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Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052

2012

Open to Public Inspection

For calendar year 2012, or tax year beginning 09-01-2012 , and ending 08-31-2013

Name of foundation
RICHARD MCCONNELL FAMILY FOUNDATION

A Employer identification number
42-1493274

Number and street (or P O box number if mail is not delivered to street address)
7295 NW 100TH STREET

Room/suite

B Telephone number (see instructions)
(515) 986-4574

City or town, state, and ZIP code
GRIMES, IA 50111

C If exemption application is pending, check here ☐

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

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

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

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

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶$ 1,563,450

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

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

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

			(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)	241,007			
	2	Check ▶ ☐ if the foundation is **not** required to attach Sch B				
	3	Interest on savings and temporary cash investments	1,486	1,486		
	4	Dividends and interest from securities.	34,202	34,202		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	20,304			
	b	Gross sales price for all assets on line 6a 269,703				
	7	Capital gain net income (from Part IV, line 2) . . .		20,304		
	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) (attach schedule)				
	11	Other income (attach schedule)	2,094	1,345		
	12	**Total.** Add lines 1 through 11	299,093	57,337		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc				
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule).				
	b	Accounting fees (attach schedule).	3,330	1,665		1,665
	c	Other professional fees (attach schedule)	10,863	5,432		4,531
	17	Interest				
	18	Taxes (attach schedule) (see instructions)	1,186	437		
	19	Depreciation (attach schedule) and depletion . . .				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule)	2,117	2,117		
	24	**Total operating and administrative expenses.** Add lines 13 through 23	17,496	9,651		6,196
	25	Contributions, gifts, grants paid	138,500			138,500
	26	**Total expenses and disbursements.** Add lines 24 and 25	155,996	9,651		144,696
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	143,097			
	b	**Net investment income** (if negative, enter -0-)		47,686		
	c	**Adjusted net income** (if negative, enter -0-) . . .				

Part II Balance Sheets	Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year (a) Book Value	End of year (b) Book Value	(c) Fair Market Value
Assets	1 Cash—non-interest-bearing	229,121	74,347	74,348
	2 Savings and temporary cash investments			
	3 Accounts receivable ▶			
	Less allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 15 of the instructions)			
	7 Other notes and loans receivable (attach schedule) ▶			
	Less allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments—U S and state government obligations (attach schedule)			
	b Investments—corporate stock (attach schedule)			
	c Investments—corporate bonds (attach schedule)			
	11 Investments—land, buildings, and equipment basis ▶			
	Less accumulated depreciation (attach schedule) ▶			
	12 Investments—mortgage loans			
	13 Investments—other (attach schedule)	1,089,191	1,387,062	1,489,102
	14 Land, buildings, and equipment basis ▶			
	Less accumulated depreciation (attach schedule) ▶			
	15 Other assets (describe ▶)			
	16 **Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I)	1,318,312	1,461,409	1,563,450
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 (attach schedule)			
	22 Other liabilities (describe ▶)			
	23 **Total liabilities** (add lines 17 through 22)		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			
	28 Paid-in or capital surplus, or land, bldg , and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds	1,318,312	1,461,409	
	30 **Total net assets or fund balances** (see page 17 of the instructions)	1,318,312	1,461,409	
	31 **Total liabilities and net assets/fund balances** (see page 17 of the instructions)	1,318,312	1,461,409	

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	1,318,312
2	Enter amount from Part I, line 27a	2	143,097
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	1,461,409
5	Decreases not included in line 2 (itemize) ▶	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	1,461,409

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)
1 a	GUGGENHEIM MNGD FUTRS STRAT	P	2008-11-07	2012-12-20
b	MSSB 13-529 SEE ATTACHED DETAIL	P	2012-06-01	2013-01-01
c	MSSB 13-529 SEE ATTACHED DETAIL	P	2010-01-01	2013-01-01
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	40,758		55,477	-14,719
b	65,933		57,580	8,353
c	160,984		136,342	24,642
d				
e				

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h))
	(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a				-14,719
b				8,353
c				24,642
d				
e				

2	Capital gain net income or (net capital loss)	If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7	2	20,304
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8		3	8,353

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 page 18 of 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	107,839	1,195,549	0 090200
2010	44,938	1,319,393	0 034060
2009	18,999	1,151,765	0 016496
2008	101,537	1,025,432	0 099019
2007	52,090	1,219,900	0 042700

2	**Total** of line 1, column (d).	2	0 282475
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years . . .	3	0 056495
4	Enter the net value of noncharitable-use assets for 2012 from Part X, line 5.	4	1,458,470
5	Multiply line 4 by line 3.	5	82,396
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	477
7	Add lines 5 and 6.	7	82,873
8	Enter qualifying distributions from Part XII, line 4.	8	144,696

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 page 18 of the instructions)

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1 Date of ruling or determination letter ____________ **(attach copy of letter if necessary–see instructions)**				
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☑ and enter 1% of Part I, line 27b			1	477
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)				
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)			2	
3	Add lines 1 and 2			3	477
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)			4	
5	**Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0-			5	477
6	Credits/Payments				
a	2012 estimated tax payments and 2011 overpayment credited to 2012	6a	749		
b	Exempt foreign organizations—tax withheld at source	6b			
c	Tax paid with application for extension of time to file (Form 8868)	6c			
d	Backup withholding erroneously withheld	6d			
7	Total credits and payments Add lines 6a through 6d			7	749
8	Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached			8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶			9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶			10	272
11	Enter the amount of line 10 to be **Credited to 2013 estimated tax** ▶ 272	**Refunded** ▶		11	

Part VII-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		No
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)?	1b		No
	*If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year **(1)** On the foundation ▶ $ ____________ **(2)** On foundation managers ▶ $ ____________			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ____________			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.*	2		No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		No
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		No
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes	
7	Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV*	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ ____________			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? *If "No," attach explanation*	8b	Yes	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		No
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10		No

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

		Line	Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
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		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	

Website address ▶N/A

14 The books are in care of ▶DEBORAH MCCONNELL Telephone no ▶(515) 986-4574

Located at ▶7295 NW 100TH STREET GRIMES IA ZIP +4 ▶50111

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 |

		Line	Yes	No
16	At any time during calendar year 2012, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		No

See instructions for exceptions and filing requirements for Form TD F 90-22 1 If "Yes", enter the name of the foreign country ▶

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

	File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.		**Yes**	**No**
1a	During the year did the foundation (either directly or indirectly)			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ **Yes** ☑ **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 page 20 of the instructions)?	1b		
	Organizations relying on a current notice regarding disaster assistance check here. ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2012?	1c		
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2012, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2012? ☐ **Yes** ☑ **No**			
	If "Yes," list the years ▶ 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement—see instructions)	2b		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ 20____, 20____, 20____, 20____			
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.)*	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
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		No

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

5a	During the year did the foundation pay or incur any amount to			
	(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☑ No			
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☑ No			
	(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☑ No			
	(4) Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions). ☐ Yes ☑ No			
	(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☑ No			
b	If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)?	**5b**		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No			
	If "Yes," attach the statement required by Regulations section 53.4945–5(d).			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☑ No			
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	**6b**		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?	**7b**		

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

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).

(a) Name and address	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation **(If not paid, enter -0-)**	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances
RICHARD L MCCONNELL 7295 NW 100TH ST GRIMES, IA 50111	TRUSTEE 1 00	0	0	0
DEBORAH K MCCONNELL 7295 NW 100TH ST GRIMES, IA 50111	TRUSTEE 1 00	0	0	0

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

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

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

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

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

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

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

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

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

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 N/A	
2	
All other program-related investments See page 24 of the instructions	
3	

Total. Add lines 1 through 3. . . . . ▶

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	1,352,540
b	Average of monthly cash balances	1b	128,140
c	Fair market value of all other assets (see instructions)	1c	0
d	**Total** (add lines 1a, b, and c)	1d	1,480,680
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e		
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	1,480,680
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	22,210
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	1,458,470
6	**Minimum investment return.** Enter 5% of line 5	6	72,924

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	72,924
2a	Tax on investment income for 2012 from Part VI, line 5	2a	477		
b	Income tax for 2012 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	477
3	Distributable amount before adjustments Subtract line 2c from line 1			3	72,447
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	72,447
6	Deduction from distributable amount (see instructions)			6	
7	**Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1			7	72,447

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	144,696
b	Program-related investments—total from Part IX-B	1b	
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	144,696
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions)	5	477
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	144,219

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					72,447
2 Undistributed income, if any, as of the end of 2012					
a Enter amount for 2011 only.					
b Total for prior years 20___, 20___, 20___					
3 Excess distributions carryover, if any, to 2012					
a From 2007.					
b From 2008.					
c From 2009.					
d From 2010.					
e From 2011.	39,116				
f **Total** of lines 3a through e.		39,116			
4 Qualifying distributions for 2012 from Part XII, line 4 ▶ $ 144,696					
a Applied to 2011, but not more than line 2a					
b Applied to undistributed income of prior years (Election required—see instructions).					
c Treated as distributions out of corpus (Election required—see instructions).					
d Applied to 2012 distributable amount.					72,447
e Remaining amount distributed out of corpus		72,249			
5 Excess distributions carryover applied to 2012 *(If an amount appears in column (d), the same amount must be shown in column (a).)*					
6 **Enter the net total of each column as indicated below:**					
a Corpus Add lines 3f, 4c, and 4e Subtract line 5		111,365			
b Prior years' undistributed income Subtract line 4b from line 2b					
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.					
d Subtract line 6c from line 6b Taxable amount —see instructions					
e Undistributed income for 2011 Subtract line 4a from line 2a Taxable amount—see instructions					
f Undistributed income for 2012 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2013					0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)					
8 Excess distributions carryover from 2007 not applied on line 5 or line 7 (see instructions) . . .					
9 **Excess distributions carryover to 2013.** Subtract lines 7 and 8 from line 6a		111,365			
10 Analysis of line 9					
a Excess from 2008. . . .					
b Excess from 2009. . . .					
c Excess from 2010. . . .					
d Excess from 2011. . . .	39,116				
e Excess from 2012. . . .	72,249				

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

1a 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 organization 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	
2a 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 organization 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))

RICHARD MCCONNELL

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

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 of the person to whom applications should be addressed

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

c Any submission deadlines

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

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year* See Additional Data Table				
Total . . . . ▶ **3a**				138,500
b *Approved for future payment*				
Total . . . . ▶ **3b**				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
1 Program service revenue	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments. . . .					
3 Interest on savings and temporary cash investments			14	1,486	
4 Dividends and interest from securities. . . .			14	34,202	
5 Net rental income or (loss) from real estate					
a Debt-financed property.					
b Not debt-financed property.					
6 Net rental income or (loss) from personal property					
7 Other investment income.			18	1,345	
8 Gain or (loss) from sales of assets other than inventory			18	20,304	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory. .					
11 Other revenue a FEDERAL TAX REFUND			41	749	
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e). .				58,086	

13 Total. Add line 12, columns (b), (d), and (e). 13 58,086

(See worksheet in line 13 instructions to verify calculations)

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

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

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

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

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

(a) Line No	**(b)** Amount involved	**(c)** Name of noncharitable exempt organization	**(d)** Description of transfers, transactions, and sharing arrangements

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

b If "Yes," complete the following schedule

(a) Name of organization	**(b)** Type of organization	**(c)** Description of relationship

Sign Here

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

****** | 2014-01-10 | ******

Signature of officer or trustee | Date | Title

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed ☐	PTIN
MATT JUFFER	MATT JUFFER	2014-02-07		

Firm's name ▶ HAMILTON JUFFER & ASSOCIATES LLP

Firm's EIN ▶

Firm's address ▶ 666 GRAND AVE STE 2400 DES MOINES, IA 503092506

Phone no (515) 245-3737

Form 990PF Part XV Line 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*				
BLANK CHILDREN'S HOSPITAL 1440 INGERSOLL AVE DES MOINES, IA 50309	NONE	CHARITY	OPERATING FUND	30,000
UNIVERSITY OF NEBRASKA 1010 LINCOLN MALL LINCOLN, NE 68508	NONE	CHARITY	OPERATING FUND	50,000
DES MOINES PERFORMING ARTS 221 WALNUT ST DES MOINES, IA 50309	NONE	CHARITY	OPERATING FUND	6,000
ST PAUL PRESBYTERIAN CHURCH 6426 MERLE HAY ROAD JOHNSTON, IA 50131	NONE	CHARITY	OPERATING FUND	10,000
MEALS FROM THE HEARTLAND 11160 AURORA AVE BLDG 13 URBANDALE, IA 503227903	NONE	CHARITY	OPERATING FUND	10,000
UNITED WAY OF CENTRAL IOWA 1111 NINTH ST STE 100 DES MOINES, IA 50314	NONE	CHARITY	OPERATING FUND	27,500
THE NATURE CONSERVANCY 303 LOCUST STREET DES MOINES, IA 50309	NONE	CHARITY	OPERATING FUND	5,000
Total . . . . ▶ **3a**				138,500

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Schedule B
(Form 990, 990-EZ, or 990-PF)
Department of the Treasury
Internal Revenue Service

Schedule of Contributors

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

OMB No 1545-0047

2012

Name of the organization
RICHARD MCCONNELL FAMILY FOUNDATION

Employer identification number
42-1493274

Organization type (check one)

Filers of:	**Section:**
Form 990 or 990-EZ	☐ 501(c)( ) (enter number) organization
	☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
	☐ 527 political organization
Form 990-PF	☑ 501(c)(3) exempt private foundation
	☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
	☐ 501(c)(3) taxable private foundation

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

General Rule

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

Special Rules

☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of **(1)** $5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1 Complete Parts I and II

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than $1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals Complete Parts I, II, and III

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc , purposes, but these contributions did not total to more than $1,000 If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc , purpose Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc , contributions of $5,000 or more during the year . . . . ▶ $ ____________

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

Name of organization
RICHARD MCCONNELL FAMILY FOUNDATION

Employer identification number
42-1493274

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

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	RICHARD AND DEBORAH K MCCONNELL 7295 NW 100TH STREET GRIMES, IA 50111	$ 241,007	Person ☑ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)

Name of organization	Employer identification number
RICHARD MCCONNELL FAMILY FOUNDATION	42-1493274

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

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

Name of organization
RICHARD MCCONNELL FAMILY FOUNDATION

Employer identification number
42-1493274

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

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP 4	Relationship of transferor to transferee

TY 2012 Accounting Fees Schedule

Name: RICHARD MCCONNELL FAMILY FOUNDATION

EIN: 42-1493274

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INDIRECT ACCOUNTING FEES	3,330	1,665		1,665

TY 2012 Compensation Explanation

Name: RICHARD MCCONNELL FAMILY FOUNDATION

EIN: 42-1493274

Person Name	Explanation
RICHARD L MCCONNELL	
DEBORAH K MCCONNELL	

TY 2012 Investments - Other Schedule

Name: RICHARD MCCONNELL FAMILY FOUNDATION

EIN: 42-1493274

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
COMMON STOCKS 316-12	AT COST	192,064	165,387
ETFS AND CLOSED END FUNDS 316-12	AT COST	20,000	23,290
GOVERNMENT AND GSE BONDS	AT COST	26,119	29,451
CERTIFICATES OF DEPOSIT	AT COST	82,091	77,005
MUTUAL FUNDS 316-12	AT COST	234,354	244,560
COMMON STOCKS 316-13	AT COST	429,354	517,405
PREFERRED STOCKS	AT COST	547	389
MUTUAL FUNDS 316-13	AT COST	8,426	8,426
ETFS AND CLOSED END FUNDS 316-14	AT COST	29,671	53,832
MUTUAL FUNDS 316-14	AT COST	266,530	275,128
COMMON STOCKS 316-14	AT COST		
UNIT INVESTMENT TRUSTS	AT COST	97,906	94,229

TY 2012 Other Expenses Schedule

Name: RICHARD MCCONNELL FAMILY FOUNDATION

EIN: 42-1493274

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXPENSES				
MISC EXPENSES	2,117	2,117		

TY 2012 Other Income Schedule

Name: RICHARD MCCONNELL FAMILY FOUNDATION

EIN: 42-1493274

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
OTHER INCOME	1,345	1,345	
FEDERAL TAX REFUND	749		

TY 2012 Other Professional Fees Schedule

Name: RICHARD MCCONNELL FAMILY FOUNDATION

EIN: 42-1493274

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INDIRECT OTHER PROFESSIONAL FEES	10,863	5,432		4,531

TY 2012 Taxes Schedule

Name: RICHARD MCCONNELL FAMILY FOUNDATION

EIN: 42-1493274

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INDIRECT TAXES/LICENSES	1,186	437		

MorganStanley
SmithBarney

Activity

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
ADECCO SA UNSPON ADR	06/08/09	09/06/12	15.000	$377.59	$343.43	$34.16	
BANCO SANTANDER S A	01/25/11	09/28/12	39.000	292.56	464.28	(171.72)	
CHEUNG KONG HOLDINGS ADR	01/02/08	09/07/12	15.000	219.07	287.20	(69.13)	
CIMAREX ENERGY CO	06/25/10	09/19/12	15.000	923.84	1,069.61	(145.77)	
DBS GROUP HOLDINGS LTD SP	01/02/08	09/21/12	4.000	188.99	227.60	(38.61)	
DIGITAL REALTY TRUST INC	04/22/08	09/19/12	23.000	1,685.90	908.28	777.56	
FAMILY DOLLAR STORES	11/16/10	09/19/12	27.000	1,718.45	1,299.49	418.96	
MEDTRONIC INC	08/31/10	09/18/12	19.000	815.22	602.58	213.64	
	08/31/10	09/18/12	13.000	558.46	412.29	146.17	
	08/31/10	09/18/12	2.000	85.92	63.43	22.49	
POLYPORE INTL INC	06/25/10	09/19/12	35.000	1,341.39	883.87	457.52	
REED ELSEVIER NV-SPONS ADR	10/15/10	09/28/12	9.000	240.24	203.45	36.79	
TAIWAN SMCNDCTR MFG CO LTD ADR	01/02/08	09/07/12	31.000	406.27	254.24	152.03	
WOLVERINE WORLD WIDE	05/30/08	09/19/12	35.000	1,588.58	1,028.73	559.85	
Long-Term This Period				$10,472.56	$8,078.50	$2,394.06	
Long-Term Year to Date				$57,307.42	$50,214.67	$7,092.75	

SHORT-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
ANDERSONS INC	12/21/11	09/19/12	25.000	1,077.35	1,238.93	(161.58)	
LAM RESEARCH CORPORATION	06/13/12	09/12/12	[illegible]	996.87	1,347.82	351.15	
SHAW GROUP INCORPORATED	03/27/12	09/[illegible]/12	4[illegible]	1,741.[illegible]	1,283.79	457.91	
Short-Term This Period				$3,815.72	$3,869.54	$(53.82)	
Short-Term Year to Date				$24,769.10	$26,515.23	$(1,746.13)	

Security Mark at Right

Activity

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
AETNA INC (NEW)(CT)	03/26/09	10/08/12	6 000	$251 94	$145 26	$106 68	
	03/26/09	10/25/12	9 000	400 17	217 88	182 29	
APPLE INC	03/11/09	10/10/12	1 000	639 49	93 54	545 95	
CHEVRON CORP	04/24/09	10/12/12	1 000	111 86	66 98	44 88	
	07/17/09	10/12/12	5 000	559 32	326 11	233 21	
	10/13/09	10/12/12	1 000	111 86	73 67	38 19	
	02/12/10	10/12/12	4 000	447 46	283 98	163 48	
CORNING INC	03/15/10	10/31/12	33 000	389 04	596 64	(207 60)	
	03/16/10	10/31/12	32 000	377 25	588 89	(211 64)	
	03/18/10	10/31/12	10 000	117 89	192 51	(74 62)	
	03/23/10	10/31/12	47 000	554 09	921 15	(367 06)	
F5 NETWORKS INC	08/15/11	10/10/12	21 000	2,091 66	1 777 07	314 59	
GILEAD SCIENCE	01/02/08	10/10/12	10 000	683 16	453 80	229 36	
TEVA PHARMACEUTICALS ADR	10/01/08	10/25/12	16 000	654 56	749 65	(95 09)	
	10/29/08	10/25/12	21 000	859 11	839 79	19 32	
	05/25/10	10/25/12	7 000	286 37	384 91	(98 54)	
	07/26/10	10/25/12	6 000	245 46	300 53	(55 07)	
	02/08/11	10/25/12	9 000	368 19	462 14	(93 95)	
UNILEVER NV NY SH NEW	10/23/08	10/25/12	12 000	439 41	284 86	154 55	
	10/23/08	10/25/12	3 000	109 85	71 22	38 63	
	10/23/08	10/25/12	2 000	73 24	47 48	25 76	
	10/31/08	10/25/12	37 000	1 354 85	883 01	471 84	
	10/31/08	10/25/12	7 000	256 32	167 06	89 26	
	02/06/09	10/25/12	24 000	878 82	514 27	364 55	
	02/05/09	10/25/12	4 000	146 47	85 71	60 76	
	02/07/11	10/25/12	4 000	146 47	118 88	27.59	
WESTERN UN CO	12/29/08	10/25/12	17 000	305 18	238 74	66 44	
	02/05/09	10/26/12	17 000	305 18	222 70	82 48	
	10/14/09	10/26/12	50 000	897 60	989 08	(91 48)	
	10/14/09	10/31/12	28 000	367 61	553 88	(186 27)	
	02/19/10	10/31/12	24 000	315 09	393 63	(78 54)	
Long-Term This Period				**$14,744 97**	**$13,045 02**	**$1,699.95**	
Long-Term Year to Date				**$72,052.39**	**$63,259 69**	**$8,792.70**	

005700 MSGDT303 008204

Activity

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

SHORT-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
CARNIVAL CP NEW PAIRED COM	[illegible]	10/25/12	[illegible]	386 44	353 52	32 62	
TEVA PHARMACEUTICALS ADR	[illegible]	10/25/12	[illegible]	409 09	393 41	15 6[illegible]	
UNILEVER NV NY SH NEW	[illegible]	10/25/12	[illegible]	146 48	130 04	16 44	
Short-Term This Period				$942 01	$827 35	$114 66	
Short Term Year to Date				$25,711 11	$27,342 58	$(1,631 47)	
Net Realized Gain/(Loss) This Period				$15,686 98	$13,872 37	$1,814 61	
Net Realized Gain/(Loss) Year to Date				$97,763 50	$90,602 27	$7,161 23	

New Treasury regulations require that we report your adjusted cost basis and classify the gain or loss as either long term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes. The information in this section is provided for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Expanded Disclosures for additional information.

Morgan Stanley

Activity

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

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MONEY MARKET FUND (MMF) AND BANK DEPOSITS ACTIVITY

Date	Activity Type	Description	Credits/(Debits)
11/2	Automatic Redemption	BANK DEPOSIT PROGRAM	$(632 96)
11/5	Automatic Investment	BANK DEPOSIT PROGRAM	752 93
11/7	Automatic Investment	BANK DEPOSIT PROGRAM	3 144 24
11/13	Automatic Investment	BANK DEPOSIT PROGRAM	288 75
11/15	Automatic Redemption	BANK DEPOSIT PROGRAM	(3 182 99)
11/19	Automatic Investment	BANK DEPOSIT PROGRAM	138 23
11/26	Automatic Investment	BANK DEPOSIT PROGRAM	269 51
11/29	Automatic Investment	BANK DEPOSIT PROGRAM	[illegible] 17
NET ACTIVITY FOR PERIOD			$777.89

SECURITY ACTIVITY

CORPORATE ACTIONS

Date	Activity Type	Description	Comments	Quantity
11/15	Exchange Delivered Out	BANCO SAN OPT A SELL RTS	EXCHANGE DIVIDEND PAID ON 11/13/12	56 000

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
AETNA INC (NEW)(CT)	03/26/09	11/01/12	12 000	$533 96	$290 51	$243 45	
	10/14/11	11/01/12	18 000	800 94	677 40	123 54	
	10/17/11	11/01/12	1 000	44 49	37 67	6 82	
ARCHER DANIELS MIDLAND	01/11/10	11/06/12	37 000	984 76	1 142 32	(157 56)	
	01/21/10	11/06/12	3 000	79 85	91 49	(11 64)	
	01/21/10	11/09/12	40 000	1 0[illegible]7 42	1 219 89	(202 47)	
	03/16/10	11/09/12	8 000	203 45	227 89	(24 41)	
	11/02/10	11/09/12	12 000	305 23	373 71	(68 48)	
	12/01/10	11/09/12	9 000	228 92	264 55	(35 63)	
	05/10/11	11/09/12	19 000	483 28	635 31	(152.03)	

CONTINUED

Activity

Select UMA Basic Securities Account
316-118113-529

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REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

LONG-TERM GAIN/(LOSS) (CONTINUED)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
BAXTER INTL INC	12/31/09	11/01/12	4 000	254 52	235 43	19 09	
	12/31/09	11/01/12	3 000	190 82	176 57	14 25	
	12/31/09	11/01/12	2 000	127 31	117 71	9 60	
	02/02/10	11/01/12	13 000	826 90	758 90	68 00	
	02/02/10	11/01/12	7 000	445 50	408 54	36 96	
	04/22/10	11/01/12	1 000	63 65	51 44	12 21	
	04/22/10	11/23/12	11 000	738 49	565 94	172 55	
	04/22/10	11/23/12	4 000	268 54	205 76	62 78	
CHEVRON CORP	02/12/10	11/01/12	14 000	1,556 32	993 94	562 38	
CORNING INC	03/23/10	11/01/12	2 000	23 59	39 20	(15 61)	
	03/05/10	11/01/12	75 000	896 33	1,428 01	(531 68)	
CUMMINS INC	05/14/10	11/19/12	25 000	2 457 22	1,810 69	646 53	
EATON CORPORATION	06/21/11	11/23/12	9 000	459 94	438 67	21 27	
FREEPORT MCMORAN CP&GLD	03/21/11	11/09/12	49 000	1 877 61	2,567 26	(689 65)	
GAZPROM O A O SPON ADR	01/12/06	11/19/12	22 000	196 35	638 55	(442 20)	
	04/18/11	11/19/12	5 000	44 62	87 00	(42 38)	
PARKER HANN FIN CORP	04/14/10	11/30/12	28 000	2 297 71	1,973 28	324 43	
TELENOR ASA ADS	01/02/08	11/30/12	8 000	486 22	574 09	(87 87)	
WESTERN UN CO	12/19/10	11/01/12	42 000	523 53	688 84	(165 31)	
	08/23/11	11/01/12	38 000	473 67	624 59	(150 92)	
Long-Term This Period				$18,891 36	$19,345 15	$(453.79)	
Long-Term Year to Date				$90,943 75	$82,604 84	$8,338 91	

SHORT-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
ARCHER DANIELS MIDLAND	02/22/12	11/19/12	12 000	305 23	358 39	(53 16)	
	07/19/12	11/09/12	12 000	305 22	327 47	(22 25)	
BANCO SANTANDER S A	[illegible]	[illegible]		10 68	[illegible]	10 68	Sale of Foreign Rights
BAXTER INTL INC	01/26/12	11/23/12	15 000	1,007 03	815 32	191 71	
	01/25/12	11/23/12	13 000	872 75	706 60	166 15	
	01/26/12	11/23/12	1 000	67 14	54 35	12 79	

CONTINUED

Morgan Stanley

Activity

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
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REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

SHORT-TERM GAIN/(LOSS) (CONTINUED)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
CHEVRON CORP	04/27/12	11/01/12	13.000	1,445.15	1,376.21	68.94	
CORNING INC	07/31/12	11/01/12	46.000	542.52	527.15	15.37	
FREEPORT MCMORAN CP&GLD	06/21/12	11/09/12	13.000	728.05	660.59	67.46	
PRUDENTIAL FINANCIAL INC	11/09/11	11/06/12	29.000	1,671.90	1,511.31	160.59	
WESTERN UN CO	02/09/12	11/0_/12	32.000	398.87	568.00	(169.13)	
Short-Term This Period				$7,354.55	$6,905.39	$449.16	
Short-Term Year to Date				$33,065.66	$34,247.97	$(1,182.31)	
Net Realized Gain/(Loss) This Period				$26,245.91	$26,250.54	$(4.63)	
Net Realized Gain/(Loss) Year to Date				$124,009.41	$116,852.81	$7,156.60	

New Treasury regulations require that we report your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes. The information in this section is provided for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Expanded Disclosures for additional information.

1 - This information reflects your requested adjustments to the transaction details

Activity

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
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SECURITY ACTIVITY

CORPORATE ACTIONS (CONTINUED)

Date	Activity Type	Description	Comments	Quantity
12/17	Stock Dividend	COMMERCE BANCSHARES		1 000
12/26	Stock Dividend	REPSOL ADR OPT DIV RTS	FROM SEC# 65597	26 000

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
BIG LOTS INC OHIO	04/27/09	12/18/12	30 000	$834 18	$809 82	$24.36	
BRINK'S COMPANY COM	04/22/08	12/18/12	13 000	374 15	502 89	(128 74)	
	06/25/10	12/18/12	37 000	1,064 88	746 40	318 48	
COMMERCE BANCSHARES	11/09/09	12/17/12	0 350	12 45	11 49	0 96	
EATON CORPORATION	06/22/11	12/03/12	32 000	1,652 96	1,563 97	88 99	
	08/19/11	12/03/12	7 000	361 59	275 95	85 64	H
	08/19/11	12/03/12	1 000	51 66	39 42	12 24	
EXPEDIA INC NEW	08/17/11	12/18/12	7 000	431 23	197 75	233 48	
FINANCIAL ENGINES	12/20/10	12/18/12	75 000	2,028 80	1,375 91	652 89	
GILEAD SCIENCE	01/02/08	12/18/12	2 000	152 10	90 76	61 34	
HALLIBURTON CO	11/08/10	12/18/12	10 000	344 83	333 00	11 83	
KONINKLIJKE PHIL EL SP ADR NEW	01/02/08	12/12/12	14 000	368 58	593 04	(224 46)	
MEDICINES CO (THE)	03/17/11	12/18/12	83 000	1,854 78	1,332 73	522 05	
MEDTRONIC INC	08/31/10	12/04/12	3 000	125 81	95 14	30 67	
	09/10/10	12/04/12	13 000	545 17	426 97	118 20	
	09/10/10	12/04/12	12 000	503 23	394 12	109 11	
	09/10/10	12/04/12	12.000	503 23	394 12	109 11	
	09/16/10	12/04/12	13.000	545 17	437.22	107.95	
NYSE EURONEXT	08/24/11	12/20/12	25.000	790.48	661.41	129 07	
	08/26/11	12/20/12	71.000	2,244.96	1,872 30	372 66	
TIBCO SOFTWARE INC	04/27/09	12/18/12	81.000	1,667 64	527 14	1,140 50	
Long-Term This Period				**$16,457.88**	**$12,681.55**	**$3,776.33**	
Long-Term Year to Date				**$107,401 63**	**$95,286.39**	**$12,115.24**	

Activity

Select UMA Basic Securities Account
316-118113-529

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REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

SHORT-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
CARNIVAL CP NEW PAIRED COM	02/15/12	12/19/12	26.000	1,016 21	789 92	226 29	
	02/17/12	12/19/12	9.000	351 77	279 54	72 23	
EATON CORPORATION	05/22/12	12/03/12	38.000	1,962.89	1,616.62	346.27	
	07/19/12	12/03/12	5 000	258.28	198.12	60.16	H
	07/19/12	12/03/12	3.000	154 95	118.87	36.08	H
FORD MOTOR CO NEW	10/26/12	12/26/12	30 000	376.75	309.76	66.99	
MEDTRONIC INC	12/28/11	12/04/12	19 000	796.79	713.00	83.79	
NETGEAR INC	06/14/12	12/18/12	40 000	1,488.87	1,237.22	251.65	
NYSE EURONEXT	05/01/12	12/20/12	18.000	569 15	463.26	105.89	
PPG INDUSTRIES INC	06/28/12	12/18/12	1.000	132 61	102.78	29.83	
Short-Term This Period				**$7,108.27**	**$5,829.09**	**$1,279.18**	
Short-Term Year to Date				**$40,173.93**	**$40,077.06**	**$96.87**	
Net Realized Gain/(Loss) This Period				**$23,566.15**	**$18,510.64**	**$5,055.51**	
Net Realized Gain/(Loss) Year to Date				**$147,575.56**	**$135,363.45**	**$12,212.11**	

New Treasury regulations require that we report your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes. The information in this section is provided for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Expanded Disclosures for additional information.

H - Wash sale rules apply to this tax lot The cost basis has been adjusted to account for disallowed loss of a related wash sale transaction

015053 MSGD1307 024452

Account Detail

Select UMA Basic Securities Account
316-118113-529

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REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

LONG-TERM GAIN/(LOSS) (CONTINUED)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
BANCO SANTANDER S A	01/25/11	01/30/13	10 000	86.66	119.05	(32.39)	
CITIC PACIFIC LTD SPONS ADR	08/04/11	01/18/13	35 000	287.14	354 20	(67 06)	
	08/08/11	01/18/13	23.000	188 69	211 08	(22 39)	
HONEYWELL INTERNATIONAL INC	10/20/09	01/24/13	11 000	750 68	421 16	329 52	
	08/20/10	01/24/13	6.000	409.46	244 11	165 35	
KBR INC	03/21/11	01/22/13	8.000	243 59	292 30	(48 71)	
	03/21/11	01/22/13	8 000	243.59	292 29	(48 70)	
MERCK KGAA UNSPON ADR	01/31/08	01/07/13	4 000	172 27	162 69	9 58	
MUENCHENER RUECK-UNSPONS ADR	03/18/11	01/11/13	34 000	611 63	525 37	86 26	
ROYAL DUTCH SHELL PLC	05/17/11	01/29/13	3 000	217 96	208 09	9 87	
SANOFI ADR	01/02/08	01/25/13	3 000	146 99	137 10	9 89	
SAP AG	06/09/08	01/30/13	5 000	406 93	266 46	140 47	
VALE S A SP	03/31/09	01/18/13	10 000	193 69	116 00	77 69	
	06/19/09	01/18/13	1 000	19 37	16 09	3 28	
Long-Term This Period				**$5,925.08**	**$5,258.29**	**$666.79**	
Long-Term Year to Date				**$5,925.08**	**$5,258.29**	**$666.79**	

SHORT-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
BANCO SANTANDER S A	04/20/12	01/30/13	46 000	398.64	287.83	110 81	
BED BATH & BEYOND INC	02/03/12	01/29/13	40 000	2,318.91	2,513 01	(194 10)	
DISCOVERY COMMUNICATIONS SER A	03/02/12	01/14/13	48 000	3,251.32	2,246 68	1,004 64	
FORD MOTOR CO NEW	10/26/12	01/11/13	74 000	1,033.10	764 07	269 03	
	10/31/12	01/11/13	6 000	83.76	65 15	18 61	
LIFE TECHNOLOGIES CORP	10/26/12	01/18/13	8.000	486.74	390 38	96 36	
LLOYDS BANKING GROUP PLC	06/01/12	01/11/13	149 000	516.91	235 18	281 73	
PROCTER & GAMBLE	06/19/12	01/30/13	14.000	1,055.77	875 90	179 87	
REXAM PLC SPONSADR COMNOPA	01/29/13	01/29/13		10 51	0 00	10 51	Cash in Lieu
VALERO ENERGY CP DELA NEW	10/31/12	01/03/13	20 000	700.01	576.18	123 83	
	11/02/12	01/03/13	14 000	490 00	399 65	90 35	
Short-Term This Period				**$10,345.67**	**$8,354.03**	**$1,991.64**	
Short-Term Year to Date				**$10,345 67**	**$8,354.03**	**$1,991.64**	

000205 MS0398M1 003747

Account Detail

Select UMA Basic Securities Account
316-118113-529

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SECURITY ACTIVITY

CORPORATE ACTIONS

Date	Activity Type	Description	Comments	Quantity
2/11	Exchange Delivered Out	BANCO SAN RT OPT B CASH 21%TAX	EXCHANGE CASH PAID ON 02/08/13	56 000
2/19	Exchange Delivered Out	ORIFLAME COSMETICS SA ADR	EXCHANGE	30 000
2/19	Exchange Received In	ORIFLAME COSMETICS SA SPON ADR	EXCHANGE	30 000

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
HALLIBURTON CO	11/08/10	02/06/13	54 000	$2,161.60	$1,798 22	$363 38	
HOSPIRA INC	05/18/09	02/15/13	22 000	645 44	732 06	(86 62)	
	05/26/10	02/15/13	10 000	293.38	514 22	(220 84)	
	08/24/10	02/15/13	5 000	146 69	256 09	(109 40)	
	04/08/11	02/15/13	8 000	234 70	445.60	(210 90)	
	11/01/11	02/15/13	35 000	1 026 83	1,090 87	(64 04)	
TAIWAN SMCNDCTR MFG CO LTD ADR	01/02/08	02/20/13	20 000	382 99	189.49	193 50	
TIME WARNER CABLE INC NEW	02/08/12	02/25/13	33 000	2,873 71	2,526 37	347.34	
Long-Term This Period				**$7,765 34**	**$7,552.92**	**$212.42**	
Long-Term Year to Date				**$13,690.42**	**$12,811.21**	**$879.21**	

SHORT-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
LIFE TECHNOLOGIES CORP	10/26/12	02/22/13	52 000	3,025 75	2,537 50	488 25	
SUPERIOR ENERGY SERVICES INC	02/27/12	02/22/13	20 000	520 65	597 86	(77 21)	
VALERO ENERGY CP DELA NEW	11/02/12	02/06/13	23 000	1,046 33	656 57	389 76	
Short-Term This Period				**$4,592.73**	**$3,791.93**	**$800.80**	
Short-Term Year to Date				**$14,938 40**	**$12,145 96**	**$2,792.44**	

002443 MSGDT311 044860

Account Detail

Select UMA Basic Securities Account
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REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

LONG-TERM GAIN/(LOSS) (CONTINUED)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
	01/02/08	03/19/13	1 000	50 00	22 36	27 64	
	01/02/08	03/19/13	1 000	50 01	22 36	27 65	
	01/21/10	03/19/13	56 000	2,800 49	1 486 27	1 314 22	
CBS CORP NEW CL B SHRS	10/25/11	03/14/13	34 000	1,602 93	850 69	752.24	
COMMERCE BANCSHARES	11/06/09	03/27/13	8 038	326.01	270.62	55.39	
	11/09/09	03/27/13	19 962	809 64	642 07	167 57	
COPART INC	12/21/11	03/27/13	52 000	1 773 95	1 221 19	552 76	
DEUTSCHE LUFTHANSA ADR	06/29/11	03/01/13	13 000	257 73	279 45	(21 72)	
KBR INC	03/21/11	03/27/13	26 000	823 41	949 96	(126 55)	
	03/21/11	03/27/13	9 000	285 02	328 83	(43 81)	
	03/21/11	03/27/13	1 000	31 67	36 54	(4.87)	
	03/22/11	03/27/13	9,000	285 03	328 08	(43 05)	
	08/23/11	03/27/13	1 000	31.66	26 97	4 69	
MAGELLAN HEALTH SERVICES INC	09/27/10	03/27/13	24 000	1,129 51	1,109.76	19 75	
METLIFE INCORPORATED	08/25/10	03/15/13	36 000	1,446 03	1,297 44	148 59	
RANDSTAD HLDG NV UNSPON ADR	06/29/11	03/01/13	15 000	314 29	344 84	(30 55)	
	07/27/11	03/01/13	1 000	20 95	22 19	(1 24)	
ROPER IND INC	11/09/11	03/13/13	29 000	3 605 51	2,385 44	1,220 07	
SANOFI ADR	01/02/08	03/15/13	4 000	197 75	182 80	14 95	
SINGAPORE TELECOM LTD ADR NEW	01/02/08	03/18/13	8 000	228 19	219 60	8 59	
SYMANTEC CORP	01/30/12	03/12/13	58 000	1,416 39	985 93	430 46	
	01/30/12	03/12/13	13 000	317 47	220.99	96 48	
	01/30/12	03/12/13	8 000	195.37	135 99	59 38	
	01/30/12	03/12/13	2 000	48 84	33 99	14 85	
	01/31/12	03/12/13	6 000	146 52	102 30	44 22	
	01/31/12	03/12/13	5 000	122 10	85 25	36 85	
Long-Term This Period				$19,819 36	$14,866.56	$4,952.80	
Long-Term Year to Date				$33,509 78	$27,677.77	$5,832.01	

SHORT-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
BLACKROCK INC	10/10/12	03/21/13	1 000	253 60	187 99	65 61	
CELGENE CORP	06/27/12	03/14/13	11 000	1,263 98	699 00	564 98	
EATON CORP PLC SHS	12/03/12	03/06/13	20 000	1 244 50	1 033 10	211 40	
OIL STATES INTL INC	09/19/12	03/27/13	15 000	1 228 04	1,261 52	(33 48)	
SYMANTEC CORP	03/23/12	03/12/13	3 000	73 26	54 63	18 63	

006213 MSGDT353 017441

Account Detail

Select UMA Basic Securities Account
316-118113-529

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REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

SHORT-TERM GAIN/(LOSS) (CONTINUED)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
Short-Term This Period				$4,063.38	$3,236.24	$827 14	
Short-Term Year to Date				$19,001.78	$15,382.20	$3,619.58	
Net Realized Gain/(Loss) This Period				**$23,882.74**	**$18,102.80**	**$5,779.94**	
Net Realized Gain/(Loss) Year to Date				**$52,511.56**	**$43,059.97**	**$9,451.59**	

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MESSAGES

Minimizing Portfolio Risk: Positioning your Portfolio Should Interest Rates Rise

The Financial Industry Regulatory Authority (FINRA) recently released a notice highlighting the effect of rising interest rates on the market value of fixed income securities* and the impact of duration The notice highlights the following.

- Duration, which measures the sensitivity of a fixed income security's market value (price) to a one percentage change in interest rates Although stated in years, duration is not an indication of the time period remaining until the bond matures or is otherwise redeemed
- The higher the security's duration, the more sensitive its market value is to changes in interest rates
- Generally, fixed income securities are sensitive to fluctuations in interest rates, all else being equal, if interest rates rise, bond prices will fall and vice versa.
- All securities, regardless of credit quality, with a higher duration may experience more pronounced fluctuations in market value when interest rates change.

You can view the full notice at www finra org/investors/protectyourself/investoralerts/bonds/p204318

Kevin Flanagan, Morgan Stanley Wealth Management's Chief Fixed Income Strategist addresses the importance of lessening duration in his March newsletter, Basis Points As Good as it Gets, which is available at http //www2 morganstanley com/wealth/investmentstrategies/pdfs/basispoints pdf

Please contact your Financial Advisor for more information or to discuss risk factors affecting the individual fixed income securities in your portfolio, including duration risk Your Financial Advisor can also prepare a Fixed Income Portfolio Review as well as develop strategies to help you to manage interest rate risk and find value opportunities in an environment with the potential for rising rates

* This category includes preferred securities, fixed income mutual funds and exchange-traded funds (ETFs)

Make Your Annual IRA Contribution

The deadline to make your 2012 IRA contribution is April 15, 2013, so there is still time to contribute to a Traditional or Roth IRA, if eligible The maximum contribution is $5,000, or $6 000 if you are 50 or older for 2012. Your Financial Advisor can help you open a new IRA or fund an existing one You can even move funds from an existing Morgan Stanley non-retirement account if you have one Speak with your Financial Advisor about making an IRA contribution for 2013 at the same time and take advantage of the new maximum contribution For 2013, it's $5,500, or $6,500 if you are 50 or older

Consolidated Statement of Financial Condition (In Thousands of Dollars)

At December 31, 2012 Morgan Stanley Smith Barney LLC had net capital of $2,167,165 which exceeded the Securities and Exchange Commission's minimum requirement by $2,016,752

A copy of the Morgan Stanley Smith Barney LLC Consolidated Statement of Financial Condition at December 31, 2012 can be viewed online at.

http://www morganstanley com/about/ir/shareholder/morganstanley_smithbarney_llc pdf or may be mailed to you at no cost by calling 1 (866) 825-1675, after March 15, 2013

Security Mark at Right

Account Detail

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

MONEY MARKET FUND (MMF) AND BANK DEPOSITS ACTIVITY (CONTINUED)

Date	Activity Type	Description	Credits/(Debits)
4/8	Automatic Investment	BANK DEPOSIT PROGRAM	2 62
4/9	Automatic Redemption	BANK DEPOSIT PROGRAM	(732 18)
4/16	Automatic Investment	BANK DEPOSIT PROGRAM	1 939 92
4/17	Automatic Investment	BANK DEPOSIT PROGRAM	2,171 47
4/19	Automatic Redemption	BANK DEPOSIT PROGRAM	(542 57)
4/22	Automatic Redemption	BANK DEPOSIT PROGRAM	(53 75)
4/26	Automatic Redemption	BANK DEPOSIT PROGRAM	(1,200 09)
4/29	Automatic Investment	BANK DEPOSIT PROGRAM	43 72
4/29	Automatic Investment	BANK DEPOSIT PROGRAM	0 41
NET ACTIVITY FOR PERIOD			$(691.27)

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
GAZPROM O A O SPON ADR	04/08/11	04/19/13	9 000	$67 54	$156 60	$(89 06)	
	08/03/11	04/19/13	16 000	120 08	221 66	(101 58)	
GDF SUEZ-SPON ADR	07/25/08	04/17/13	20 000	405 88	1,276 20	(870.32)	
	04/08/11	04/17/13	3 000	60 88	118 56	(57 68)	
INTEL CORP	05/14/09	04/05/13	70 000	1,456 56	1,092 18	364 38	
	04/08/11	04/05/13	27 000	561 82	541 01	20 81	
MICROSOFT CORP	05/13/09	04/11/13	30 000	867 49	592 30	275 19	
	05/13/09	04/11/13	16 000	462 66	315 89	146 77	
	05/26/09	04/11/13	18 000	520 50	361 84	158 66	
	05/26/09	04/22/13	7 000	218 19	140 71	77 48	
	07/24/09	04/22/13	10 000	311 70	230 53	81 17	
	04/08/11	04/22/13	9 000	280 52	234 17	46 35	
NORFOLK SOUTHERN CORP	06/03/10	04/01/13	12 000	915 08	686 34	228 74	
PARTNERRE HLDGS	01/25/12	04/09/13	17 000	1,563 26	1,078 67	484 59	
	01/27/12	04/09/13	1 000	91 96	64 52	27 44	
	01/27/12	04/10/13	15 000	1,365 95	967 82	398 13	
	03/02/12	04/10/13	1 000	91 06	63 86	27 20	
SAP AG	06/09/08	04/12/13	4 000	310 51	213 17	97 34	
TARGET CORPORATION	04/14/10	04/11/13	16 000	1,108 92	903 99	204 93	
Long-Term This Period				**$10,780.56**	**$9,260.02**	**$1,520.54**	
Long-Term Year to Date				**$44,290.34**	**$36,937 79**	**$7,352.55**	

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Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
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REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

SHORT-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
FOOT LOCKER INC	07/10/12	04/23/13	73 000	2,369 01	2,321 22	47 79	
	07/10/12	04/23/13	2 000	64 90	63 60	1 30	
	09/19/12	04/23/13	13 000	421 88	472 54	(50 66)	
PARTNERRE HLDGS	07/31/12	04/10/13	4 000	364.26	293 47	70 79	
Short-Term This Period				**$3,220.05**	**$3,150 83**	**$69.22**	
Short-Term Year to Date				**$22,221.83**	**$18,533.03**	**$3,688 80**	
Net Realized Gain/(Loss) This Period				**$14,000 61**	**$12,410.85**	**$1,589.76**	
Net Realized Gain/(Loss) Year to Date				**$66,512.17**	**$55,470.82**	**$11,041.35**	

New Treasury regulations require that we report your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011 These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes The information in this section is provided for informational purposes only and should not be used in the preparation of your income tax returns Please refer to the Expanded Disclosures for additional information

MESSAGES

Notice Regarding Handling of Block Orders under FINRA's Front Running Rule

Due to changes occurring this year to the Financial Industry Regulatory Authority's (FINRA) Rule 5270 regarding Front Running of Block Transactions, we are required to provide clients with the following information concerning the placing of block trading orders and how those block orders are handled

Morgan Stanley Smith Barney LLC and its trade routing destinations may trade principally at prices that would satisfy your block trading order when the principal trades are unrelated to your block order. When the principal trades are not unrelated, we or our trade routing destinations may trade principally ahead of, or alongside, your block order for the purpose of fulfilling, or facilitating the execution of, your order For these orders you may instruct us that you do not wish us or our trade routing destinations to trade principally ahead of, or alongside, your order However, such instruction will limit the range of execution alternatives that we are able to offer

A copy of Rule 5270 can be obtained at www finra org/ Please contact your Morgan Stanley Financial Advisor if you require more information regarding how your block orders are handled

Important Information About Advisory Accounts

Please notify your Financial Advisor if there have been any changes in your financial situation or investment objectives, or if you wish to impose any reasonable restrictions on the management of your Investment Advisory accounts, or to reasonably modify existing restrictions

For a copy of the applicable ADV Brochure for Morgan Stanley Smith Barney LLC, or for any Investment Adviser with whom we contract to manage your investment advisory account, please contact your Financial Advisor These ADV Brochures contain important information about advisory programs.

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Account Detail

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
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SECURITY ACTIVITY

CORPORATE ACTIONS

Date	Activity Type	Description	Comments	Quantity
5/1	Stock Dividend	CST BRANDS INC COM	DISTRIBUTION FROM VLO	9.000
5/20	Stock Dividend	CREDIT SUISSE GROUP		2.000

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
COOPER CO INC NEW	02/24/12	05/14/13	33.000	$3,819 37	$2 605 65	$1,213 72	
FLEXTRONICS INTL LTD	01/02/08	05/13/13	47 000	334 46	546 61	(212 15)	
	01/02/08	05/13/13	6 000	42 69	69 78	(27 09)	
	01/02/08	05/13/13	2 000	14 23	23 26	(9 03)	
GILEAD SCIENCE	01/02/08	05/06/13	17 000	932 12	385 73	546 39	
INTERNATIONAL CONS AIRLS GRP	05/11/09	05/03/13	10 000	214 20	128 10	86 10	
MICROSOFT CORP	04/08/11	05/01/13	13 000	427 25	338 25	89 00	
PRUDENTIAL FINANCIAL INC	11/09/11	05/03/13	6 000	393 86	312 69	81 17	
ROYAL DUTCH SHELL PLC CL B	01/02/08	05/03/13	3 000	213 80	249 24	(35 44)	
SILICON PREC IND LTD SP ADR	12/23/10	05/10/13	46 000	267 81	270 86	(3 05)	
	01/10/11	05/10/13	8 000	46 57	45 92	0 65	
	01/10/11	05/31/13	31 000	177 22	177 95	(0 73)	
	03/23/11	05/31/13	68 000	388 73	418 08	(29 35)	
	08/03/11	05/31/13	37 000	211 5[illegible]	176 79	34 72	
TELENOR ASA ADS	01/02/08	05/03/13	3 000	201 01	215 28	(14 27)	
UNION PACIFIC CORP	10/27/09	05/03/13	10 000	1,497 87	564 73	933 14	
	10/27/09	05/03/13	9 000	1,348 09	508.27	839 82	
	08/03/10	05/03/13	6 000	898.72	458.43	440 29	
UNITEDHEALTH GP INC	12/09/09	05/01/13	55.000	3,280 24	1 595.79	1,684 45	
VODAFONE GP PLC ADS NEW	01/02/08	05/01/13	5 000	153 16	183 45	(30.29)	
	01/02/08	05/01/13	2.000	61 26	73 38	(12 12)	
	01/02/08	05/01/13	2 000	61 26	73 38	(12 12)	
	03/16/09	05/01/13	10 000	306 31	168 21	138 10	
	03/16/09	05/01/13	3.000	91.89	50 46	41 43	
	06/21/10	05/01/13	16 000	490 10	341 89	148 21	
	06/21/10	05/01/13	4 000	122 53	85 47	37 06	
Long-Term This Period				$15,996 26	$10,067.65	$5,928.61	

Security Mark at Right

Account Detail

Select UMA Basic Securities Account
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RICHARD & DEBORAH MC CONNELL
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REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

LONG-TERM GAIN/(LOSS) (CONTINUED)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
Long-Term Year to Date				$60,286 60	$47,005.44	$13,281 16	

SHORT-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
CREDIT SUISSE GROUP	08/29/12	05/20/13	0 293	8 53	5 42	3 11	
CST BRANDS INC COM	11/02/12	05/01/13		27 07	0 00	27 07	Cash in Lieu
	11/02/12	05/03/13	5 000	150 30	110 69	39 61	
	11/09/12	05/03/13	4 000	120 24	102 67	17 57	
EATON CORP PLC SHS	12/03/12	05/03/13	66 000	4,081 70	3,409 23	672 47	
MICROSOFT CORP	11/06/12	05/01/13	46 000	1 511 80	1,378 34	133 46	
	11/06/12	05/01/13	24 000	788 77	719 13	69 64	
	11/06/12	05/01/13	13 000	427 25	389 53	37 72	
	01/22/13	05/01/13	35 000	1,150.28	950 92	199 36	
OCCIDENTAL PETROLEUM CORP DE	08/16/12	05/03/13	4 000	362 49	357 33	5 16	
TNT EXPRESS NV	03/01/13	05/14/13		4 10	0 00	4 10	Cash in Lieu
Short-Term This Period				**$8,632.53**	**$7,423.26**	**$1,209.27**	
Short-Term Year to Date				**$30,854.36**	**$25,956 29**	**$4,898 07**	
Net Realized Gain/(Loss) This Period				**$24,628.79**	**$17,490 91**	**$7,137.88**	
Net Realized Gain/(Loss) Year to Date				**$91,140.96**	**$72,961.73**	**$18,179.23**	

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MONEY MARKET FUND (MMF) AND BANK DEPOSITS ACTIVITY (CONTINUED)

Date	Activity Type	Description	Credits/(Debits)
6/11	Automatic Redemption	BANK DEPOSIT PROGRAM	(2,007 06)
6/17	Automatic Investment	BANK DEPOSIT PROGRAM	3,554 46
6/18	Automatic Redemption	BANK DEPOSIT PROGRAM	(565 35)
6/24	Automatic Investment	BANK DEPOSIT PROGRAM	452 15
6/25	Automatic Redemption	BANK DEPOSIT PROGRAM	(2,484 07)
6/26	Automatic Redemption	BANK DEPOSIT PROGRAM	(854 62)
6/27	Automatic Investment	BANK DEPOSIT PROGRAM	0 55
6/27	Automatic Redemption	BANK DEPOSIT PROGRAM	(4,094.41)
6/28	Automatic Redemption	BANK DEPOSIT PROGRAM	(490.54)
NET ACTIVITY FOR PERIOD			**$(7,750.47)**

SECURITY ACTIVITY

CORPORATE ACTIONS

Date	Activity Type	Description	Comments	Quantity
6/24	Stock Dividend	REPSOL ADR OPT DIV RTS	FROM SEC 65597	26 000

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
BMC SOFTWARE	02/22/08	06/28/13	23.000	$1,035.68	$743 46	$292 22	
CARREFOUR SA SPONSORED ADR	03/16/12	06/07/13	55.000	305 83	277 71	28 12	
EMBRAER S A ADR	01/02/08	06/21/13	6 000	224 53	272 96	(48 43)	
FMC CORP NEW	01/02/08	06/28/13	42.000	2,571 64	1,126.51	1,445.13	
FRANCE TELECOM	01/02/08	06/17/13	43.000	438 68	1,540.69	(1,102 01)	
	10/14/11	06/17/13	16.000	163 23	291.52	(128 29)	
KONINKLIJKE PHIL EL SP ADR NEW	01/02/08	06/05/13		27 30	0 00	27 30	Cash in Lieu
	01/02/08	06/26/13	13.000	354 83	550.68	(195 85)	
	04/06/11	06/26/13	1 000	27 29	30.29	(3 00)	
	06/22/11	06/26/13	14 000	382 12	332 81	49 31	
LABORATORY CP AMER HLDGS NEW	01/02/08	06/28/13	11 000	1,099 01	827.31	271 70	
LLOYDS BANKING GROUP PLC	06/01/12	06/14/13	40 000	156 79	63 14	93 65	
ROYAL DUTCH SHELL PLC	05/17/11	06/11/13	34 000	2,245 56	2,358 40	(112 84)	
	05/25/11	06/11/13	22 000	1,453 01	1,511 34	(58 33)	

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Account Detail

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

LONG-TERM GAIN/(LOSS) (CONTINUED)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
TERADATA CORP	03/07/11	06/24/13	35 000	1 716 96	1 754 53	(37 57)	
Long-Term This Period				**$12,202.46**	**$11,681 35**	**$521.11**	
Long-Term Year to Date				**$72,489.06**	**$58,686.79**	**$13,802 27**	

SHORT-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
ANN INC COM	12/18/12	06/28/13	42 000	1,405 80	1,427 08	(21 28)	
CAPITAL LEASE FUNDING INC	12/18/12	06/28/13	255 000	2 154 02	1,357 72	796.30	R
CARREFOUR SA SPONSORED ADR	08/06/12	06/07/13	61 000	339 19	236 07	103 12	
COOPER TIRE & RUBBER	09/19/12	06/28/13	64 000	2,112 02	1,415 18	696.84	
TERADATA CORP	12/18/12	06/24/13	7.000	343 39	439 36	(95.97)	
TEREX CP NEW DEL	09/19/12	06/28/13	57 000	1,504 79	1,417 74	87 05	
Short-Term This Period				**$7,859.21**	**$6,293 15**	**$1,566.06**	
Short-Term Year to Date				**$38,713.57**	**$32,249.44**	**$6,464 13**	
Net Realized Gain/(Loss) This Period				**$20,061.67**	**$17,974.50**	**$2,087.17**	
Net Realized Gain/(Loss) Year to Date				**$111,202 63**	**$90,936.23**	**$20,266.40**	

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R - The cost basis for this tax lot was adjusted due to a reclassification of income.

MESSAGES

Important Information About Advisory Accounts
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INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
CHICOS FAS INC	06/14/12	07/17/13	90 000	$1,502 75	$1,244 56	$258 19	
DEVON ENERGY CORP NEW	04/27/12	07/23/13	13 000	744 72	904 79	(160 07)	
	04/27/12	07/29/13	29 000	1,594 83	2,018 39	(423 56)	
	05/11/12	07/29/13	23 000	1,264.87	1,485 89	(221 02)	
	06/19/12	07/29/13	6 000	329 97	346 88	(16 91)	
DOW CHEMICAL CO	04/04/12	07/23/13	56 000	1,934 66	1,871.72	62 94	
FLEXTRONICS NTL LTD	01/02/08	07/26/13	2 000	16 82	23 26	(6 44)	
	01/02/08	07/26/13	1 000	8 41	11 63	(3 22)	
	10/09/08	07/26/13	77 000	647 62	398.41	249 21	
INTUIT INC	08/03/11	07/24/13	44 000	2,786 37	2 014.02	772 35	
PRUDENTIAL F NANCIAL INC	11/09/11	07/05/13	8 000	604 13	416 91	187 22	
THE MOSAIC CO (HLDG CO) NEW	05/27/11	07/30/13	3 000	130 43	209 85	(79 42)	
	06/21/11	07/30/13	13 000	565 20	830 61	(265 41)	
	06/22/11	07/30/13	12 000	521 72	775 63	(253 91)	
	06/28/11	07/30/13	21 000	913 02	1,365 58	(452 56)	
	06/30/11	07/30/13	22 000	956 49	1,477 57	(521 08)	
WESTERN DIGITAL CORPORATION	04/09/09	07/24/13	28 000	1,863 10	617 83	1,245 27	
Long-Term This Period				**$16,385.11**	**$16,013.53**	**$371 58**	
Long-Term Year to Date				**$88,874.17**	**$74,700.32**	**$14,173.85**	

SHORT-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
CHICOS FAS INC	01/29/13	07/17/13	74 000	1,235 59	1,299 60	(64 01)	
DEVON ENERGY CORP NEW	05/02/13	07/29/13	20.000	1,099 88	1,108 66	(8 78)	
FORD MOTOR CO NEW	10/31/12	07/10/13	80 000	1,338 13	868 68	469 45	
POTASH CP OF SASKATCHEWAN INC	05/03/13	07/31/13	12 000	361 49	504 96	(143 47)	
	05/31/13	07/31/13	7 000	210.87	295 47	(84 60)	
	06/14/13	07/31/13	6 000	180 75	242 04	(61 29)	
	06/26/13	07/31/13	15.000	451 86	583 31	(131 45)	
REGIONS FINANCIAL CORP NEW	10/26/12	07/05/13	100 000	1,012 28	655 97	356.31	
THE MOSAIC CO (HLDG CO) NEW	10/08/12	07/30/13	11 000	478 25	600 80	(122 55)	
Short-Term This Period				**$6,369.10**	**$6,159.49**	**$209.61**	
Short-Term Year to Date				**$45,082 67**	**$38,408.93**	**$6,673.74**	

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Account Detail

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CASH RELATED ACTIVITY

OTHER CREDITS AND DEBITS (CONTINUED)

Date	Activity Type	Description	Comments	Credits/(Debits)
TOTAL OTHER CREDITS AND DEBITS				$(4.98)
TOTAL OTHER DEBITS				$(4.98)

MONEY MARKET FUND (MMF) AND BANK DEPOSITS ACTIVITY

Date	Activity Type	Description	Credits/(Debits)
8/5	Automatic Investment	BANK DEPOSIT PROGRAM	$3,731 17
8/6	Automatic Investment	BANK DEPOSIT PROGRAM	1,204 97
8/7	Automatic Investment	BANK DEPOSIT PROGRAM	3,330 55
8/8	Automatic Redemption	BANK DEPOSIT PROGRAM	(2,952 01)
8/9	Automatic Redemption	BANK DEPOSIT PROGRAM	(620 40)
8/12	Automatic Investment	BANK DEPOSIT PROGRAM	13 34
8/13	Automatic Redemption	BANK DEPOSIT PROGRAM	(546 78)
8/14	Automatic Redemption	BANK DEPOSIT PROGRAM	(176 49)
8/19	Automatic Redemption	BANK DEPOSIT PROGRAM	(295 28)
8/22	Automatic Redemption	BANK DEPOSIT PROGRAM	(192 69)
8/23	Automatic Redemption	BANK DEPOSIT PROGRAM	(327 93)
8/29	Automatic Investment	BANK DEPOSIT PROGRAM	0 49
NET ACTIVITY FOR PERIOD			$3,168.94

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
C R BARD INC NJ	05/10/12	08/01/13	24 000	$2,775 90	$2,449.87	$326 03	
CELGENE CORP	06/27/12	08/28/13	4 000	554 52	254 18	300.34	
EXPEDIA INC NEW	08/17/11	08/28/13	4 000	188 40	113 00	75.40	
	12/30/11	08/28/13	40 000	1,883 98	1,164 23	719.75	
OSRAM LICHT AG SALE PROCEEDS	01/02/08	07/26/13	10 000	30 06	55.29	(25.23)	
	09/27/11	07/26/13	2 000	6 01	6 65	(0.64)	
	03/30/12	07/26/13	2 000	6 01	7 09	(1.08)	
PETSMART INC	10/27/10	08/20/13	4 000	298 71	147 83	150 88	
RANDSTAD HLDG NV UNSPON ADR	07/27/11	08/01/13	12 000	286 84	266.24	20 60	
RAYMOND JAMES FINCL INC	03/17/11	08/15/13	36.000	1,539 73	1,313 79	225 94	

Security Mark at Right

Account Detail

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

LONG-TERM GAIN/(LOSS) (CONTINUED)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
REED ELSEVIER NV-SPONS ADR	06/16/10	08/07/13	1 000	36 91	22 61	14 30	
	10/27/10	08/07/13	6 000	221 48	155 27	66 21	
	04/08/11	08/07/13	11 000	406 04	287 32	118 72	
STRYKER CORP	12/28/11	08/01/13	47 000	3 350 69	2,317 54	1 033 15	
Long-Term This Period				$11,543.20	$8,491 88	$3,051 32	
Long-Term Year to Date				$100,459.45	$83,261.23	$17,198.22	

SHORT-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
CST BRANDS INC COM	11/02/12	05/01/13	0 889	27 07	16 71	10 36	
	11/02/12	05/03/13	5 000	150 30	93 98	56 32	
EXPEDIA INC NEW	05/06/13	08/28/13	6 000	282.59	352 78	(70 19)	
FIDELITY NATL INFORMATION SE	02/25/13	08/20/13	7 000	320 93	257 80	63 13	
OSRAM LICHT AG SALE PROCEEDS	08/03/12	07/26/13	3 000	9 02	9 30	(0 28)	
RAYMOND JAMES FINCL INC	03/21/13	08/15/13	24 000	1 026 49	1,128 88	(102 39)	
Short-Term This Period				$1,630 01	$1,739.46	$(109.45)	
Short-Term Year to Date				$46,721.70	$40,157 69	$6,564.01	
Net Realized Gain/(Loss) This Period				$13,173.21	$10,231 34	$2,941 87	
Net Realized Gain/(Loss) Year to Date				$147,181.15	$123,418.92	$23,762.23	

New Treasury regulations require that we report your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011 These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes The information in this section is provided for informational purposes only and should not be used in the preparation of your income tax returns Please refer to the Expanded Disclosures for additional information.

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