGAN CHASE & CO	07/13/11	07/30/12	181.22	200.67	(19.45) L
13 0000	JPMORGAN CHASE & CO	07/14/11	07/30/12	471.17	530.87	(59.70) L
8 0000	JPMORGAN CHASE & CO	09/09/11	07/30/12	289.95	260.13	29.82 S
17 0000	JPMORGAN CHASE & CO	09/23/11	07/30/12	616.16	499.79	116.37 S
5 0000	JPMORGAN CHASE & CO	11/23/11	07/30/12	181.22	144.08	37.14 S
48 0000	JPMORGAN CHASE & CO	05/21/12	07/30/12	1,739.75	1,591.72	148.03 S
42 0000	JOHNSON CONTROLS INC	07/25/12	07/30/12	1,039.48	993.01	46.47 S
56 0000	KEYCORP NEW COM	04/25/11	07/30/12	453.03	471.35	(18.32) L
7 0000	KOHL'S CORP WISC PV 1CT	05/19/11	07/30/12	343.41	395.89	(52.48) L
5 0000	KOHL'S CORP WISC PV 1CT	05/20/11	07/30/12	245.29	275.14	(29.85) L
8 0000	KOHL'S CORP WISC PV 1CT	05/31/11	07/30/12	392.81	427.81	(35.34) L
5 0000	KOHL'S CORP WISC PV 1CT	07/13/11	07/30/12	245.29	280.60	(35.31) L
6 0000	KOHL'S CORP WISC PV 1CT	07/28/11	07/30/12	294.35	334.53	(40.18) L

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7.0000	KOHL'S CORP WISC PV 1CT	09/16/11	07/30/12	343.43	334.21	9.22 ST
19.0000	KROGER CO	12/07/10	07/30/12	413.43	395.27	18.16 LT
11.0000	KROGER CO	07/27/11	07/30/12	239.35	272.94	(33.59) LT
14.0000	KROGER CO	09/09/11	07/30/12	304.63	306.41	(1.78) ST
10.0000	KROGER CO	09/16/11	07/30/12	217.59	226.08	(8.49) ST
12.0000	KROGER CO	10/04/11	07/30/12	261.12	258.64	2.48 ST
10.0000	KROGER CO	12/27/11	07/30/12	217.60	245.02	(27.42) ST
6.0000	LAUDER ESTEE COS INC A	06/28/12	07/30/12	322.37	323.09	(0.72) ST
20.0000	LAUDER ESTEE COS INC A	06/29/12	07/30/12	1,074.57	1,062.10	12.47 ST
10.0000	LAUDER ESTEE COS INC A	07/05/12	07/30/12	537.29	552.67	(15.38) ST
10.0000	LAUDER ESTEE COS INC A	07/19/12	07/30/12	537.29	545.93	(8.64) ST
14.0000	ELI LILLY & CO	01/14/11	07/30/12	614.79	486.87	127.92 LT
6.0000	ELI LILLY & CO	05/17/11	07/30/12	263.48	234.01	29.47 LT
25.0000	ELI LILLY & CO	05/19/11	07/30/12	1,097.85	965.24	132.61 LT
23.0000	ELI LILLY & CO	05/24/11	07/30/12	1,010.02	888.51	121.51 LT
10.0000	ELI LILLY & CO	07/28/11	07/30/12	439.14	383.53	55.61 LT
12.0000	ELI LILLY & CO	08/25/11	07/30/12	526.96	428.27	98.69 ST
10.0000	ELI LILLY & CO	09/09/11	07/30/12	439.14	363.38	75.76 ST
10.0000	ELI LILLY & CO	09/16/11	07/30/12	439.14	375.97	63.17 ST
11.0000	ELI LILLY & CO	09/28/11	07/30/12	483.05	411.25	71.80 ST
4.0000	ELI LILLY & CO	10/03/11	07/30/12	175.65	148.68	26.97 ST
14.0000	ELI LILLY & CO	10/04/11	07/30/12	614.80	504.34	110.46 ST
22.0000	ELI LILLY & CO	12/20/11	07/30/12	966.12	902.81	63.31 ST
12.0000	ELI LILLY & CO	07/25/12	07/30/12	526.97	517.25	9.72 ST
5.0000	ELI LILLY & CO	07/26/12	07/30/12	219.58	218.14	1.44 ST
11.0000	LOWE'S COMPANIES INC	06/14/11	07/30/12	294.07	249.50	44.57 LT
15.0000	LOWE'S COMPANIES INC	07/15/11	07/30/12	401.01	342.30	58.71 LT
17.0000	LOWE'S COMPANIES INC	09/09/11	07/30/12	454.48	324.25	130.23 ST
12.0000	LOWE'S COMPANIES INC	09/16/11	07/30/12	320.81	243.71	77.10 ST
43.0000	LOWE'S COMPANIES INC	05/21/12	07/30/12	1,149.58	1,105.62	43.96 ST
24.0000	LOWE'S COMPANIES INC	06/08/12	07/30/12	641.63	668.75	(27.12) ST
9.0000	LOWE'S COMPANIES INC	06/12/12	07/30/12	240.61	247.62	(7.01) ST
17.0000	LOWE'S COMPANIES INC	06/28/12	07/30/12	454.49	466.54	(12.05) ST
15.0000	LOWE'S COMPANIES INC	07/19/12	07/30/12	401.02	391.23	9.79 ST
14.0000	LOWE'S COMPANIES INC	07/25/12	07/30/12	374.29	360.09	14.20 ST
7.0000	MARRIOTT INTL INC NEW A	05/16/12	07/30/12	253.46	274.24	(20.78) ST
28.0000	MARRIOTT INTL INC NEW A	05/17/12	07/30/12	1,013.85	1,068.58	(54.73) ST
12.0000	MARRIOTT INTL INC NEW A	05/21/12	07/30/12	434.51	451.05	(16.54) ST
28.0000	MARRIOTT INTL INC NEW A	07/16/12	07/30/12	1,013.86	1,015.25	(1.39) ST
22.0000	MARRIOTT INTL INC NEW A	07/19/12	07/30/12	796.61	820.14	(23.53) ST

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74.0000	MARATHON OIL CORP	03/08/12	07/30/12	1,978.34	2,480.41	(502.07) S
15.0000	MARATHON OIL CORP	03/14/12	07/30/12	401.02	511.33	(110.31) S
15.0000	MARATHON OIL CORP	07/25/12	07/30/12	401.02	378.42	22.60 S
14.0000	MACYS INC	09/15/11	07/30/12	507.20	379.77	127.43 S
17.0000	MACYS INC	12/27/11	07/30/12	615.90	548.09	67.81 S
21.0000	MARATHON PETROLEUM CORP	03/14/12	07/30/12	986.55	926.06	60.49 S
10.0000	MARATHON PETROLEUM CORP	03/16/12	07/30/12	469.80	440.02	29.78 S
2.0000	MARKEL CORP COM	07/23/12	07/30/12	854.00	859.43	(5.43) S
14.0000	MURPHY OIL CORP	02/21/12	07/30/12	757.95	881.51	(123.56) S
12.0000	MURPHY OIL CORP	02/27/12	07/30/12	649.68	773.73	(124.05) S
33.0000	MURPHY OIL CORP	03/05/12	07/30/12	1,786.62	2,020.95	(234.33) S
24.0000	NRG ENERGY INC	07/19/12	07/27/12	470.89	433.66	37.23 S
8.0000	NORDSON CORP	06/11/12	07/30/12	412.31	409.84	2.47 S
6.0000	NORDSON CORP	06/12/12	07/30/12	309.23	306.65	2.58 S
6.0000	NORDSON CORP	07/19/12	07/30/12	309.24	317.92	(8.68) S
20.0000	NORDSTROM INC	09/09/11	07/30/12	1,074.77	889.41	185.36 S
5.0000	NORDSTROM INC	09/16/11	07/30/12	268.69	238.21	30.48 S
6.0000	NORDSTROM INC	06/28/12	07/30/12	322.44	290.24	32.20 S
6.0000	NORDSTROM INC	07/19/12	07/30/12	322.44	319.34	3.10 S
21.0000	NORTH TRUST CORP	11/29/11	07/30/12	959.25	746.91	212.34 S
9.0000	NORTH TRUST CORP	12/01/11	07/30/12	411.12	335.72	75.40 S
12.0000	PPG INDUSTRIES INC SHS	07/05/12	07/30/12	1,335.09	1,263.01	72.08 S
13.0000	PRUDENTIAL FINANCIAL INC	03/28/11	07/30/12	626.32	791.85	(165.53) L
8.0000	PRUDENTIAL FINANCIAL INC	03/31/11	07/30/12	385.43	487.77	(102.34) L
1.0000	PRUDENTIAL FINANCIAL INC	04/01/11	07/30/12	48.17	57.24	(9.07) L
4.0000	PRUDENTIAL FINANCIAL INC	04/05/11	07/30/12	192.71	252.16	(59.45) L
5.0000	PRUDENTIAL FINANCIAL INC	04/06/11	07/30/12	240.89	288.50	(47.61) L
3.0000	PRUDENTIAL FINANCIAL INC	04/25/11	07/30/12	144.54	157.25	(12.71) L
6.0000	PRUDENTIAL FINANCIAL INC	11/28/11	07/30/12	289.08	280.11	8.97 S
9.0000	PRUDENTIAL FINANCIAL INC	12/01/11	07/30/12	433.62	449.50	(15.88) S
6.0000	PRUDENTIAL FINANCIAL INC	12/20/11	07/30/12	289.09	294.57	(5.48) S
9.0000	PROASSURANCE CORP	03/05/12	07/30/12	814.57	788.34	26.23 S
3.0000	PROASSURANCE CORP	03/08/12	07/30/12	271.52	264.01	7.51 S
3.0000	PROASSURANCE CORP	05/17/12	07/30/12	271.53	263.51	8.02 S
23.0000	PNC FINCL SERVICES GROUP	06/08/12	07/30/12	1,374.68	1,349.87	24.81 S
12.0000	PNC FINCL SERVICES GROUP	06/12/12	07/30/12	717.22	677.62	39.60 S
6.0000	PNC FINCL SERVICES GROUP	07/10/12	07/30/12	358.62	363.49	(4.87) S
28.0000	PARAMETRIC TECH CORP NEW	03/14/12	07/30/12	602.55	790.11	(187.56) S
13.0000	PROTECTIVE LIFE CORP COM	03/29/12	07/30/12	361.13	382.54	(21.41) S
10.0000	PROTECTIVE LIFE CORP COM	04/03/12	07/30/12	277.79	298.90	(21.11) S

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RODERICK S FLOSSIE R & HELEN

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Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
18.0000	PROTECTIVE LIFE CORP COM	06/08/12	07/30/12	500.03	485.64	14.39 ST
8.0000	PROTECTIVE LIFE CORP COM	06/29/12	07/30/12	222.24	234.34	(12.10) ST
39.0000	SAFEWAY INC NEW	12/20/11	07/30/12	597.08	799.95	(202.87) ST
21.0000	STATE STREET CORP	06/17/11	07/30/12	843.13	915.15	(72.02) LT
6.0000	STATE STREET CORP	07/15/11	07/30/12	240.89	262.79	(21.90) LT
15.0000	STATE STREET CORP	09/16/11	07/30/12	602.24	514.06	88.18 ST
7.0000	STATE STREET CORP	10/04/11	07/30/12	281.05	213.08	67.97 ST
8.0000	STATE STREET CORP	01/04/12	07/30/12	321.20	328.45	(7.25) ST
62.0000	SLM CORP	05/17/12	07/30/12	992.05	819.51	172.54 ST
16.0000	SLM CORP	06/04/12	07/30/12	256.01	220.43	35.58 ST
42.0000	SLM CORP	06/08/12	07/30/12	672.04	604.69	67.35 ST
13.0000	SYNNEX CORP	09/29/09	07/30/12	442.97	401.49	41.48 LT
2.0000	SHERWIN WILLIAMS	09/29/11	07/30/12	271.01	155.17	115.84 ST
4.0000	SHERWIN WILLIAMS	12/20/11	07/30/12	542.03	346.60	195.43 ST
7.0000	STANLEY BLACK & DECKER	06/20/12	07/30/12	477.66	441.05	36.61 ST
8.0000	STANLEY BLACK & DECKER	06/22/12	07/30/12	477.67	432.45	45.22 ST
11.0000	STANLEY BLACK & DECKER	06/27/12	07/30/12	545.90	487.48	58.42 ST
4.0000	STANLEY BLACK & DECKER	06/28/12	07/30/12	750.63	677.52	73.11 ST
16.0000	SMITHFILDS FOODS PV\$0.50	07/19/12	07/30/12	272.96	262.47	10.49 ST
19.0000	SMITHFILDS FOODS PV\$0.50	04/30/10	07/30/12	294.55	301.51	(6.96) LT
12.0000	SMITHFILDS FOODS PV\$0.50	06/25/10	07/30/12	349.78	286.80	62.98 LT
12.0000	SMITHFILDS FOODS PV\$0.50	01/14/11	07/30/12	220.92	244.50	(23.58) LT
12.0000	SMITHFILDS FOODS PV\$0.50	04/18/11	07/30/12	220.92	275.75	(54.83) LT
9.0000	SOWEST GAS CORP	07/09/12	07/30/12	406.16	398.49	7.67 ST
57.0000	STAPLES INC	12/21/11	07/30/12	720.46	800.70	(80.24) ST
52.0000	SYMANTEC CORP COM	09/16/11	07/30/12	802.35	909.66	(107.31) ST
18.0000	SYMANTEC CORP COM	10/25/11	07/30/12	277.74	336.17	(58.43) ST
10.0000	SYSCO CORPORATION	07/11/11	07/30/12	291.49	309.69	(18.20) LT
20.0000	SYSCO CORPORATION	07/13/11	07/30/12	582.98	629.43	(46.45) LT
11.0000	SYSCO CORPORATION	09/09/11	07/30/12	320.64	292.19	28.45 ST
14.0000	SYSCO CORPORATION	09/16/11	07/30/12	408.09	385.49	22.60 ST
14.0000	SYSCO CORPORATION	10/04/11	07/30/12	408.10	354.49	53.61 ST
11.0000	SYSCO CORPORATION	12/20/11	07/30/12	320.65	319.66	0.99 ST
7.0000	TECH DATA CORP	03/10/10	07/30/12	351.95	302.29	49.66 LT
7.0000	TECH DATA CORP	03/26/10	07/30/12	351.95	296.17	55.78 LT
6.0000	TECH DATA CORP	04/29/10	07/30/12	301.68	263.44	38.24 LT
3.0000	TESORO CORP	07/18/11	07/30/12	82.94	69.03	13.91 LT
21.0000	TESORO CORP	07/27/11	07/30/12	580.64	515.90	64.74 LT
12.0000	TESORO CORP	07/19/12	07/30/12	331.80	325.56	6.24 ST
32.0000	TEXTRON INC	02/21/12	07/30/12	835.82	889.00	(53.18) ST

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RODERICK S FLOSSIE R & HELEN



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Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
16.0000	TEXTRON INC	03/14/12	07/30/12	417.91	439.81	(21.90) S
1.0000	TARGET CORP	01/24/11	07/30/12	61.51	55.65	5.86 L
7.0000	TARGET CORP	02/14/11	07/30/12	430.63	377.09	53.54 L
5.0000	TARGET CORP	04/11/11	07/30/12	307.59	246.74	60.85 L
9.0000	TARGET CORP	04/18/11	07/30/12	553.66	451.85	101.81 L
5.0000	TARGET CORP	05/17/11	07/30/12	307.59	252.87	54.72 L
6.0000	TARGET CORP	06/01/11	07/30/12	369.11	297.51	71.60 L
7.0000	TARGET CORP	06/20/11	07/30/12	430.63	328.12	102.51 L
9.0000	TARGET CORP	07/13/11	07/30/12	553.67	459.25	94.42 L
13.0000	TARGET CORP	07/28/11	07/30/12	799.75	659.75	140.00 L
8.0000	TARGET CORP	08/25/11	07/30/12	492.15	404.40	87.75 S
6.0000	TARGET CORP	09/09/11	07/30/12	369.12	301.56	67.56 S
5.0000	TARGET CORP	09/15/11	07/30/12	307.60	257.45	50.15 S
3.0000	TARGET CORP	09/16/11	07/30/12	184.56	159.01	25.55 S
8.0000	TRAVELERS COS INC	04/20/12	07/30/12	505.95	500.41	5.54 S
51.0000	TRAVELERS COS INC	04/25/12	07/30/12	3,225.44	3,243.33	(17.89) S
34.0000	TRAVELERS COS INC	04/26/12	07/30/12	2,150.30	2,175.40	(25.10) S
15.0000	TRAVELERS COS INC	05/03/12	07/30/12	948.67	973.21	(24.54) S
5.0000	TIME WARNER CABLE INC	05/25/11	07/30/12	426.19	379.74	46.45 L
4.0000	TIME WARNER CABLE INC	06/24/11	07/30/12	340.95	298.60	42.35 L
7.0000	TIME WARNER CABLE INC	08/15/11	07/30/12	596.66	454.82	141.84 S
6.0000	TIME WARNER CABLE INC	08/24/11	07/30/12	511.43	379.29	132.14 S
5.0000	TIME WARNER CABLE INC	09/09/11	07/30/12	426.19	311.84	114.35 S
11.0000	TIME WARNER CABLE INC	09/16/11	07/30/12	937.62	714.12	223.50 S
5.0000	TIME WARNER CABLE INC	12/27/11	07/30/12	426.19	319.21	106.98 S
10.0000	TIME WARNER CABLE INC	01/04/12	07/30/12	852.39	651.08	201.31 S
4.0000	UNITEDHEALTH GROUP INC	07/01/09	07/30/12	212.11	101.19	110.92 L
5.0000	UNITEDHEALTH GROUP INC	07/13/09	07/30/12	265.14	124.80	140.34 L
32.0000	UNITEDHEALTH GROUP INC	07/20/09	07/30/12	1,696.92	796.01	900.91 L
13.0000	UNITEDHEALTH GROUP INC	07/21/09	07/30/12	689.37	330.96	358.41 L
15.0000	UNITEDHEALTH GROUP INC	07/22/09	07/30/12	795.43	388.86	406.57 L
4.0000	UNITEDHEALTH GROUP INC	10/31/11	07/30/12	212.11	194.09	18.02 S
8.0000	UNITEDHEALTH GROUP INC	05/21/12	07/30/12	424.23	440.21	(15.98) S
8.0000	UNITEDHEALTH GROUP INC	07/03/12	07/30/12	424.23	448.05	(23.82) S
18.0000	UNITEDHEALTH GROUP INC	07/27/12	07/30/12	954.54	946.65	7.89 S
4.0000	ULTA SALON COSMETICS &	06/15/11	07/30/12	346.91	235.82	111.09 L
6.0000	ULTA SALON COSMETICS &	06/17/11	07/30/12	520.36	345.36	175.00 L
5.0000	ULTA SALON COSMETICS &	06/20/11	07/30/12	433.64	291.45	142.19 L
6.0000	ULTA SALON COSMETICS &	07/14/11	07/30/12	520.37	390.31	130.06 L
4.0000	ULTA SALON COSMETICS &	09/14/11	07/30/12	346.91	277.43	69.48 S

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4.0000	ULTA SALON COSMETICS &	09/28/11	07/30/12	346.91	279.49	67.42 ST
3.0000	ULTA SALON COSMETICS &	12/20/11	07/30/12	260.20	200.27	59.93 ST
3.0000	VALERO ENERGY CORP NEW	02/03/11	07/30/12	78.28	77.81	0.47 LT
12.0000	VALERO ENERGY CORP NEW	03/15/11	07/30/12	313.13	335.81	(22.68) LT
34.0000	VALERO ENERGY CORP NEW	05/25/11	07/30/12	887.21	890.04	(2.83) LT
25.0000	VALERO ENERGY CORP NEW	05/31/11	07/30/12	652.36	679.71	(27.35) LT
28.0000	VALERO ENERGY CORP NEW	06/06/11	07/30/12	730.66	714.27	16.39 LT
2.0000	VISA INC CL A SHRS	12/27/11	07/30/12	261.51	204.87	56.64 ST
4.0000	VISA INC CL A SHRS	01/05/12	07/30/12	523.02	402.66	120.36 ST
7.0000	VISA INC CL A SHRS	01/12/12	07/30/12	915.30	704.52	210.78 ST
10.0000	VISA INC CL A SHRS	01/23/12	07/30/12	1,307.57	997.42	310.15 ST
10.0000	VISA INC CL A SHRS	03/05/12	07/30/12	1,307.57	1,163.62	143.95 ST
2.0000	VISA INC CL A SHRS	04/02/12	07/30/12	261.51	238.03	23.48 ST
15.0000	VISA INC CL A SHRS	06/08/12	07/30/12	1,961.36	1,737.49	223.87 ST
3.0000	VISA INC CL A SHRS	06/11/12	07/30/12	392.27	352.57	39.70 ST
6.0000	VISA INC CL A SHRS	06/28/12	07/30/12	784.56	734.13	50.43 ST
25.0000	VISHAY INTERTECHNLGY	04/29/10	07/30/12	217.99	274.37	(56.38) LT
19.0000	VISHAY INTERTECHNLGY	12/14/10	07/30/12	165.68	280.94	(115.26) LT
19.0000	WYNDHAM WORLDWIDE CORP W	07/09/12	07/30/12	997.85	999.22	(1.37) ST
21.0000	WYNDHAM WORLDWIDE CORP W	07/12/12	07/30/12	1,102.89	1,051.50	51.39 ST
6.0000	WYNDHAM WORLDWIDE CORP W	07/13/12	07/30/12	577.71	552.40	25.31 ST
7.0000	WAL-MART STORES INC	07/19/12	07/30/12	315.12	307.21	7.91 ST
10.0000	WAL-MART STORES INC	03/31/11	07/30/12	524.39	364.18	160.21 LT
7.0000	WAL-MART STORES INC	04/04/11	07/30/12	749.13	522.12	227.01 LT
10.0000	WAL-MART STORES INC	04/11/11	07/30/12	524.39	369.00	155.39 LT
9.0000	WAL-MART STORES INC	04/12/11	07/30/12	749.13	532.31	216.82 LT
29.0000	WAL-MART STORES INC	04/14/11	07/30/12	674.22	492.74	181.48 LT
11.0000	WAL-MART STORES INC	04/18/11	07/30/12	2,172.49	1,546.73	625.76 LT
20.0000	WAL-MART STORES INC	05/17/11	07/30/12	824.05	611.74	212.31 LT
3.0000	WAL-MART STORES INC	05/31/11	07/30/12	1,498.27	1,101.29	396.98 LT
6.0000	WAL-MART STORES INC	08/31/11	07/30/12	224.74	159.61	65.13 ST
20.0000	WALGREEN CO	12/06/11	07/30/12	449.49	350.73	98.76 ST
7.0000	WALGREEN CO	05/19/11	07/30/12	721.98	882.01	(160.03) LT
16.0000	WALGREEN CO	05/20/11	07/30/12	252.69	306.82	(54.13) LT
5.0000	WALGREEN CO	05/25/11	07/30/12	577.59	706.82	(129.23) LT
10.0000	WALGREEN CO	06/14/11	07/30/12	180.49	219.40	(38.91) LT
7.0000	WALGREEN CO	06/20/11	07/30/12	360.99	450.37	(89.38) LT
6.0000	WALGREEN CO	07/14/11	07/30/12	252.69	297.95	(45.26) LT
8.0000	WALGREEN CO	07/27/11	07/30/12	216.60	235.26	(18.66) LT
		08/04/11	07/30/12	288.80	302.23	(13.43) ST

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RODERICK S FLOSSIE R & HELEN

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8.0000	WALGREEN CO	09/19/11	07/30/12	288.81	293.38	(4.57) S
11.0000	WHIRLPOOL CORP	10/05/11	07/30/12	740.83	588.37	152.46 S
4.0000	WHIRLPOOL CORP	10/25/11	07/30/12	269.40	230.11	39.29 S
61.0000	WELLS FARGO & CO NEW DEL	05/16/11	07/30/12	2,080.21	1,718.66	361.55 L
9.0000	WELLS FARGO & CO NEW DEL	05/17/11	07/30/12	306.91	254.88	52.03 L
12.0000	WELLS FARGO & CO NEW DEL	05/19/11	07/30/12	409.22	343.74	65.48 L
23.0000	WELLS FARGO & CO NEW DEL	05/31/11	07/30/12	784.34	649.37	134.97 L
22.0000	WELLS FARGO & CO NEW DEL	06/14/11	07/30/12	750.24	605.99	144.25 L
10.0000	WELLS FARGO & CO NEW DEL	06/20/11	07/30/12	341.01	270.69	70.32 L
17.0000	WELLS FARGO & CO NEW DEL	07/06/11	07/30/12	579.73	475.41	104.32 L
18.0000	WELLS FARGO & CO NEW DEL	11/10/11	07/30/12	613.83	456.90	156.93 S
9.0000	WELLS FARGO & CO NEW DEL	11/11/11	07/30/12	306.92	230.62	76.30 S
28.0000	WELLS FARGO & CO NEW DEL	11/18/11	07/30/12	954.86	694.59	260.27 S
21.0000	WELLS FARGO & CO NEW DEL	11/23/11	07/30/12	716.15	491.72	224.43 S
12.0000	WELLS FARGO & CO NEW DEL	01/27/12	07/30/12	409.23	350.86	58.37 S
13.0000	WELLPOINT INC	06/29/09	07/30/12	711.99	668.18	43.81 L
15.0000	WELLPOINT INC	06/30/09	07/30/12	821.53	760.99	60.54 L
11.0000	WELLPOINT INC	07/01/09	07/30/12	602.46	558.76	43.70 L
8.0000	WELLPOINT INC	07/02/09	07/30/12	438.15	399.31	38.84 L
13.0000	WELLPOINT INC	07/06/09	07/30/12	712.01	647.91	64.10 L

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RODERICK S FLOSSIE R & HELEN

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FISCAL YEAR ACTIVITY

Date	Transaction	Quantity	Description	Price	Debit	Credit
Other Activity						
09/27/12	Journal Entry		TR TO 70602442		90,000.00	
10/09/12	Journal Entry		QRLY FEE \$2,962.51		2,962.51	
01/15/13	Journal Entry		QRLY FEE \$2,938.16		2,938.16	
02/12/13	Journal Entry		TR TO 70602442		1,200.00	
02/19/13	Journal Entry		TR TO 70602442		8,800.00	
04/09/13	Journal Entry		QRLY FEE \$3,001.46		3,001.46	
04/30/13	Journal Entry		TR FROM 70602453			403,559.74
05/01/13	Transferred		TFR FM 706-02453			896.00
05/16/13	Journal Entry		TFR FM 706-02453			27.75
05/29/13	Journal Entry		TR TO 70602442		140,000.00	
07/09/13	Journal Entry		QRLY FEE \$3,082.53		3,082.53	
	Net Total				441,984.66	630,242.74

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1,687.0000	NEW GERMANY FUND	03/24/11	07/30/12	23,708.04	28,717.46	(5,009.42) LT
66.0000	NEW GERMANY FUND	01/30/12	07/30/12	927.53	914.10	13.43 ST
1,790.0000	ISHARES MSCI CDA INDX FD	03/24/11	07/30/12	47,514.49	60,000.62	(12,486.13) LT
12.0000	MAINSTAY FLT RATE FD I CXL	02/28/11	07/30/12	113.28	114.36	1.08 LT
12.0000	MAINSTAY FLT RATE FD I	02/28/11	07/30/12	113.28	114.36	N/C
1.0000	MAINSTAY FLT RATE FD I CXL	03/24/11	07/30/12	9.44	9.52	0.08 LT
1.0000	MAINSTAY FLT RATE FD I	03/24/11	07/30/12	9.44	9.52	N/C
1,338.0000	MAINSTAY FLT RATE FD I	03/24/11	07/30/12	12,630.75	12,711.00	80.25 LT
33.0000	MAINSTAY FLT RATE FD I	03/24/11	07/30/12	311.52	313.50	N/C
1,305.0000	MAINSTAY FLT RATE FD I	03/24/11	07/30/12	12,319.23	12,397.50	(78.27) LT
10,845.0000	LORD ABB SHRT DUR INC F CXL	08/02/10	07/30/12	49,995.45	50,212.35	216.90 LT
77.0000	LORD ABB SHRT DUR INC F	08/02/10	07/30/12	354.97	356.51	N/C
10,768.0000	LORD ABB SHRT DUR INC F	08/02/10	07/30/12	49,640.48	49,855.84	(215.36) LT
880.0000	GABELLI DIV & INC TR	08/06/08	09/24/12	14,891.21	15,274.07	(382.86) LT
1,700.0000	EATON VANCE TAX-MANAGED	08/02/10	09/24/12	16,184.82	20,584.96	(4,400.14) LT
1,300.0000	EATON VANCE TAX-MANAGED	08/05/10	09/24/12	12,376.64	15,928.90	(3,552.26) LT

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706-02520

00032916

00-17-6060B-IPSS000 05-2011





RODERICK S FLOSSIE R & HELEN



Fiscal Statement

REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
4,891.0000	TCW EMERG MKT INCOME I	07/30/12	09/24/12	44,997.20	44,214.64	782.56 S
0.3040	TCW EMERG MKT INCOME I	08/31/12	09/24/12	2.80	2.77	0.03 S
880.0000	GABELLI DIV & INC TR CXL	08/06/08	09/24/12	14,891.21	15,274.07	382.86 L
880.0000	GABELLI DIV & INC TR	08/06/08	09/24/12	14,891.21	15,090.74	(199.53) L
1,700.0000	EATON VANCE TAX-MANAGED CXL	08/02/10	09/24/12	16,184.82	20,584.96	4,400.14 L
1,700.0000	EATON VANCE TAX-MANAGED	08/02/10	09/24/12	16,184.82	19,359.04	(3,174.22) L
1,300.0000	EATON VANCE TAX-MANAGED	08/05/10	09/24/12	12,376.64	15,928.90	3,552.26 L
1,300.0000	EATON VANCE TAX-MANAGED	08/05/10	09/24/12	12,376.64	14,991.44	(2,614.80) L
4,800.0000	EATON VANCE TAX-MANAGED	08/05/10	09/24/12	48,478.91	54,252.10	(5,773.19) L
476.0000	PRDNTL JEN NAT RES FD Z	11/04/09	02/01/13	23,447.75	20,939.24	2,508.51 L
19.0000	PRDNTL JEN NAT RES FD Z	11/24/09	02/01/13	935.94	854.62	81.32 L
12.0000	PRDNTL JEN NAT RES FD Z	11/30/10	02/01/13	591.12	645.23	(54.11) L
1.0000	PRDNTL JEN NAT RES FD Z	03/24/11	02/01/13	49.25	48.38	0.87 L
0.0050	PRDNTL JEN NAT RES FD Z	03/24/11	02/01/13	0.25	0.31	(0.06) L
814.0000	PRDNTL JEN NAT RES FD Z	03/24/11	02/01/13	40,097.66	49,955.18	(9,857.52) L
6,200.0000	DELAWARE DVSF INC INST	03/24/11	02/01/13	57,660.00	57,226.00	434.00 L
17,667.0000	DOUBLELINE TOT RTRN BD I	07/30/12	02/01/13	200,343.77	199,990.44	353.33 S
1.0000	DOUBLELINE TOT RTRN BD I	07/31/12	02/01/13	11.32	11.32	0.01 S
88.0000	DOUBLELINE TOT RTRN BD I	07/31/12	02/01/13	997.92	990.88	7.04 S
90.0000	DOUBLELINE TOT RTRN BD I	08/31/12	02/01/13	1,020.60	1,020.60	0.00
73.0000	DOUBLELINE TOT RTRN BD I	09/28/12	02/01/13	827.82	832.19	N/C
10.0000	DOUBLELINE TOT RTRN BD I	09/28/12	02/01/13	113.40	114.00	(0.60) S
73.0000	DOUBLELINE TOT RTRN BD I	09/28/12	02/01/13	828.55	832.18	(3.63) S
1.0000	DOUBLELINE TOT RTRN BD I	10/31/12	02/01/13	11.34	11.32	0.02 S
83.0000	DOUBLELINE TOT RTRN BD I	10/31/12	02/01/13	941.22	943.71	(2.49) S
80.0000	DOUBLELINE TOT RTRN BD I	11/30/12	02/01/13	907.20	908.79	(1.59) S
90.0000	DOUBLELINE TOT RTRN BD I	12/31/12	02/01/13	1,020.62	1,019.70	0.92 S
0.0760	DOUBLELINE TOTAL RETURN	01/31/13	02/01/13	0.86	0.86	0.00
0.5310	DOUBLELINE TOT RTRN BD I	01/31/13	02/01/13	6.01	6.02	(0.01) S
0.9240	DOUBLELINE TOT RTRN BD I	01/31/13	02/01/13	10.49	10.49	0.00
6,380.0000	GLDM SCH STG INC FD C I	03/24/11	02/11/13	66,607.19	63,991.40	2,615.79 L
1.0000	GLDM SCH STG INC FD C I	03/31/11	02/11/13	10.44	10.03	0.41 L
5.0000	GLDM SCH STG INC FD C I	03/31/11	02/11/13	52.20	50.14	2.06 L
1.0000	GLDM SCH STG INC FD C I	04/29/11	02/11/13	10.43	10.06	0.37 L
17.0000	GLDM SCH STG INC FD C I	04/29/11	02/11/13	177.48	171.69	5.79 L
19.0000	GLDM SCH STG INC FD C I	05/31/11	02/11/13	198.36	191.70	6.66 L
1.0000	GLDM SCH STG INC FD C I	06/30/11	02/11/13	10.44	10.02	0.42 L
20.0000	GLDM SCH STG INC FD C I	06/30/11	02/11/13	208.80	199.19	9.61 L
24.0000	GLDM SCH STG INC FD C I	07/29/11	02/11/13	250.56	240.48	10.08 L
21.0000	GLDM SCH STG INC FD C I	08/31/11	02/11/13	219.24	205.38	13.86 L

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RODERICK S FLOSSIE R & HELEN



Fiscal Statement

REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
1.0000	GLDM SCH STG INC FD C I	09/30/11	02/11/13	10.44	9.82	0.62 LT
22.0000	GLDM SCH STG INC FD C I	09/30/11	02/11/13	229.68	209.87	19.81 LT
1.0000	GLDM SCH STG INC FD C I	10/31/11	02/11/13	10.44	9.59	0.85 LT
15.0000	GLDM SCH STG INC FD C I	10/31/11	02/11/13	156.60	145.05	11.55 LT
1.0000	GLDM SCH STG INC FD C I	11/30/11	02/11/13	10.44	9.62	0.82 LT
13.0000	GLDM SCH STG INC FD C I	11/30/11	02/11/13	135.72	123.75	11.97 LT
40.0000	GLDM SCH STG INC FD C I	12/30/11	02/11/13	417.60	379.59	38.01 LT
1.0000	GLDM SCH STG INC FD C I	01/31/12	02/11/13	10.44	9.52	0.92 LT
9.0000	GLDM SCH STG INC FD C I	01/31/12	02/11/13	93.96	86.48	7.48 LT
16.0000	GLDM SCH STG INC FD C I	02/29/12	02/11/13	167.04	156.16	10.88 ST
1.0000	GLDM SCH STG INC FD C I	03/30/12	02/11/13	10.44	9.79	0.65 ST
14.0000	GLDM SCH STG INC FD C I	03/30/12	02/11/13	146.16	138.17	7.99 ST
27.0000	GLDM SCH STG INC FD C I	04/30/12	02/11/13	281.88	265.67	16.21 ST
1.0000	GLDM SCH STG INC FD C I	05/31/12	02/11/13	10.44	9.78	0.66 ST
19.0000	GLDM SCH STG INC FD C I	05/31/12	02/11/13	198.36	184.49	13.87 ST
18.0000	GLDM SCH STG INC FD C I	06/29/12	02/11/13	187.92	175.68	12.24 ST
20.0000	GLDM SCH STG INC FD C I	07/31/12	02/11/13	208.80	198.79	10.01 ST
23.0000	GLDM SCH STG INC FD C I	08/31/12	02/11/13	240.12	230.91	9.21 ST
1.0000	GLDM SCH STG INC FD C I	09/28/12	02/11/13	10.44	10.10	0.34 ST
23.0000	GLDM SCH STG INC FD C I	09/28/12	02/11/13	240.12	234.13	5.99 ST
1.0000	GLDM SCH STG INC FD C I	11/01/12	02/11/13	10.44	10.21	0.23 ST
20.0000	GLDM SCH STG INC FD C I	11/01/12	02/11/13	208.80	204.60	4.20 ST
22.0000	GLDM SCH STG INC FD C I	11/30/12	02/11/13	229.68	225.94	3.74 ST
1.0000	GLDM SCH STG INC FD C I	12/31/12	02/11/13	10.44	10.27	0.17 ST
71.0000	GLDM SCH STG INC FD C I	12/31/12	02/11/13	741.25	734.14	7.11 ST
1.0000	GLDM SCH STG INC FD C I	01/31/13	02/11/13	10.44	10.37	0.07 ST
0.5350	GLDM SCH STG INC FD C I	01/31/13	02/11/13	5.59	5.58	0.01 ST
23.0000	GLDM SCH STG INC FD C I	01/31/13	02/11/13	240.13	240.12	0.01 ST
1.0000	MAINSTAY FLT RATE FD I	12/31/10	02/01/13	9.60	9.48	0.12 LT
19.0000	MAINSTAY FLT RATE FD I	12/31/10	02/01/13	182.59	179.35	3.24 LT
19.0000	MAINSTAY FLT RATE FD I	01/31/11	02/01/13	182.58	180.48	2.10 LT
1.0000	MAINSTAY FLT RATE FD I	02/28/11	02/01/13	9.60	9.48	0.12 LT
6.0000	MAINSTAY FLT RATE FD I	02/28/11	02/01/13	57.65	56.94	0.71 LT
12.0000	MAINSTAY FLT RATE FD I	03/01/11	02/01/13	115.32	114.48	0.84 LT
4,042.0000	MAINSTAY FLT RATE FD I	03/24/11	02/01/13	38,843.66	38,399.00	444.66 LT
6,500.0000	LORD ABB SHRT DUR INC F	08/02/10	02/01/13	30,225.00	30,095.00	130.00 LT
2,300.0000	LORD ABBETT FLOATING	05/13/10	02/01/13	21,804.00	21,228.99	575.01 LT

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