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 OCT 1, 2012 , and ending SEP 30, 2013

Name of foundation: EXCELERATE FOUNDATION INC.

A Employer identification number: 52-1772345

Number and street (or P O box number if mail is not delivered to street address): 2352 MARKET STREET — Room/suite: B

B Telephone number: 415-252-7552

City or town, state, and ZIP code: SAN FRANCISCO, CA 94114

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: [X] 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) ▶$ 9,483,842.

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

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

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

		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received				
	2 Check ▶ [X] if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	259,096.	259,096.	0.	
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	334,499.			
	b Gross sales price for all assets on line 6a 8,786,087.				
	7 Capital gain net income (from Part IV, line 2)		334,499.		
	8 Net short-term capital gain			N/A	
	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	593,595.	593,595.	0.	
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	157,000.	0.	0.	157,000.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees STMT 1	1,550.	0.	0.	1,550.
	b Accounting fees STMT 2	26,490.	0.	0.	26,490.
	c Other professional fees STMT 3	87,830.	84,384.	0.	3,446.
	17 Interest				
	18 Taxes STMT 4	14,680.	3,430.	0.	0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings	8,835.	0.	0.	8,835.
	22 Printing and publications				
	23 Other expenses STMT 5	10,329.	0.	0.	10,329.
	24 Total operating and administrative expenses. Add lines 13 through 23	306,714.	87,814.	0.	207,650.
	25 Contributions, gifts, grants paid	263,153.			263,153.
	26 Total expenses and disbursements. Add lines 24 and 25	569,867.	87,814.	0.	470,803.
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	23,728.			
	b Net investment income (if negative, enter -0-)		505,781.		
	c Adjusted net income (if negative, enter -0-)			0.	

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Form **990-PF** (2012)

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10190122 137216 064-03821900 2012.05020 EXCELERATE FOUNDATION INC. 064-03L1

	Part II **Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only	Beginning of year (a) Book Value	End of year (b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing	936,923.	385,518.	385,518.
	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			
	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 STMT 6	944,169.	165,384.	165,384.
	b Investments - corporate stock STMT 7	4,950,506.	8,197,444.	8,197,444.
	c Investments - corporate bonds STMT 8	1,309,165.	210,016.	210,015.
	11 Investments - land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other STMT 9	1,398,355.	525,481.	525,481.
	14 Land, buildings, and equipment: basis ▶			
	Less accumulated depreciation ▶			
	15 Other assets (describe ▶ TAXES WITHHELD)	1,630.	0.	0.
	16 **Total assets** (to be completed by all filers)	9,540,748.	9,483,843.	9,483,842.
Liabilities	17 Accounts payable and accrued expenses	5,036.	2,500.	
	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)	5,036.	2,500.	
Net Assets or Fund Balances	**Foundations that follow SFAS 117, check here ▶ [X] and complete lines 24 through 26 and lines 30 and 31.**			
	24 Unrestricted	9,535,712.	9,481,343.	
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ [ ] and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds			
	28 Paid-in or capital surplus, or land, bldg., and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds			
	30 **Total net assets or fund balances**	9,535,712.	9,481,343.	
	31 **Total liabilities and net assets/fund balances**	9,540,748.	9,483,843.	

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	9,535,712.
2 Enter amount from Part I, line 27a	2	23,728.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	9,559,440.
5 Decreases not included in line 2 (itemize) ▶ UNREALIZED LOSS ON INVESTMENTS	5	78,097.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	9,481,343.

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	REALIZED GAIN ON INVESTMENT	P		
b				
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	8,786,087.		8,451,588.	334,499.
b				
c				
d				
e				

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

	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a				334,499.
b				
c				
d				
e				

2 Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	334,499.
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	334,499.

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			
2010			
2009			
2008			
2007			

2 Total of line 1, column (d)	2	
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	
4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5	4	
5 Multiply line 4 by line 3	5	
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	
7 Add lines 5 and 6	7	
8 Enter qualifying distributions from Part XII, line 4	8	

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter: ______ (attach copy of letter if necessary-see instructions)				
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b			1	10,116.
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).				
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			2	0.
3	Add lines 1 and 2			3	10,116.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			4	0.
5	**Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-			5	10,116.
6	Credits/Payments:				
a	2012 estimated tax payments and 2011 overpayment credited to 2012	6a	11,250.		
b	Exempt foreign organizations - tax withheld at source	6b			
c	Tax paid with application for extension of time to file (Form 8868)	6c			
d	Backup withholding erroneously withheld	6d			
7	Total credits and payments. Add lines 6a through 6d			7	11,250.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached			8	25.
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	1,109.
11	Enter the amount of line 10 to be: **Credited to 2013 estimated tax** ▶ 1,109. **Refunded** ▶			11	0.

Part VII-A Statements Regarding Activities

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

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

		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		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ▶ HTTP://EXCELERATE-FOUNDATION.ORG/

14 The books are in care of ▶ OLSEN & PARTNERS CPA Telephone no. ▶ 415 252 7552

Located at ▶ 2352 MARKET STREET, SUITE B, SAN FRANCISCO, CA ZIP+4 ▶ 94114

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

		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		X
	See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ▶			

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

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

			Line	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)?		1b		X
	Organizations relying on a current notice regarding disaster assistance check here	▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2012?		1c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):				
a	At the end of tax year 2012, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2012?	☐ Yes ☒ No			
	If "Yes," list the years ▶ ____, ____, ____, ____				
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions.)	N/A	2b		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ ____, ____, ____, ____				
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2012 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969; **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2012.)*	N/A	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2012?		4b		X

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

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

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

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

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

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? ☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? N/A | 5b |

Organizations relying on a current notice regarding disaster assistance check here ▶ ☐

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

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

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | 6b | | X

If "Yes" to 6b, file Form 8870.

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

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? N/A | 7b |

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
JONATHAN ALEXANDER SLOAN 2352 MARKET STREET SUITE B SAN FRANCISCO, CA 94114	PRESIDENT 10.00	59,000.	0.	0.
ERNEST LEWIS 2352 MARKET STREET SUITE B SAN FRANCISCO, CA 94114	SECRETARY 6.00	49,000.	0.	0.
EDWARD DADAKIS 2352 MARKET STREET SUITE B SAN FRANCISCO, CA 94114	TREASURER 6.00	49,000.	0.	0.

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

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

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

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

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

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

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

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

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

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

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	9,534,062.
b	Average of monthly cash balances	1b	661,221.
c	Fair market value of all other assets	1c	
d	**Total** (add lines 1a, b, and c)	1d	10,195,283.
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	10,195,283.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	152,929.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	10,042,354.
6	**Minimum investment return.** Enter 5% of line 5	6	502,118.

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	502,118.
2a	Tax on investment income for 2012 from Part VI, line 5 — 2a: 10,116.		
b	Income tax for 2012. (This does not include the tax from Part VI.) — 2b:		
c	Add lines 2a and 2b	2c	10,116.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	492,002.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	492,002.
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	492,002.

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	470,803.
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	470,803.
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	0.
6	***Adjusted qualifying distributions.*** Subtract line 5 from line 4	6	470,803.

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				492,002.
2 Undistributed income, if any, as of the end of 2012				
a Enter amount for 2011 only			0.	
b Total for prior years: ____, ____, ____		0.		
3 Excess distributions carryover, if any, to 2012:				
a From 2007				
b From 2008				
c From 2009				
d From 2010				
e From 2011				
f **Total** of lines 3a through e	0.			
4 Qualifying distributions for 2012 from Part XII, line 4: ▶ $ 470,803.				
a Applied to 2011, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2012 distributable amount				470,803.
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				21,199.
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			
	(a) 2012	(b) 2011	(c) 2010	(d) 2009	(e) Total
2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon: a "Assets" alternative test - enter: (1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test - enter: (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

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

1 **Information Regarding Foundation Managers:**

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

NONE

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

NONE

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

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

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

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				
AIDS/LIFECYCLE PO BOX 6000 SAN FRANCISCO, CA 94160	N/A	501(C)(3)	SUPPORTING INDIVIDUAL RIDERS IN THE SAN FRANCISCO TO LOS ANGELES BIKE RIDE.	11,750.
DAVIS COMMUNITY MEALS PO BOX 72463 DAVIS, CA 95616	N/A	501(C)(3)	OPERATING SUPPORT FOR ORGANIZATION, WHICH PROVIDES COLD WEATHER SHELTER AND MEALS FOR HOMELESS INDIVIDUALS	500.
EPISCOPAL CHURCH OF ST. MARTIN 640 HAWTHORN LANE DAVIS, CA 95676	N/A	501(C)(3)	DEVELOPING PLANS FOR AND CONSTRUCTION OF A HEALING GARDEN ON THE GROUNDS OF THE CHURCH, WHICH IS OPEN TO THE	10,000.
GATEWAY FOR INTEGRATED CONSCIOUSNESS 5843 CASTRO STREET, #255 SAN FRANCISCO, CA 94114	N/A	501(C)(3)	SUPPORT COSTS FOR ORGANIZATION'S WEEKLY FACILITATED MEDICATION SESSIONS IN SAN FRANCISCO AND SEATTLE.	10,000.
GRASS ROOTS GAY RIGHTS WEST 584 CASTRO STREET, #495 SAN FRANCISCO, CA 94114	N/A	501(C)(3)	GENERAL SUPPORT OF ORGANIZATION'S FUNDRAISING ACTIVITIES AND SUPPORT OF COMMUNITY ACTIVITIES.	10,000.
Total SEE CONTINUATION SHEET(S)			▶ 3a	262,947.
b Approved for future payment				
NONE				
Total			▶ 3b	0.

223611
12-05-12

** SEE PURPOSE OF GRANT CONTINUATIONS

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	259,096.	
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					
8 Gain or (loss) from sales of assets other than inventory			18	334,499.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a					
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)		0.		593,595.	0.

13 **Total.** Add line 12, columns (b), (d), and (e) 13 593,595.

(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).

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12-05-12

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

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

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

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

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

b If "Yes," complete the following schedule.

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

Sign Here

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

Signature of officer or trustee: [signature] Date: 10/28/14 Title: PRESIDENT

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
KAREN GRIES	[signature]	1/22/2014		P00078514
Firm's name ▶ CLIFTONLARSONALLEN LLP			Firm's EIN ▶ 41-0746749	
Firm's address ▶ 4250 N. FAIRFAX DRIVE, SUITE 1020 ARLINGTON, VA 22203			Phone no. 571-227-9500	

Form **990-PF** (2012)

223622
12-05-12

10190122 137216 064-03821900 2012.05020 EXCELERATE FOUNDATION INC. 064-03L1

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
GREENWICH COUNCIL BOY SCOUTS OF AMERICA 63 MASON STREET GREENWICH, CT 06830	N/A	501(C)(3)	WEATHERIZE A BUILDING IN THE BOY SCOUT CAMP.	11,000.
GREENWICH EMERGENCY MEDICAL SERVICES 1111 E. PUTNAM AVENUE RIVERSIDE, CT 06878	N/A	501(C)(3)	PURCHASE A REPLACEMENT AMBULANCE AND MODIFICATION FOR SERVICE.	30,000.
HEALING WATERS WILDERNESS ADVENTURES 167 FELL STREET SAN FRANCISCO, CA 94102	N/A	501(C)(3)	OPERATING SUPPORT, WITH GOAL OF RAISING FUNDS TO ALLOW FULL-TIME PROGRAM DIRECTOR POSITION.	10,000.
NATIONAL LYMPHOMA FOUNDATION 115 BROADWAY, SUITE 1301 NEW YORK, NY 10006	N/A	501(C)(3)	SUPPORT GENERAL OPERATIONS AND RESEARCH BUDGETS.	2,500.
OPENHOUSE 1800 MARKET STREET, PMB93 SAN FRANCISCO, CA 94102	N/A	501(C)(3)	ASSIST IN ORGANIZATION PURPOSE OF PROVIDING SERVICES AND HOUSING SUPPORT TO SENIOR LGBT SAN FRANCISCO	5,000.
ROLAND PARK COUNTRY SCHOOL 5204 ROLAND AVENUE BALTIMORE, MD 21210	N/A	501(C)(3)	FUND THE SIOBHAN SOPHIA SHARKEY FACULTY PRIZE ENDOWMENT, WHICH AWARDS FACULTY MEMBERS WHO MEET STANDARDS OF	20,000.
SAN DIEGO LGBT COMMUNITY CENTER 3909 CENTRE ST SAN DIEGO, CA 92103	N/A	501(C)(3)	SUPPORTING INDIVIDUAL'S FUNDRAISING FOR THE SAN DIEGO COMMUNITY CENTER, WHICH DOES	1,000.
SAN FRANCISCO AIDS FOUNDATION 1035 MARKET ST, SUITE 400 SAN FRANCISCO, CA 94103	N/A	501(C)(3)	RESTRICTED PROGRAMMATIC SUPPORT FOR ORGANIZATIONS CAMPAIGN FOR HEALTH AND WELLNESS, A	15,000.
THE AVON FOUNDATION 180 MONTGOMERY ST SAN FRANCISCO, CA 94104	N/A	501(C)(3)	SUPPORT OF INDIVIDUAL'S FUNDRAISING EFFORT FOR THE SAN FRANCISCO WALK FOR BREAST CANCER	10,000.
TRANSPORTATION ASSOCIATION OF GREENWICH 13 RIVERSIDE AVENUE RIVERSIDE, CT 06878	N/A	501(C)(3)	PURCHASE OF A PASSENGER BUS TO PROVIDE TRANSPORTATION FOR SENIORS AND MENTALLY CHALLENGED	19,000.
Total from continuation sheets				220,697.

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05-01-12

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
UC DAVIS FOUNDATION 1460 DREW AVE, SUITE 100 DAVIS, CA 95616	N/A	501(C)(3)	CAPACITY BUILDING GRANTS (1) TO FUND TRAINING FOR STAFF ($10,000), (2) TO SUPPORT THE UC DAVIS	77,197.
ZEN HOSPICE PROJECT 273 PAGE STREET SAN FRANCISCO, CA 94102	N/A	501(C)(3)	GRANT FOR CORE OPERATIONAL SUPPORT ($10,000) AND STRATEGIC PLANNING PROCESS FOR A	20,000.
Total from continuation sheets				

223631
05-01-12

Part XV Supplementary Information

3a Grants and Contributions Paid During the Year Continuation of Purpose of Grant or Contribution

NAME OF RECIPIENT - DAVIS COMMUNITY MEALS
OPERATING SUPPORT FOR ORGANIZATION, WHICH PROVIDES COLD WEATHER SHELTER AND MEALS FOR HOMELESS INDIVIDUALS AND FAMILIES.

NAME OF RECIPIENT - EPISCOPAL CHURCH OF ST. MARTIN
DEVELOPING PLANS FOR AND CONSTRUCTION OF A HEALING GARDEN ON THE GROUNDS OF THE CHURCH, WHICH IS OPEN TO THE PUBLIC.

NAME OF RECIPIENT - OPENHOUSE
ASSIST IN ORGANIZATION PURPOSE OF PROVIDING SERVICES AND HOUSING SUPPORT TO SENIOR LGBT SAN FRANCISCO RESIDENTS.

NAME OF RECIPIENT - ROLAND PARK COUNTRY SCHOOL
FUND THE SIOBHAN SOPHIA SHARKEY FACULTY PRIZE ENDOWMENT, WHICH AWARDS FACULTY MEMBERS WHO MEET STANDARDS OF PRIZE.

NAME OF RECIPIENT - SAN DIEGO LGBT COMMUNITY CENTER
SUPPORTING INDIVIDUAL'S FUNDRAISING FOR THE SAN DIEGO COMMUNITY CENTER, WHICH DOES HIV/AIDS WORK IN THE SAN DIEGO AREA.

NAME OF RECIPIENT - SAN FRANCISCO AIDS FOUNDATION
RESTRICTED PROGRAMMATIC SUPPORT FOR ORGANIZATIONS CAMPAIGN FOR HEALTH AND WELLNESS, A PROGRAM TO EXPAND SERVICES IN SAN FRANCISCO.

NAME OF RECIPIENT - THE AVON FOUNDATION
SUPPORT OF INDIVIDUAL'S FUNDRAISING EFFORT FOR THE SAN FRANCISCO WALK FOR BREAST CANCER EVENT.

Part XV **Supplementary Information**

3a Grants and Contributions Paid During the Year Continuation of Purpose of Grant or Contribution

NAME OF RECIPIENT - TRANSPORTATION ASSOCIATION OF GREENWICH

PURCHASE OF A PASSENGER BUS TO PROVIDE TRANSPORTATION FOR SENIORS AND MENTALLY CHALLENGED ADULTS.

NAME OF RECIPIENT - UC DAVIS FOUNDATION

CAPACITY BUILDING GRANTS (1) TO FUND TRAINING FOR STAFF ($10,000), (2) TO SUPPORT THE UC DAVIS ARBORETUM AND PUBLIC GARDEN ($62,197) AND (3) WITH FOCUS ON DEVELOPING STUDENT STORIES TO BETTER EXPLAIN POSITIVE OUTCOMES OF THE ORGANIZATION'S MISSION ($5,000).

NAME OF RECIPIENT - ZEN HOSPICE PROJECT

GRANT FOR CORE OPERATIONAL SUPPORT ($10,000) AND STRATEGIC PLANNING PROCESS FOR A STORYTELLING INITIATIVE ($10,000).

FORM 990-PF | LEGAL FEES | STATEMENT 1

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL	1,550.	0.	0.	1,550.
TO FM 990-PF, PG 1, LN 16A	1,550.	0.	0.	1,550.

FORM 990-PF | ACCOUNTING FEES | STATEMENT 2

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING	26,490.	0.	0.	26,490.
TO FORM 990-PF, PG 1, LN 16B	26,490.	0.	0.	26,490.

FORM 990-PF | OTHER PROFESSIONAL FEES | STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT FEES	84,384.	84,384.	0.	0.
ARCHIVE SERVICES	1,603.	0.	0.	1,603.
GRANT ADMINISTRATION	1,843.	0.	0.	1,843.
TO FORM 990-PF, PG 1, LN 16C	87,830.	84,384.	0.	3,446.

FORM 990-PF | TAXES | STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES	3,430.	3,430.	0.	0.
EXCISE TAXES	11,250.	0.	0.	0.
TO FORM 990-PF, PG 1, LN 18	14,680.	3,430.	0.	0.

FORM 990-PF | OTHER EXPENSES | STATEMENT 5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INSURANCE	6,500.	0.	0.	6,500.
INFORMATION TECHNOLOGY	78.	0.	0.	78.
MISCELLANEOUS OFFICE EXPENSE	2,066.	0.	0.	2,066.
POSTAGE AND SHIPPING	1,071.	0.	0.	1,071.
BANK CHARGES	614.	0.	0.	614.
TO FORM 990-PF, PG 1, LN 23	10,329.	0.	0.	10,329.

FORM 990-PF | U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS | STATEMENT 6

DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE
GOVERNMENT SECURITIES		X	165,384.	165,384.
TOTAL U.S. GOVERNMENT OBLIGATIONS				
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS			165,384.	165,384.
TOTAL TO FORM 990-PF, PART II, LINE 10A			165,384.	165,384.

FORM 990-PF | CORPORATE STOCK | STATEMENT 7

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
EQUITIES	4,071,338.	4,071,338.
MUTUAL FUNDS	4,126,106.	4,126,106.
TOTAL TO FORM 990-PF, PART II, LINE 10B	8,197,444.	8,197,444.

FORM 990-PF CORPORATE BONDS STATEMENT 8

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE BONDS AND NOTES	210,016.	210,015.
TOTAL TO FORM 990-PF, PART II, LINE 10C	210,016.	210,015.

FORM 990-PF OTHER INVESTMENTS STATEMENT 9

DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
ASSET BACKED SECURITIES	COST	425,067.	425,067.
CERTIFICATES OF DEPOSIT	COST	100,414.	100,414.
TOTAL TO FORM 990-PF, PART II, LINE 13		525,481.	525,481.

Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

Cash

Holding	Opening balance on Sep 1 ($)	Closing balance on Sep 30 ($)	Price per share on Sep 30 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
RMA MONEY MKT PORTFOLIO	7,689 11	0 00	1 00	0 01%	Aug 26 to Sep 23	29	
UBS BANK USA BUS ACCT	33,876 04	51,114.26					250,000.00
Total	**$41,565.15**	**$51,114.26**					

Fixed income

Corporate bonds and notes

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values. Actual market values may vary and thus gains/losses may not be accurately reflected Cost basis has been adjusted for accreted original issue discount (OID). If you have made a tax election to deduct the premium amortization on taxable debt securities, you may request that UBS adjust cost basis for the bond premium amortization

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
HONEYWELL INTL INC NTS M\W +35BP RATE 03 875% MATURES 02/15/14 ACCRUED INTEREST $164 68 CUSIP 438516AY2 Moody. A2 S&P· A EAI: $659 Current yield: 3.83%	Sep 11, 12	34,000.000	104 831	35,642.54	101.263	34,429.42	-1,213 12	LT

continued next page

Your assets › **Fixed income** › **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
NORTHERN TR CORP NTS B/E RATE 04.625% MATURES 05/01/14 ACCRUED INTEREST $363.70 CUSIP 665859AK0 Moody· A1 S&P· A+ EAI· $879 Current yield 4.51%	Jun 04, 12	19,000 000	106.990	20,328 10	102 499	19,474.81	-853 29	LT
J P MORGAN CHASE & CO RATE 05 125% MATURES 09/15/14 ACCRUED INTEREST $51.24 CUSIP 46625HBV1 Moody A3 S&P A- EAI. $1,230 Current yield· 4 92%	May 24, 12	24,000 000	106.058	25,453.92	104.109	24,986.16	-467 76	LT
US BANK NA MINN NTS SER BKNT B/E RATE 04 950% MATURES 10/30/14 ACCRUED INTEREST $763 12 CUSIP 90331HKP7 Moody. A1 S&P· A+ EAI· $1,832 Current yield· 4.72%	Jun 27, 12	37,000 000	108 873	40,283 01	104.812	38,780 44	-1,502.57	LT
PRUDENTIAL FINL INC NTS B/E RATE 03 875% MATURES 01/14/15 ACCRUED INTEREST $302.68 CUSIP 74432QBL8 Moody Baa1 S&P A EAI· $1,434 Current yield· 3 73%	Jun 18, 12	37,000 000	104 835	38,788 95	103 942	38,458 54	-330.41	LT
BANK OF NEW YORK MTN B/E RATE 04 950% MATURES 03/15/15 ACCRUED INTEREST $28 87 CUSIP 06406JHB4 Moody A1 S&P A EAI. $693 Current yield 4 68%	Aug 07, 12	14,000 000	109 704	15,358 56	105 859	14,820 26	-538.30	LT

continued next page

Your assets › **Fixed income** › **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
PRINCIPAL LIFE INCM FNDGS TR RATE 05.550% MATURES 04/27/15 ACCRUED INTEREST $448.16 CUSIP 74254PYF3 Moody. Aa3 S&P· A+ EAI· $1,055 Current yield· 5.16%	Aug 28, 12	19,000 000	111.504	21,185.76	107.519	20,428 61	-757.15	LT
METLIFE INC NTS CALL@M/W+15BP RATE 05.000% MATURES 06/15/15 ACCRUED INTEREST $204.16 CUSIP 59156RAN8 Moody· A3 S&P: A- EAI $700 Current yield 4.67%	Jun 13, 12	14,000 000	109 985	15,397 90	107 068	14,989.52	-408 38	LT
AT& T INC NTS B/E RATE 02 500% MATURES 08/15/15 ACCRUED INTEREST $28 12 CUSIP 00206RAV4 Moody. A3 S&P· A- EAI· $225 Current yield 2.43%	Jun 01, 12	9,000 000	104 331	9,389.79	103 002	9,270.18	-119.61	LT
PNC FUNDING CORP RATE 04.250% MATURES 09/21/15 ACCRUED INTEREST $14 87 CUSIP 693476BG7 Moody: A3 S&P A- EAI· $595 Current yield· 3.99%	Jul 10, 12	14,000 000	109 260	15,296 40	106.466	14,905 24	-391.16	LT
STATE STREET BK & TRUST NTS RATE 05.300% MATURES 01/15/16 ACCRUED INTEREST $143 54 CUSIP 85744NAA9 Moody: Aa3 S&P. A+ EAI $689 Current yield. 4 86%	May 24, 12	13,000 000	112 168	14,581.84	109 030	14,173 90	-407.94	LT

continued next page

Your assets › **Fixed income** › **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
BB&T CORP MED TERM NTS B/E RATE 03.200% MATURES 03/15/16 CALLABLE ACCRUED INTEREST $49 33 CUSIP 05531FAG8 Moody. A2 S&P A- EAI: $1,184 *Current yield* 3 05%	Jun 13, 12	37,000.000	105 820	39,153.40	104.793	38,773 41	-379 99	LT
PROCTER & GAMBLE CO +12.5BP RATE 01.450% MATURES 08/15/16 ACCRUED INTEREST $63 43 CUSIP 742718DV8 Moody· Aa3 S&P AA- EAI. $508 Current yield· 1 43%	May 23, 12	35,000.000	101 694	35,592.90	101 627	35,569 45	-23 45	LT
WALT DISNEY CO B/E 0BP RATE 01.350% MATURES 08/16/16 ACCRUED INTEREST $49 50 CUSIP 25468PCM6 Moody A2 S&P· A EAI· $405 Current yield 1 33%	Jul 09, 12	30,000.000	101 930	30,579 00	101.375	30,412 50	-166.50	LT
COMERICA BK MI NTS RATE 05.750% MATURES 11/21/16 ACCRUED INTEREST $741 75 CUSIP 200339CG2 Moody A3 S&P. A- EAI $2,070 Current yield 5 09%	Jun 04, 12	36,000 000	113.301	40,788 36	113 045	40,696 20	-92.16	LT
BERKSHIRE HATHAWAY INC B/E RATE 01 900% MATURES 01/31/17 ACCRUED INTEREST $91 83 CUSIP 084670BD9 Moody· Aa2 S&P· AA EAI· $551 Current yield. 1 86%	Jan 17, 13	29,000.000	102.981	29,864 49	101.947	29,564.63	-299.86	ST

continued next page

Your assets › **Fixed income** › **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
TARGET CORP MW T +12 5BP RATE 05 375% MATURES 05/01/17 ACCRUED INTEREST $667.39 CUSIP 87612EAP1 Moody A2 S&P A+ EAI $1,613 Current yield· 4 72%	Jul 10, 12	30,000 000	118 899	35,669 70	113 862	34,158 60	-1,511 10	LT
BANK OF NEW YORK MELLON ADJ RATE MATURES 06/20/17 CUSIP 064058AA8 Moody· Aa3 S&P A+ EAI $276 Current yield· 1.95%	Jan 29, 13	14,000 000	102 838	14,397 31	100 893	14,125 02	-272 29	ST
FLORIDA POWER & LIGHT CALL@M/WT+20BP RATE 05 550% MATURES 11/01/17 ACCRUED INTEREST $183.76 CUSIP 341081EZ6 Moody. Aa3 S&P: A EAI. $444 Current yield· 4 80%	Jun 05, 12	8,000 000	121.067	9,685 35	115 662	9,252 96	-432 39	LT
PNC BANK NA NTS SER BKNT B/E RATE 06.000% MATURES 12/07/17 ACCRUED INTEREST $320.16 CUSIP 69349LAD0 Moody A3 S&P· A- EAI $1,020 Current yield· 5 18%	May 24, 12	17,000 000	116 283	19,768.11	115 780	19,682 60	-85.51	LT
SUNTRUST BANK NTS RATE 07 250% MATURES 03/15/18 ACCRUED INTEREST $54 37 CUSIP 86787EAM9 Moody Baa1 S&P· BBB EAI $1,305 Current yield· 6 07%	May 24, 12	18,000 000	117.764	21,197 52	119 375	21,487 50	289.98	LT

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Your assets › **Fixed income** › Corporate bonds and notes (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
AMERICAN EXPRESS CO SENIOR NTS RATE 07.000% MATURES 03/19/18 ACCRUED INTEREST $32 08 CUSIP 025816AY5 Moody A3 S&P BBB+ EAI. $1,050 Current yield. 5.81%	Sep 13, 13	15,000.000	119.357	17,903.55	120 480	18,072 00	168 45	ST
CONS EDISON NY CALL@MW+35BP RATE 05.850% MATURES 04/01/18 ACCRUED INTEREST $727 18 CUSIP 209111ET6 Moody. A3 S&P· A- EAI· $1,463 Current yield 5.00%	Nov 02, 12	25,000 000	123 454	30,863.50	116 988	29,247.00	-1,616 50	ST
JOHNSON & JOHNSON COM 5.150% 071518 DTD062308 FC011509 MW T+15BP ACCRUED INTEREST $311.14 CUSIP 478160AU8 Moody Aaa S&P· AAA EAI· $1,494 Current yield: 4.44%	Jun 13, 12	29,000 000	120 466	34,935 14	115 884	33,606 36	-1,328 78	LT
KIMBERLY CLARK CORP M/W T+10 RATE 06.250% MATURES 07/15/18 ACCRUED INTEREST $364.58 CUSIP 494368AT0 Moody· A2 S&P: A EAI $1,750 Current yield· 5.24%	Jul 27, 12	28,000 000	126.262	35,353.36	119 243	33,388.04	-1,965.32	LT
AMERICAN EXPRESS CRD CORP B/E RATE 02.125% MATURES 07/27/18 INTEREST EARNED FROM 07/29/13 1ST INTEREST PAYMENT 01/27/14 ACCRUED INTEREST $50 40 CUSIP 0258M0DJ5 Moody. A2 S&P· A- EAI· $298 Current yield· 2 12%	Jul 29, 13	14,000.000	100 155	14,021 70	100 389	14,054 46	32.76	ST

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Your assets › **Fixed income** › **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
METLIFE INC NTS SER A CALL MW+45BP RATE 06.817% MATURES 08/15/18 ACCRUED INTEREST $144.86 CUSIP 59156RAR9 Moody· A3 S&P A- EAI $1,159 Current yield: 5 63%	Jun 04, 12	17,000 000	122 078	20,753.26	120 991	20,568 47	-184 79	LT
INTL BUSINESS MACH NTS MW+50BP RATE 07.625% MATURES 10/15/18 ACCRUED INTEREST $943 59 CUSIP 459200GM7 Moody· Aa3 S&P: AA- EAI· $2,059 Current yield 6 00%	Jun 14, 12	27,000 000	133 759	36,114 93	127.028	34,297 56	-1,817.37	LT
ALLSTATE CORP NTS B/E CALL@MW+45BP RATE 07 450% MATURES 05/16/19 ACCRUED INTEREST $443 68 CUSIP 020002AX9 Moody· A3 S&P· A- EAI $1,192 Current yield: 5 89%	Jun 06, 12	16,000 000	127 806	20,448.96	126 519	20,243.04	-205 92	LT
WISCONSIN ELEC PWR CO 20BP RATE 04 250% MATURES 12/15/19 ACCRUED INTEREST $421 45 CUSIP 976656CC0 Moody A2 S&P. A- EAI. $1,445 Current yield 3 80%	Jun 20, 12	34,000 000	114.457	38,915 38	111.697	37,976 98	-938.40	LT
IDAHO PWR CO B/E CALL@MW+20BP RATE 04 500% MATURES 03/01/20 ACCRUED INTEREST $123 25 CUSIP 45138LAW3 Moody· A2 S&P: A- EAI $1,530 Current yield. 4.14%	Jun 12, 12	34,000 000	113.769	38,681 46	108.704	36,959 36	-1,722 10	LT

continued next page

Your assets › **Fixed income** › Corporate bonds and notes (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
ALABAMA POWER CO B/E RATE 03 375% MATURES 10/01/20 ACCRUED INTEREST $637 68 CUSIP 010392FC7 Moody· A2 S&P· A EAI: $1,283 Current yield 3 27%	Jul 16, 12	38,000 000	109 450	41,591 00	103 197	39,214 86	-2,376 14	LT
UNITED PARCEL SERVICE B/E RATE 03.125% MATURES 01/15/21 ACCRUED INTEREST $214.84 CUSIP 911312AM8 Moody· Aa3 S&P· A+ EAI $1,031 Current yield 3 08%	Jun 19, 12	33,000 000	107.864	35,595 12	101 352	33,446 16	-2,148 96	LT
Total		**$798,000.000**		**$893,580.27**		**$869,514.24**	**-$24,066.03**	

Total accrued interest: $9,149.39

Total estimated annual income: $35,121

Asset backed securities

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values Actual market values may vary and thus gains/losses may not be accurately reflected The cost basis for asset backed securities has been adjusted automatically for return of principal payments and if issued at a discount, accreted original issue discount (OID)

Holding	Trade date	Quantity	Purchase price($)	Adjusted cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
SLMA SER 2008-5 CL A-4 RATE 01.9659% MATURES 07/25/23 CURRENT PAR VALUE 65,000 ACCRUED INTEREST $232.64 CUSIP 78444YAD7 EAI $1,278 Current yield. 1 88%	Jun 01, 12	65,000 000	104 140	67,691.00	104 508	67,930 20	239 20	LT
FHLMC PL G06214 RATE 06 0000% MATURES 05/01/37 CURRENT PAR VALUE 46,344 ACCRUED INTEREST $223.99 CUSIP 3128M8GX6 EAI· $2,781 Current yield: 5.51%	Sep 27, 11	170,000 000	110 000	50,978 25	108 831	50,436 63	-541 62	LT

continued next page

Your assets › **Fixed income** › Asset backed securities (continued)

Holding	Trade date	Quantity	Purchase price($)	Adjusted cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
GNMA PL 680184X RATE 05 5000% MATURES 03/15/38 CURRENT PAR VALUE 42,638 ACCRUED INTEREST $188 89 CUSIP 36295TUH5 EAI $2,345 Current yield· 5 02%	Jul 28, 09	201,000 000	103 906	44,303.20	109.646	46,750 86	2,447.66	LT
GNMA PL 686874X RATE 05.5000% MATURES 06/15/38 CURRENT PAR VALUE 7,481 ACCRUED INTEREST $33 14 CUSIP 36296CCK4 EAI· $411 Current yield· 5 01%	Jul 28, 09	33,894.000	103.906	7,773 31	109 675	8,204.78	431.47	LT
Total		**469,894.000**		**$170,745.76**		**$173,322.47**	**$2,576.71**	

Total accrued interest: $678.66

Total estimated annual income: $6,815

Government securities

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values Actual market values may vary and thus gains/losses may not be accurately reflected Cost basis has been adjusted for accreted original issue discount (OID) If you have made a tax election to deduct the premium amortization on taxable debt securities, you may request that UBS adjust cost basis for the bond premium amortization

Holding	Trade date	Quantity	Purchase price ($)	Cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
FNMA NTS RATE 0.1900% MATURES 01/20/15 ACCRUED INTEREST $6 38 CUSIP 3135G0HB2 EAI· $230 Current yield· 0 19%	Jun 18, 12	121,000 000	100.000	121,000.00	100 080	121,096.80	96 80	LT
U S TREASURY NOTE RATE 3.6250% MATURES 02/15/20 ACCRUED INTEREST $308 12 CUSIP 912828MP2 EAI $2,465 Current yield. 3 26%	Jun 14, 12	53,000.000	118 015	62,548.27	111 094	58,879 82	-3,668.45	LT
	Oct 09, 12	15,000.000	117.484	17,622.66	111 094	16,664.10	-958.56	ST
Security total		68,000 000		80,170.93		75,543 92	-4,627.01	

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Your assets › **Fixed income** › Government securities (continued)

Holding	Trade date	Quantity	Purchase price ($)	Cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
U S TREASURY NOTE RATE 2.1250% MATURES 08/15/21 ACCRUED INTEREST $387 81 CUSIP 912828RC6 EAI: $3,103 *Current yield* 2.14%	Jun 14, 12	126,000.000	105.343	132,733.19	99.188	124,976.88	-7,756 31	LT
	Oct 09, 12	20,000 000	105 343	21,068 75	99.188	19,837.60	-1,231.15	ST
Security total		146,000 000		153,801 94		144,814 48	-8,987.46	
U S TREASURY NOTE RATE 1 7500% MATURES 05/15/23 ACCRUED INTEREST $590 62 CUSIP 912828VB3 EAI: $1,575 Current yield. 1 89%	Jun 27, 13	90,000.000	93 609	84,248.44	92 664	83,397 60	-850 84	ST
Total		**425,000.000**		**$439,221.31**		**$424,852.80**	**-$14,368.51**	

Total accrued interest: $1,292.93

Total estimated annual income: $7,373

Your total assets

		Value on Sep 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**51,114.26**	**3.34%**	**51,114.26**		
Fixed income	Corporate bonds and notes	869,514 24		893,580.27	35,121.00	-24,066 03
	Asset backed securities	173,322.47		170,745.76	6,815 00	2,576 71
	Government securities	424,852 80		439,221.31	7,373.00	-14,368.51
	Total accrued interest	11,120.98				
	Total fixed income	**1,478,810.49**	**96.66%**	**1,503,547.34**	**49,309.00**	**-35,857.83**
Total		**$1,529,924.75**	**100.00%**	**$1,554,661.60**	**$49,309.00**	**-$35,857.83**

Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

Cash

Cash and money balances

Holding	Opening balance on Sep 1 ($)	Closing balance on Sep 30 ($)	Price per share on Sep 30 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
RMA MONEY MKT. PORTFOLIO	9,522.49	9,522 53	1.00	0 01%	Aug 26 to Sep 23	29	
UBS BANK USA BUS ACCT	2,320.39	6,707.09					250,000.00
Total	**$11,842.88**	**$16,229.62**					

Equities

Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
EGA EMERGING GLOBAL SHS TR									
EMERG MKT METAL&MINE TITANS									
INDX ETF									
Symbol· EMT									
Trade date: Jun 8, 12	6,330.000	13 427	84,997 10	84,997.10	9 984	63,198.72	-21,798.38	-21,798.38	LT

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Your assets › **Equities** › Closed end funds & Exchange traded products (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
ISHARES US REAL ESTATE ETF									
Symbol. IYR									
Trade date· May 9, 12	1,260.000	63 476	79,980 01	79,980.01	63 790	80,375 40	395 39	395 39	LT
EAI· $3,257 Current yield· 4 05%									
ISHARES US UTILITIES ETF									
Symbol. IDU									
Trade date: May 9, 12	923 000	86.548	79,884 63	79,884.63	93 890	86,660 47	6,775 84	6,775 84	LT
EAI· $2,830 Current yield· 3 27%									
ISHARES EMERGING MARKETS INFRASTRUCTURE ETF									
Symbol· EMIF									
Trade date: Jun 8, 12	266.000	30.727	8,173.41	8,173 41	33.220	8,836 52	663.11		LT
Trade date: Jun 20, 12	2,230 000	31.308	69,816 84	69,816 84	33 220	74,080 60	4,263.76		LT
EAI: $2,701 Current yield· 3 26%									
Security total	2,496.000	31 246	77,990 25	77,990 25		82,917.12	4,926.87	4,926 87	
MARKET VECTORS AGRIBUSINESS ETF									
Symbol MOO									
Trade date· Jun 8, 12	1,652 000	46 742	77,219.11	77,219.11	51.330	84,797 16	7,578 05	7,578.05	LT
EAI· $1,606 Current yield: 1.89%									
POWERSHARES GBL CLEAN ENERGY									
Symbol· PBD									
Trade date: Jun 15, 09	3,162.000	15.555	49,186.71	49,186.71	11 450	36,204.90	-12,981.81		LT
Trade date: Jun 8, 12	7,415 000	7.300	54,135 25	54,135 25	11 450	84,901.75	30,766 50		LT
EAI· $1,174 Current yield 0 97%									
Security total	10,577.000	9 769	103,321 96	103,321 96		121,106.65	17,784 69	17,784.69	
POWERSHARES GLOBAL WATER PORTFOLIO									
Symbol: PIO									
Trade date. Jun 15, 09	2,140 000	14 964	32,024 64	32,024 64	21 110	45,175 40	13,150 76		LT
Trade date: Jun 8, 12	400.000	16 286	6,514 44	6,514 44	21.110	8,444 00	1,929 56		LT

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Your assets › **Equities** › Closed end funds & Exchange traded products *(continued)*

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
EAI· $810 Current yield· 1 51%									
Security total	2,540 000	15 173	38,539.08	38,539 08		53,619.40	15,080.32	15,080 32	
POWERSHARES WATER RESOURCES									
PORTFOLIO									
Symbol PHO									
Trade date Jun 15, 09	1,788.000	14.972	26,770.27	26,770.27	23.910	42,751 08	15,980 81		LT
Trade date· Jun 8, 12	340 000	17 672	6,008.48	6,008 48	23 910	8,129 40	2,120 92		LT
EAI $313 Current yield· 0.62%									
Security total	2,128 000	15.404	32,778.75	32,778.75		50,880.48	18,101.73	18,101.73	
Total			**$574,710.89**	**$574,710.89**		**$623,555.40**	**$48,844.51**	**$48,844.51**	

Total estimated annual income: $12,691

Mutual funds

Total reinvested is the total of all reinvested dividends It does not include any cash dividends. It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested. *It does not include shares that are not* reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
DELAWARE EMERGING									
MARKETS FUND CL A									
Symbol. DEMAX									
Trade date. May 9, 12	1,039 087	12.919	13,425.00	13,425 00	15 740	16,355.22	2,930.22		LT
Total reinvested	8.061	14 050		113 26	15 740	126.88	13.62		
EAI: $114 Current yield· 0 69%									
Security total	1,047.148	12 929	13,425.00	13,538.26		16,482.10	2,943.84	3,057.10	
DELAWARE EMERGING									
MARKETS FUND CL C									
Symbol· DEMCX									
Trade date· Jun 15, 09	8,558 008	9.820	84,044 24	84,044.24	14 860	127,172 00	43,127.76		LT

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Your assets › Equities › Mutual funds (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Total reinvested	130 027	11.994		1,559.59	14 860	1,932.20	372.61		
EAI. $148 Current yield. 0 11%									
Security total	8,688 035	9.853	84,044.24	85,603 83		129,104.20	43,500.37	45,059 96	
OPPENHEIMER STEELPATH									
MLP ALPHA FUND A									
Symbol: MLPAX									
Trade date· May 9, 12	7,714 561	10.025	77,341.56	77,341 56	11 950	92,189.00	14,847.44		LT
Total reinvested	612 691	11.163		6,839 62	11 950	7,321.66	482.04		
EAI: $5,737 Current yield· 5 77%									
Security total	8,327.252	10 109	77,341.56	84,181.18		99,510.66	15,329 48	22,169 10	
OPPENHEIMER DEVELOPING									
MARKETS FUND CL C									
Symbol. ODVCX									
Trade date. Jun 15, 09	3,953 752	21 241	83,982.28	83,982 28	35.200	139,172 06	55,189 78		LT
Total reinvested	49.013	28 741		1,408.73	35.200	1,725 26	316 53		
Security total	4,002 765	21.333	83,982 28	85,391 01		140,897.32	55,506.31	56,915 04	
Total			**$258,793.08**	**$268,714.28**		**$385,994.28**	**$117,280.00**	**$127,201.20**	

Total estimated annual income: $5,999

Fixed income

Closed end funds & Exchange traded products

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Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested.

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
ISHARES US PFD STOCK ETF INDEX									
FUND									
Symbol PFF									

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Your assets › **Fixed income** › **Closed end funds & Exchange traded products** (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Trade date May 9, 12	2,075 000	38.686	80,275.52	80,275 52	38 000	78,850 00	-1,425.52	-1,425 52	LT
EAI: $4,455 Current yield· 5 65%									
ISHARES IBOXX HIGH YIELD									
CORPORATE BOND ETF									
Symbol· HYG									
Trade date: May 9, 12	880.000	90.736	79,847.85	79,847 85	91 580	80,590.40	742 55	742 55	LT
EAI: $5,142 Current yield: 6 38%									
MARKET VECTORS ETF TR EM LC									
CURR DBT									
Symbol: EMLC									
Trade date: Apr 1, 13	16,320 000	26.992	440,511 12	440,511 12	24 300	396,576 00	-43,935 12	-43,935 12	ST
EAI· $18,768 Current yield· 4 73%									
Total			**$600,634.49**	**$600,634.49**		**$556,016.40**	**-$44,618.09**	**-$44,618.09**	

Total estimated annual income: $28,365

Mutual funds

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividends that were not reinvested.

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
EATON VANCE GLOBAL MACRO									
ABSOLUTE RETURN									
FUND A									
Symbol: EAGMX									
Trade date: Apr 1, 13	53,083.923	9 890	525,000.00	525,000 00	9 430	500,581 39	-24,418 61		ST
Total reinvested	995.876	9 636		9,596 59	9 430	9,391.11	-205.48		
EAI: $19,360 Current yield: 3.80%									
Security total	54,079 799	9 885	525,000 00	534,596 59		509,972.50	-24,624.09	-15,027.50	

Your assets *(continued)*

Other

Mutual funds

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested.

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
PIMCO ALL ASSETS ALL									
AUTH-A									
Symbol. PAUAX									
Trade date: Apr 1, 13	47,945.205	10 950	525,000 00	525,000 00	10 310	494,315.06	-30,684 94		ST
Total reinvested	682 812	10 275		7,016 28	10 310	7,039.79	23.51		
EAI $25,676 Current yield: 5.12%									
Security total	48,628 017	10 941	525,000.00	532,016 28		501,354.85	-30,661 43	-23,645 15	

Your total assets

		Value on Sep 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**16,229.62**	**0.63%**	**16,229.62**		
Equities	Closed end funds & Exchange traded products	623,555 40		574,710.89	12,691 00	48,844.51
	Mutual funds	385,994.28		268,714.28	5,999.00	117,280 00
	Total equities	**1,009,549.68**	**38.93%**	**843,425.17**	**18,690.00**	**166,124.51**
Fixed income	Closed end funds & Exchange traded products	556,016 40		600,634.49	28,365.00	-44,618.09
	Mutual funds	509,972.50		534,596 59	19,360 00	-24,624 09
	Total fixed income	**1,065,988.90**	**41.11%**	**1,135,231.08**	**47,725.00**	**-69,242.18**
Other	**Mutual funds**	**501,354.85**	**19.33%**	**532,016.28**	**25,676.00**	**-30,661.43**
Total		**$2,593,123.05**	**100.00%**	**$2,526,902.15**	**$92,091.00**	**$66,220.90**

Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for *more information*

Cash

Holding	Opening balance on Sep 1 ($)	Closing balance on Sep 30 ($)	Price per share on Sep 30 ($)	Average rate	Dividend/Interest period	Days in period	*Cap amount ($)*
RMA GOVERNMENT PORTFOLIO	37,122 01	0 00	1 00	0 01%	Aug 26 to Sep 23	29	
UBS BANK USA BUS ACCT	146,027.46	143,959.76					250,000.00
Total	**$183,149.47**	**$143,959.76**					

Fixed income

Asset backed securities

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values *Actual market values may vary and thus gains/losses may not be accurately* reflected. The cost basis for asset backed securities has been adjusted automatically for return of principal payments and if issued at a discount, accreted original issue discount (OID)

Holding	Trade date	Quantity	Purchase price($)	Adjusted cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
FNMA PL 745580 RATE 05.0000% MATURES 06/01/36 CURRENT PAR VALUE 1,117 ACCRUED INTEREST $4 49 CUSIP 31403DJZ3 EAI $56 Current yield: 4.61%	Sep 27, 13	8,000 000	108 281	1,209 62	108.412	1,210.96	1 34	ST

continued next page

Your assets › **Fixed income** › **Asset backed securities** (continued)

Holding	Trade date	Quantity	Purchase price($)	Adjusted cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
FHLMC PL G08323 RATE 05 0000% MATURES 02/01/39 CURRENT PAR VALUE 549 ACCRUED INTEREST $2.21 CUSIP 3128MJLD0 EAI· $27 Current yield· 4.65%	Sep 18, 13	3,000.000	108.250	594.38	107 612	590.78	-3.60	ST
FNMA PL AL2629 RATE 05.0000% MATURES 06/01/39 CURRENT PAR VALUE 12,398 ACCRUED INTEREST $49.93 CUSIP 3138EJ4P0 EAI $620 Current yield 4 61%	Mar 18, 13	21,000 000	108.351	13,433 54	108.446	13,445 13	11 59	ST
FNMA PL AD8033 RATE 04.0000% MATURES 08/01/40 CURRENT PAR VALUE 17,068 ACCRUED INTEREST $54 99 CUSIP 31418V4T6 EAI· $683 Current yield· 3.81%	Aug 07, 12	40,000 000	107 046	18,783 09	104 910	17,906 03	-877 06	LT
GNMA PL 005081M RATE 04 0000% MATURES 06/20/41 CURRENT PAR VALUE 60,618 ACCRUED INTEREST $195 31 CUSIP 36202FUE4 EAI: $2,425 Current yield 3 76%	Oct 24, 11	99,000.000	106.250	64,895.01	106.369	64,478 76	-416 25	LT
FNMA PL AB3314 RATE 04 5000% MATURES 07/01/41 CURRENT PAR VALUE 40,299 ACCRUED INTEREST $146 07 CUSIP 31416YVG0 EAI $1,813 Current yield· 4 21%	Jun 11, 12	105,000 000	107 375	44,105.53	106.964	43,105.42	-1,000.11	LT
FNMA PL AL1700 RATE 04 0000% MATURES 09/01/41 CURRENT PAR VALUE 647 ACCRUED INTEREST $2.08 CUSIP 3138EH3J9 EAI· $26 Current yield· 3.81%	Apr 26, 13	1,000.000	107 054	693 12	104.938	678 94	-14 18	ST

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Your assets ▸ **Fixed income** ▸ **Asset backed securities** (continued)

Holding	Trade date	Quantity	Purchase price($)	Adjusted cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
GNMA PL 005240M RATE 06 0000% MATURES 11/20/41 CURRENT PAR VALUE 16,233 ACCRUED INTEREST $78.45 CUSIP 36202FZD1 EAI· $974 Current yield 5 46%	Nov 28, 11	28,000.000	112 125	18,201.29	109.954	17,848 83	-352 46	LT
FNMA PL AB5468 RATE 03.5000% MATURES 06/01/42 CURRENT PAR VALUE 59,900 ACCRUED INTEREST $168.88 CUSIP 31417CCE3 EAI· $2,097 Current yield. 3.44%	Jun 07, 12	80,000.000	104 968	63,142 15	101.878	61,024 92	-2,117.23	LT
FNMA PL AB7079 RATE 03.0000% MATURES 11/01/42 CURRENT PAR VALUE 43,314 ACCRUED INTEREST $104 67 CUSIP 31417D2M4 EAI $1,299 Current yield 3 07%	Nov 07, 12	45,000.000	105 398	45,682 96	97.778	42,351 56	-3,331.40	ST
FNMA PL AQ7081 RATE 03.5000% MATURES 12/01/42 CURRENT PAR VALUE 1,893 ACCRUED INTEREST $5 33 CUSIP 3138MN2P4 EAI: $66 Current yield 3 43%	Jul 10, 13	2,000.000	100 015	1,893 02	101 969	1,930 27	37 25	ST
FNMA PL AL3424 RATE 04 0000% MATURES 01/01/43 CURRENT PAR VALUE 3,625 ACCRUED INTEREST $11 68 CUSIP 3138EKYW9 EAI $145 Current yield 3.81%	Jul 10, 13	4,000 000	103 343	3,746 11	105 096	3,809.73	63 62	ST
FNMA PL AR5858 RATE 03 0000% MATURES 02/01/43 CURRENT PAR VALUE 967 ACCRUED INTEREST $2.33 CUSIP 3138W3QL0 EAI· $29 Current yield 3 07%	Sep 23, 13	1,000.000	96.968	937.56	97 778	945.51	7 95	ST

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Your assets › **Fixed income** › **Asset backed securities** (continued)

Holding	Trade date	Quantity	Purchase price($)	Adjusted cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
FHLMC PL Q16644 RATE 03.5000% MATURES 03/01/43 CURRENT PAR VALUE 2,970 ACCRUED INTEREST $8 37 CUSIP 3132J7ZJ4 EAI. $104 Current yield 3.44%	Sep 19, 13	3,000.000	99 347	2,950.84	101.607	3,017 72	66 88	ST
FHLMC PL Q17665 RATE 03 0000% MATURES 04/01/43 CURRENT PAR VALUE 983 ACCRUED INTEREST $2.37 CUSIP 3132J86B1 EAI $29 Current yield 3.08%	Jul 11, 13	1,000 000	95 359	937.03	97 418	957 61	20.58	ST
FHLMC PL Q17639 RATE 03.0000% MATURES 04/01/43 CURRENT PAR VALUE 1,954 ACCRUED INTEREST $4 72 CUSIP 3132J84Z0 EAI $59 Current yield 3 08%	Sep 16, 13	2,000 000	94.695	1,849 88	97.428	1,903 74	53 86	ST
FNMA PL AU2933 RATE 03 5000% MATURES 09/01/43 CURRENT PAR VALUE 2,990 ACCRUED INTEREST $8 42 CUSIP 3138X2HK3 EAI· $105 Current yield· 3 43%	Sep 16, 13	3,000 000	99.496	2,974.80	102.092	3,052 55	77 75	ST
FNMA PL AU6902 RATE 04 5000% MATURES 09/01/43 CURRENT PAR VALUE 2,000 ACCRUED INTEREST $7 25 CUSIP 3138X6U45 EAI $90 Current yield 4 21%	Sep 18, 13	2,000 000	106.640	2,132 80	107 003	2,140 06	7.26	ST
FNMA PL AS0415 RATE 04 0000% MATURES 09/01/43 CURRENT PAR VALUE 5,992 ACCRUED INTEREST $19 30 CUSIP 3138W9N97 EAI· $240 Current yield 3.81%	Sep 18, 13	6,000.000	103.929	6,227 73	104 971	6,289 86	62 13	ST

continued next page

Your assets › **Fixed income** › Asset backed securities (continued)

Holding	Trade date	Quantity	Purchase price($)	Adjusted cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
Total		**454,000.000**		**$294,390.46**		**$286,688.38**	**-$7,702.08**	

Total accrued interest: $876.85

Total estimated annual income: $10,887

Mutual funds

Total reinvested is the total of all reinvested dividends. It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
ALLIANZ FIXED INCOME									
SHARES: SERIES C									
Symbol: FXICX									
Trade date May 22, 12	23,825 000	13 250	315,681 25	315,681 25	13.020	310,201.50	-5,479 75		LT
Trade date: Aug 12, 13	100 000	13.030	1,303 00	1,303.00	13.020	1,302 00	-1.00		ST
Trade date. Aug 14, 13	670.000	12.930	8,663 10	8,663.10	13 020	8,723 40	60.30		ST
Trade date: Sep 11, 13	870.000	12 800	11,136 00	11,136 00	13 020	11,327 40	191 40		ST
EAI· $14,159 Current yield· 4 27%									
Security total	25,465 000	13 225	336,783 35	336,783 35		331,554 30	-5,229 05	-5,229 05	
ALLIANZ FIXED INCOME									
SHARES· SERIES M									
Symbol: FXIMX									
Trade date· May 22, 12	26,430 000	10 810	285,708.30	285,708 30	10.740	283,858.20	-1,850.10		LT
Trade date: Aug 13, 13	50 000	10 660	533 00	533.00	10 740	537.00	4 00		ST
Trade date· Aug 14, 13	930 000	10 670	9,923.10	9,923.10	10 740	9,988.20	65.10		ST
Trade date Sep 11, 13	830.000	10 520	8,731.60	8,731 60	10 740	8,914 20	182.60		ST
EAI· $9,376 Current yield· 3 09%									
Security total	28,240 000	10 797	304,896 00	304,896.00		303,297 60	-1,598.40	-1,598.40	
Total			**$641,679.35**	**$641,679.35**		**$634,851.90**	**-$6,827.45**	**-$6,827.45**	

Total estimated annual income: $23,535

Your assets › **Fixed income** (continued)

Government securities

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values Actual market values may vary and thus gains/losses may not be accurately reflected. Cost basis has been adjusted for accreted original issue discount (OID) If you have made a tax election to deduct the premium amortization on taxable debt securities, you may request that *UBS adjust* cost basis for the bond premium amortization

Holding	Trade date	Quantity	Purchase price ($)	Cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
U S TREASURY NOTE RATE 0.7500% MATURES 10/31/17 ACCRUED INTEREST $346 12 CUSIP 912828TW0 EAI $833 *Current yield* 0.76%	Dec 13, 12	99,000.000	100.406	99,402 19	98.625	97,638.75	-1,763.44	ST
	Jul 09, 13	6,000 000	97 824	5,869 45	98 625	5,917 50	48 05	ST
	Aug 20, 13	3,000 000	97.820	2,934 61	98 625	2,958 75	24 14	ST
	Sep 17, 13	3,000 000	97 714	2,931 45	98.625	2,958 75	27 30	ST
Security total		111,000 000		111,137.70		109,473.75	-1,663.95	
U S TREASURY NOTE RATE 1 1250% MATURES 12/31/19 ACCRUED INTEREST $199.68 CUSIP 912828UF5 EAI $799 Current yield. 1.17%	Jan 09, 13	16,000 000	99 101	15,856 25	95.875	15,340.00	-516.25	ST
	Jan 15, 13	39,000 000	99 351	38,747 11	95.875	37,391.25	-1,355.86	ST
	Jan 22, 13	7,000.000	99.320	6,952.42	95.875	6,711 25	-241 17	ST
	Aug 20, 13	6,000.000	94 492	5,669.53	95 875	5,752 50	82.97	ST
	Sep 17, 13	3,000.000	94 484	2,834.53	95.875	2,876 25	41 72	ST
Security total		71,000.000		70,059 84		68,071 25	-1,988.59	
U S TREASURY NOTE RATE 2 0000% MATURES 11/15/21 ACCRUED INTEREST $397.50 CUSIP 912828RR3 EAI· $1,060 Current yield 2 05%	May 07, 13	32,000.000	103.679	33,177.50	97 750	31,280 00	-1,897 50	ST
	May 14, 13	4,000 000	102 664	4,106.56	97 750	3,910.00	-196 56	ST
	May 21, 13	7,000 000	102 882	7,201.80	97.750	6,842 50	-359 30	ST
	Jun 04, 13	5,000 000	100 980	5,049 02	97.750	4,887.50	-161 52	ST
	Aug 20, 13	3,000.000	95 972	2,879 18	97.750	2,932 50	53 32	ST
	Sep 10, 13	1,000 000	95 144	951.45	97 750	977.50	26.05	ST
	Sep 17, 13	1,000 000	95.835	958 36	97 750	977 50	19.14	ST
Security total		53,000.000		54,323.87		51,807 50	-2,516 37	

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Your assets › **Fixed income** › Government securities (continued)

Holding	Trade date	Quantity	Purchase price ($)	Cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
US TSY INFL PROT NOTE RATE 0 1250% DUE 07/15/22 CURRENT PAR VALUE 163,541 ACCRUED INTEREST $42.76 CUSIP 912828TE0 EAI $204 Current yield 0 13%	Jul 24, 12	35,000.000	108 484	38,568 55	98.500	35,019.11	-3,549.44	LT
	Jul 24, 12	18,000 000	108.468	19,832.33	98.500	18,009.83	-1,822.50	LT
	Nov 28, 12	42,000.000	109 250	46,614.31	98.500	42,022 93	-4,591.38	ST
	Dec 07, 12	58,000.000	110.351	65,013 55	98 500	58,031 67	-6,981 88	ST
	Jun 25, 13	8,000.000	96.437	7,841.95	98 500	8,004 37	162 42	ST
Security total		161,000.000		177,870 69		161,087.88	-16,782 78	
U S TREASURY NOTE RATE 2 0000% MATURES 02/15/23 ACCRUED INTEREST $117 50 CUSIP 912828UN8 EAI $940 Current yield 2 10%	Mar 12, 13	27,000 000	99.832	26,954 64	95 242	25,715.34	-1,239 30	ST
	Apr 09, 13	13,000.000	102 300	13,299.10	95 242	12,381 46	-917.64	ST
	Jul 09, 13	4,000 000	95 050	3,802.03	95 242	3,809 68	7 65	ST
	Aug 20, 13	3,000 000	93 363	2,800 90	95 242	2,857 26	56 36	ST
Security total		47,000 000		46,856.67		44,763.74	-2,092.93	
Total		**443,000.000**		**$460,248.77**		**$435,204.12**	**-$25,044.62**	

Total accrued interest: $1,103.56

Total estimated annual income: $3,836

Your total assets

		Value on Sep 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**143,959.76**	**9.58%**	**143,959.76**		
Fixed income	Asset backed securities	286,688.38		294,390.46	10,887.00	-7,702 08
	Mutual funds	634,851.90		641,679 35	23,535.00	-6,827 45
	Government securities	435,204 12		460,248.77	3,836.00	-25,044.62
	Total accrued interest	1,980 41				
	Total fixed income	**1,358,724.81**	**90.42%**	**1,396,318.58**	**38,258.00**	**-39,574.15**
Total		**$1,502,684.57**	**100.00%**	**$1,540,278.34**	**$38,258.00**	**-$39,574.15**

Account name: THE EXCELERATE FOUNDATION

Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information

Cash

Cash and money balances

Holding	Opening balance on Sep 1 ($)	Closing balance on Sep 30 ($)	Price per share on Sep 30 ($)	Average rate	Dividend/Interest period	Days in period
Cash	0 58	0.58				

Your total assets

		Value on Sep 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**0.58**	**100.00%**	**0.58**		
Total		**$0.58**	**100.00%**	**$0.58**		

Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

Cash

Holding	Opening balance on Sep 1 ($)	Closing balance on Sep 30 ($)	Price per share on Sep 30 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
RMA GOVERNMENT PORTFOLIO	10,977.01	6,764 76	1 00	0 01%	Aug 26 to Sep 23	29	
UBS BANK USA BUS ACCT	415 73	690 98					250,000.00
Total	**$11,392.74**	**$7,455.74**					

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
AIR LEASE CORP								
Symbol: AL Exchange NYSE								
EAI $20 Current yield 0 36%	Nov 22, 11	107 000	21 485	2,298 95	27 660	2,959.62	660.67	LT
	Dec 15, 11	40.000	22 879	915 19	27 660	1,106 40	191 21	LT
	Dec 16, 11	52 000	22 564	1,173 35	27 660	1,438 32	264.97	LT
Security total		199.000	22 048	4,387 49		5,504.34	1,116 85	
AUTONATION INC								
Symbol AN Exchange NYSE	Feb 2, 11	60.000	29.106	1,746 40	52 170	3,130 20	1,383.80	LT
	Feb 8, 11	66 000	32.422	2,139.91	52.170	3,443.22	1,303 31	LT
	Feb 24, 11	84.000	32.326	2,715 41	52 170	4,382 28	1,666 87	LT
	Mar 7, 11	107 000	32 434	3,470 52	52.170	5,582 19	2,111 67	LT

continued next page

Your assets › **Equities** › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Mar 28, 11	60.000	34 243	2,054 60	52.170	3,130 20	1,075.60	LT
	Apr 26, 11	59.000	33 155	1,956 16	52.170	3,078 03	1,121.87	LT
Security total		436 000	32.300	14,083 00		22,746.12	8,663.12	
BERKSHIRE HATHAWAY INC NEW CL B Symbol· BRK.B Exchange· NYSE	Jun 30, 09	68 000	57 507	3,910.49	113.510	7,718 68	3,808.19	LT
BROOKFIELD ASSET MGMT INC LTD VTG SHS CL A Symbol. BAM Exchange: NYSE EAI. $345 Current yield. 1 60%	Jun 30, 09	575 000	17 199	9,889 71	37 400	21,505.00	11,615.29	LT
BROOKFIELD RESIDENTIAL PPTYS Symbol· BRP Exchange: NYSE CAD Exchange rate· 1.02790	May 1, 12	51.000	11 850	604.36	23 020	1,174 02	569 66	LT
	May 2, 12	84 000	12 027	1,010 32	23.020	1,933 68	923.36	LT
	May 3, 12	94 000	11 870	1,115 80	23 020	2,163 88	1,048 08	LT
	Aug 31, 12	7 000	14.302	100.12	23.020	161.14	61.02	LT
	Sep 4, 12	21 000	14 220	298 62	23.020	483.42	184.80	LT
Security total		257 000	12.176	3,129.22		5,916.14	2,786.92	
CALLOWAY REAL ESTATE INVT TRUST CAD Symbol CWYUF Exchange OTC EAI $288 Current yield 6.33% CAD Exchange rate 1.02790	May 23, 12	21.000	27.656	580.78	23.710	497.91	-82 87	LT
	Jun 26, 12	11 000	27.625	303.88	23 710	260.81	-43.07	LT
	Jun 27, 12	39.000	27 351	1,066.69	23 710	924 69	-142 00	LT
	Jun 28, 12	8.000	26 998	215 99	23.710	189.68	-26 31	LT
	Aug 7, 12	49 000	30 045	1,472 25	23.710	1,161 79	-310.46	LT
	Aug 29, 12	43.000	30 336	1,304.47	23.710	1,019.53	-284.94	LT
	Aug 30, 12	21.000	30 096	632 02	23.710	497.91	-134 11	LT
Security total		192 000	29 042	5,576 08		4,552 32	-1,023 76	
CBOE HLDGS INC COM Symbol· CBOE Exchange· OTC EAI $43 Current yield· 1.58%	Aug 27, 12	24 000	28 754	690 11	45.230	1,085.52	395 41	LT
	Aug 28, 12	36.000	28 996	1,043.89	45.230	1,628 28	584 39	LT

continued next page

Account name: THE EXCELERATE FOUNDATION

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
Security total		60.000	28 900	1,734.00		2,713 80	979 80	
COLFAX CORP Symbol: CFX Exchange NYSE	Jan 5, 12	24.000	28.496	683 91	56 490	1,355 76	671 85	LT
	Jan 24, 12	72 000	31.898	2,296.68	56 490	4,067.28	1,770 60	LT
	May 8, 13	31.000	45.013	1,395.42	56.490	1,751.19	355.77	ST
Security total		127.000	34 457	4,376 01		7,174 23	2,798.22	
CONTINENTAL RESOURCES INC (OKLA) Symbol: CLR Exchange: NYSE	Dec 15, 11	12.000	61 971	743 66	107.260	1,287 12	543 46	LT
	Dec 20, 11	32 000	66 279	2,120 94	107.260	3,432.32	1,311.38	LT
Security total		44.000	65.105	2,864 60		4,719 44	1,854 84	
CRIMSON WINE GROUP LTD Symbol· CWGL Exchange· OTC	Jun 30, 09	4 000	5 960	23 84	9 550	38.20	14.36	LT
	May 6, 10	6 400	6 868	43.96	9 550	61.12	17.16	LT
	Aug 24, 10	11.800	5.758	67 95	9.550	112.69	44.74	LT
	Aug 25, 10	15 400	5 738	88 37	9.550	147.07	58 70	LT
	Aug 26, 10	11 200	5 825	65 25	9.550	106.96	41 71	LT
	Oct 7, 10	3 900	6.892	26 88	9 550	37 25	10.37	LT
	Oct 8, 10	6 500	6.983	45 39	9 550	62 08	16 69	LT
	Jan 23, 13	7 400	6 990	51 73	9.550	70 67	18 94	ST
	Feb 14, 13	6 400	7 814	50 01	9.550	61.12	11.11	ST
Security total		73 000	6 348	463 38		697 15	233 78	
DISH NETWORK CORP CL A Symbol· DISH Exchange: OTC	Nov 3, 11	20 000	23.727	474 54	45 010	900 20	425 66	LT
	Nov 30, 11	85 000	24.598	2,090 84	45 010	3,825 85	1,735 01	LT
	Apr 26, 12	87.000	31 452	2,736 35	45 010	3,915.87	1,179 52	LT
Security total		192 000	27 613	5,301.73		8,641 92	3,340.19	
DREAMWORKS ANIMATION SKG CL A Symbol DWA Exchange NYSE	Apr 28, 11	31.000	25 947	804 36	28 460	882.26	77.90	LT
	Jun 17, 11	87 000	21.680	1,886 24	28 460	2,476.02	589 78	LT
	Jul 15, 11	143.000	20 826	2,978.15	28 460	4,069 78	1,091 63	LT
	Aug 8, 11	143 000	18.222	2,605 86	28.460	4,069.78	1,463.92	LT

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Aug 23, 11	93.000	18.912	1,758.83	28.460	2,646.78	887.95	LT
	Aug 24, 11	28.000	18.939	530 31	28.460	796.88	266.57	LT
	Sep 20, 11	100.000	19 541	1,954.11	28.460	2,846 00	891 89	LT
	Jan 24, 13	76 000	18 029	1,370.23	28 460	2,162.96	792 73	ST
	May 29, 13	45 000	21 750	978.78	28 460	1,280.70	301.92	ST
	May 30, 13	62.000	22 100	1,370 24	28 460	1,764.52	394 28	ST
	Jun 27, 13	42 000	25 782	1,082.85	28.460	1,195 32	112 47	ST
Security total		850 000	20 376	17,319.96		24,191 00	6,871 04	
EQUITY LIFESTYLE PROPERTIES INC REIT Symbol· ELS Exchange· NYSE EAI $142 Current yield: 2.93%	Feb 23, 12	66 000	33 594	2,217.23	34.170	2,255.22	37 99	LT
	May 3, 12	76 000	35.294	2,682 37	34 170	2,596 92	-85.45	LT
Security total		142 000	34 504	4,899 60		4,852 14	-47 46	
FAMILY DOLLAR STORES Symbol· FDO Exchange. NYSE EAI $70 Current yield 1.45%	Nov 8, 12	16 000	66 284	1,060 55	72 020	1,152 32	91 77	ST
	Nov 14, 12	26.000	66 313	1,724.15	72 020	1,872.52	148 37	ST
	Nov 26, 12	25.000	69 319	1,732.98	72 020	1,800 50	67.52	ST
Security total		67 000	67.428	4,517.68		4,825 34	307 66	
FOREST CITY ENTERPRISES INC CL A Symbol: FCE A Exchange NYSE	Nov 17, 10	150 000	14 938	2,240.70	18 940	2,841 00	600.30	LT
GLENCORE XSTRATA PLC Symbol: GLCNF Exchange. OTC EAI. $35 Current yield: 2.92%	Feb 9, 12	220 000	6 898	1,517.76	5.452	1,199.44	-318.32	LT
GOOGLE INC CL A Symbol GOOG Exchange. OTC	Oct 25, 11	3.000	584.923	1,754 77	875 910	2,627 73	872.96	LT
HENDERSON LAND DEVELOPMENT CO LTD HKD Symbol HLDVF Exchange OTC EAI. $278 Current yield: 2.07% HKD Exchange rate: 7.75515	Jun 30, 09	29 400	5 227	153.68	6.176	181.57	27 89	LT
	Sep 10, 10	440 000	5 780	2,543.56	6 176	2,717 44	173.88	LT

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Sep 29, 10	220.000	6.481	1,425 82	6.176	1,358 72	-67 10	LT
	Oct 26, 10	380 600	6.758	2,572.27	6 176	2,350.59	-221 68	LT
	Oct 27, 10	220 000	6.765	1,488 40	6 176	1,358 72	-129 68	LT
	Mar 30, 11	110 000	6 135	674.92	6.176	679.36	4 44	LT
	Apr 7, 11	220 000	6.551	1,441.42	6.176	1,358 72	-82.70	LT
	May 13, 11	550.000	6 117	3,364.35	6 176	3,396 80	32.45	LT
Security total		2,170 000	6 297	13,664.42		13,401 92	-262 50	
HOWARD HUGHES CORP Symbol· HHC Exchange· NYSE	Nov 11, 11	4 000	47 345	189 38	112 370	449 48	260.10	LT
	Nov 14, 11	28 000	47.066	1,317 87	112.370	3,146 36	1,828.49	LT
	Dec 13, 11	39 000	47.578	1,855 56	112 370	4,382 43	2,526 87	LT
	Jan 9, 12	26 000	46.460	1,207 96	112.370	2,921.62	1,713 66	LT
	Jan 10, 12	17 000	47 239	803.07	112 370	1,910 29	1,107.22	LT
	Jan 30, 12	28.000	51 862	1,452.14	112 370	3,146 36	1,694 22	LT
	Feb 21, 12	41 000	54.954	2,253 13	112 370	4,607.17	2,354 04	LT
	Feb 22, 12	32 000	54.104	1,731 34	112 370	3,595 84	1,864 50	LT
	Mar 2, 12	7.000	58 565	409 96	112.370	786 59	376.63	LT
	Mar 5, 12	22 000	58 573	1,288 62	112.370	2,472 14	1,183 52	LT
	Mar 9, 12	24 000	62.699	1,504 78	112.370	2,696.88	1,192.10	LT
	Mar 12, 12	17 000	63.213	1,074 63	112 370	1,910.29	835 66	LT
Security total		285.000	52 942	15,088.44		32,025.45	16,937 01	
JARDEN CORP Symbol· JAH Exchange NYSE	Sep 10, 10	19 500	19.473	379.73	48.400	943.80	564 07	LT
	Sep 28, 10	124 500	20 382	2,537 58	48 400	6,025 80	3,488 22	LT
	Oct 20, 10	36 000	21.752	783 09	48 400	1,742.40	959 31	LT
	Oct 21, 10	109.500	21.885	2,396.51	48 400	5,299 80	2,903 29	LT
	Nov 9, 10	82 500	21 731	1,792 81	48.400	3,993.00	2,200 19	LT
	Dec 21, 10	57.000	21 302	1,214.24	48 400	2,758.80	1,544.56	LT
	Dec 22, 10	96 000	21.338	2,048 50	48 400	4,646 40	2,597 90	LT
	Jul 25, 11	67 500	22 542	1,521 63	48 400	3,267 00	1,745.37	LT
	Jul 26, 11	73 500	22 318	1,640 43	48 400	3,557 40	1,916 97	LT

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
Security total		666.000	21 493	14,314 52		32,234 40	17,919 88	
JARDINE STRATEGIC HOLDINGS LTD UNSPON ADR								
Symbol· JSHLY Exchange: OTC								
EAI. $57 Current yield· 0.65%	Nov 8, 11	84 000	16.060	1,349.09	16 860	1,416.24	67 15	LT
	Nov 28, 11	144.000	14 655	2,110 43	16.860	2,427.84	317 41	LT
	Dec 9, 11	156.000	15 117	2,358.38	16.860	2,630 16	271 78	LT
	Jan 9, 12	140 000	14 891	2,084 85	16.860	2,360.40	275 55	LT
Security total		524.000	15 082	7,902 75		8,834 64	931.89	
L BRANDS INC COM								
Symbol LTD Exchange· NYSE								
EAI: $259 Current yield: 1.96%	Aug 3, 11	27 000	36.125	975.38	61.100	1,649.70	674.32	LT
	Aug 11, 11	57.000	34 277	1,953 83	61.100	3,482 70	1,528.87	LT
	Sep 22, 11	79 000	39.082	3,087 52	61.100	4,826 90	1,739.38	LT
	Sep 30, 11	53 000	38.790	2,055 92	61.100	3,238 30	1,182.38	LT
Security total		216.000	37 373	8,072.65		13,197 60	5,124.95	
LENNAR CORP *RECLASSIFICATION AS OF 4/03*								
Symbol: LEN Exchange· NYSE								
EAI: $7 Current yield· 0 47%	Apr 3, 12	42 000	26.614	1,117 80	35.400	1,486 80	369 00	LT
LEUCADIA NATIONAL CORP								
Symbol LUK Exchange· NYSE								
EAI: $158 Current yield: 0.92%	May 6, 10	5.000	23 322	116 61	27 240	136 20	19.59	LT
	Aug 24, 10	118 000	19.557	2,307 73	27 240	3,214.32	906 59	LT
	Aug 25, 10	154 000	19 485	3,000.84	27.240	4,194.96	1,194 12	LT
	Aug 26, 10	112.000	19 784	2,215.81	27.240	3,050 88	835 07	LT
	Oct 7, 10	39.000	23 411	913.06	27 240	1,062 36	149 30	LT
	Oct 8, 10	65.000	23 711	1,541 25	27.240	1,770 60	229 35	LT
	Jan 23, 13	74.000	23 740	1,756 76	27 240	2,015 76	259 00	ST
	Feb 14, 13	64.000	26 537	1,698 39	27.240	1,743 36	44 97	ST
Security total		631 000	21 475	13,550 45		17,188.44	3,637.99	
LIBERTY MEDIA CORP CL A								
Symbol· LMCA Exchange· OTC	Jul 19, 11	65.152	76 495	4,983 88	147.150	9,587 18	4,603 30	LT

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Aug 1, 11	27 320	78.124	2,134 35	147 150	4,020 14	1,885 79	LT
	Aug 18, 11	35 252	68.855	2,427.27	147 150	5,187 27	2,760.00	LT
	Aug 23, 11	25.557	66 918	1,710.26	147 150	3,760 77	2,050 51	LT
	Sep 9, 11	18 507	68.969	1,276 42	147.150	2,723 32	1,446.90	LT
	Sep 12, 11	7 050	68.262	481 27	147 150	1,037 45	556 18	LT
	Sep 16, 11	7.932	73.287	581.29	147.150	1,167 13	585 84	LT
	Sep 19, 11	10 576	72 980	771.80	147 150	1,556 18	784 38	LT
	Sep 20, 11	15 863	73.633	1,168 06	147.150	2,334.27	1,166.21	LT
	Oct 5, 11	51 115	61.422	3,139.60	147 150	7,521 54	4,381 94	LT
	Oct 12, 11	24 676	63 726	1,572.51	147.150	3,631 09	2,058.58	LT
Security total		289.000	70.058	20,246 71		42,526 35	22,279 63	
LIBERTY INTERACTIVE CORP SER A Symbol: LINTA Exchange· OTC	Jun 7, 12	38 000	14 483	550.39	23 470	891 86	341 47	LT
	Jun 19, 12	101 000	14.408	1,455 30	23 470	2,370 47	915 17	LT
	Oct 2, 12	103 000	18 674	1,923 43	23.470	2,417.41	493 98	ST
	Oct 24, 12	96.000	20 269	1,945 89	23.470	2,253.12	307 23	ST
Security total		338 000	17.382	5,875 01		7,932.86	2,057 85	
LIBERTY VENTURES SER A Symbol· LVNTA Exchange· OTC	Jun 7, 12	3 950	40 410	159.62	88.170	348.27	188 65	LT
	Jun 19, 12	5.050	40 201	203 02	88.170	445.26	242.24	LT
	Oct 9, 12	4 000	45.185	180 74	88 170	352.68	171 94	ST
Security total		13 000	41 798	543 38		1,146 21	602 83	
MSC INDL DIRECT CO INC Symbol. MSM Exchange· NYSE EAI. $54 Current yield 1.48%	Apr 11, 12	34 000	77.627	2,639.33	81 350	2,765.90	126.57	LT
	Jun 5, 12	11 000	66.339	729 73	81 350	894.85	165 12	LT
Security total		45 000	74 868	3,369.06		3,660.75	291 69	
OSH ONE LIQUIDATING CORP CL A Symbol. OSHWQ Exchange· OTC		16 000	---This information was unavailable---		0 330	5 28		
ROUSE PPTYS INC Symbol: RSE Exchange NYSE EAI: $282 Current yield. 2.52%	Aug 27, 12	11 000	13 780	151 59	20.580	226 38	74 79	LT

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Aug 28, 12	28 000	13 787	386.05	20.580	576.24	190.19	LT
	Sep 24, 12	126 000	14.499	1,826.97	20.580	2,593.08	766.11	LT
	Nov 5, 12	36 000	15 126	544 56	20.580	740 88	196 32	ST
	Nov 6, 12	25.000	15.219	380 49	20.580	514 50	134 01	ST
	Nov 7, 12	31 000	15.018	465 56	20 580	637.98	172 42	ST
	Nov 8, 12	25 000	15 028	375 71	20 580	514.50	138.79	ST
	Dec 27, 12	29 000	16 702	484 37	20.580	596.82	112.45	ST
	Dec 28, 12	61 000	16.961	1,034 66	20 580	1,255.38	220 72	ST
	Jan 16, 13	24 000	17.990	431.76	20 580	493 92	62.16	ST
	Jan 17, 13	83.000	17.967	1,491.34	20.580	1,708.14	216 80	ST
	Jan 18, 13	18 000	18.090	325.62	20.580	370.44	44.82	ST
	Jan 22, 13	18 000	18 314	329.66	20.580	370.44	40 78	ST
	Jan 23, 13	28 000	18 396	515.10	20.580	576.24	61.14	ST
Security total		543.000	16 102	8,743 44		11,174.94	2,431.50	
SEARS CANADA INC CANADA ORD Symbol· SEARF Exchange OTC	Oct 31, 12	25 698	11 688	300 37	12 190	313 26	12 89	ST
	Oct 31, 12	18 417	11 688	215 27	12.190	224 50	9 23	ST
	Oct 31, 12	14.562	11.688	170.21	12 190	177.51	7 30	ST
	Oct 31, 12	13 706	11 688	160 20	12 190	167 07	6.87	ST
	Oct 31, 12	12 849	11.688	150 19	12.190	156.63	6.44	ST
	Oct 31, 12	8.628	11 688	100.85	12 190	105.18	4 33	ST
	Oct 31, 12	5.140	11.689	60.08	12.190	62 65	2.57	ST
Security total		99.000	11 689	1,157.17		1,206 81	49 63	
SEARS HOLDINGS CORP Symbol. SHLD Exchange OTC	Jul 16, 10	15.000	60.550	908.26	59 490	892.35	-15 91	LT
	Jul 21, 10	43 000	59.916	2,576.39	59.490	2,558.07	-18 32	LT
	Jul 28, 10	34 000	65 526	2,227.90	59 490	2,022.66	-205 24	LT
	Aug 6, 10	30 000	67 843	2,035 29	59 490	1,784.70	-250.59	LT
	Nov 16, 10	60.000	61.374	3,682.46	59 490	3,569.40	-113.06	LT
	Jun 16, 11	12 000	65 901	790.82	59 490	713 88	-76 94	LT
	Jan 8, 13	44.000	41.323	1,818 23	59.490	2,617 56	799 33	ST
	Sep 16, 13	27 000	61 500	1,660.51	59.490	1,606 23	-54.28	ST

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Sep 25, 13	44 000	58.891	2,591.22	59.490	2,617.56	26 34	ST
Security total		309 000	59 194	18,291 08		18,382.41	91 33	
SEARS HOMETOWN & OUTLET ST Symbol SHOS Exchange OTC	Oct 8, 12	50 000	24.575	1,228.76	31.750	1,587.50	358.74	ST
STARZ SER A Symbol· STRZA Exchange OTC	Jul 19, 11	30 152	8 795	265 20	28 130	848.19	582.99	LT
	Aug 1, 11	27.320	8.982	245 41	28 130	768.51	523.10	LT
	Aug 18, 11	35 252	7.917	279.09	28.130	991.63	712.54	LT
	Aug 23, 11	25 557	7 694	196.64	28 130	718.93	522.29	LT
	Sep 9, 11	18 507	7 929	146 76	28.130	520.60	373 84	LT
	Sep 12, 11	7 050	7.849	55 34	28 130	198.32	142 98	LT
	Sep 16, 11	7 932	8.427	66.84	28 130	223.12	156.28	LT
	Sep 19, 11	10 576	8 391	88 74	28.130	297 49	208 75	LT
	Sep 20, 11	15.863	8.466	134 30	28 130	446.23	311 93	LT
	Oct 5, 11	51 115	7 062	361 00	28 130	1,437 86	1,076 86	LT
	Oct 12, 11	24 676	7 326	180.80	28.130	694 14	513.34	LT
	Jan 24, 13	162.000	16 050	2,600 13	28 130	4,557 06	1,956 93	ST
	Jan 30, 13	130.000	16 048	2,086 24	28.130	3,656 90	1,570 66	ST
	Feb 8, 13	98 000	16 624	1,629 21	28 130	2,756 74	1,127 53	ST
Security total		644 000	12.944	8,335 70		18,115.72	9,780 02	
TOURMALINE OIL CORP CAD Symbol TRMLF Exchange OTC CAD Exchange rate· 1.02790	Jan 27, 12	23 000	24 965	574.21	40.700	936.10	361.89	LT
	Mar 5, 12	108 000	24 910	2,690.38	40 700	4,395 60	1,705 22	LT
Security total		131 000	24.921	3,264 59		5,331 70	2,067.11	
VIACOM INC NEW CL B Symbol· VIAB Exchange· OTC EAI· $167 Current yield· 1 44%	Mar 6, 12	35.000	47 525	1,663.40	83 580	2,925.30	1,261.90	LT
	May 14, 13	20.000	68 784	1,375.69	83 580	1,671.60	295.91	ST
	May 22, 13	28 000	70 172	1,964 84	83 580	2,340.24	375.40	ST
	Jun 5, 13	31 000	66.108	2,049 37	83 580	2,590.98	541 61	ST
	Jul 2, 13	25.000	67 269	1,681 74	83 580	2,089 50	407 76	ST

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
Security total		139.000	62.842	8,735.04		11,617.62	2,882.58	
WENDYS CO Symbol WEN Exchange· OTC EAI $420 Current yield 2.36%	Oct 25, 12	124 000	4.267	529.17	8 480	1,051 52	522 35	ST
	Nov 8, 12	410.000	4.528	1,856.64	8 480	3,476 80	1,620 16	ST
	Nov 26, 12	345 000	4 686	1,616 67	8 480	2,925.60	1,308.93	ST
	Dec 6, 12	384 000	4 787	1,838.55	8.480	3,256.32	1,417 77	ST
	Jan 7, 13	244 000	4 777	1,165 73	8.480	2,069.12	903 39	ST
	Jan 8, 13	209.000	4 745	991 71	8.480	1,772.32	780.61	ST
	Feb 20, 13	386.000	5.584	2,155.46	8.480	3,273 28	1,117 82	ST
Security total		2,102.000	4 831	10,153.93		17,824.96	7,671 03	
WPX ENERGY INC Symbol WPX Exchange· NYSE	Feb 15, 12	116 000	17.995	2,087 48	19 260	2,234 16	146.68	LT
	Feb 21, 12	181 000	19.165	3,468.90	19 260	3,486.06	17.16	LT
Security total		297.000	18 708	5,556.38		5,720 22	163.84	
WYNN RESORTS LTD Symbol WYNN Exchange. OTC EAI· $100 Current yield 2 53%	Jul 25, 11	2 000	157 995	315 99	158.010	316 02	0 03	LT
	Oct 3, 11	23.000	107 159	2,464.67	158.010	3,634.23	1,169 56	LT
Security total		25 000	111.226	2,780 66		3,950 25	1,169.59	
Total				**$259,958.12**		**$400,978.62**	**$141,015.21**	

Total estimated annual income: $2,725

Fixed income

Preferred securities

Holding	Trade date	Number of shares	Purchase price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
OSH ONE LIQUIDATING CORP SER A PREFERRED PAR VALUE - 1.00 USD Symbol OSHSQ Exchange OTC		16 000	---This information was unavailable---		0 040	0.64		

Your assets (continued)

Your total assets

		Value on Sep 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	7,455.74	1.83%	7,455.74		
Equities	*** Common stock**	400,978.62	98.17%	259,958.12	2,725.00	141,015.21
Fixed income	*** Preferred securities**	0.64				
Total		**$408,435.00**	**100.00%**	**$267,413.86**	**$2,725.00**	**$141,015.21**

Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

Cash

Cash and money balances

Holding	Opening balance on Sep 1 ($)	Closing balance on Sep 30 ($)	Price per share on Sep 30 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
Cash	0 00	20,994 29					
UBS BANK USA BUS ACCT	69,656 19	96,701.73					250,000 00
Total	**$69,656.19**	**$117,696.02**					

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
ABBOTT LABS Symbol: ABT Exchange: NYSE EAI: $457 Current yield 1 69%	May 21, 13	816 000	37 846	30,883.15	33 190	27,083.04	-3,800 11	ST
ALLERGAN INC Symbol. AGN Exchange· NYSE EAI: $69 Current yield· 0 22%	Jun 26, 13	344 000	86 023	29,592 02	90.450	31,114.80	1,522.78	ST
ALTRIA GROUP INC Symbol· MO Exchange. NYSE EAI. $1,690 Current yield. 5 59%	Mar 13, 13	880 000	33 840	29,779 38	34 350	30,228 00	448.62	ST
CAMERON INTL CORP Symbol: CAM Exchange: NYSE	Jul 30, 13	535 000	57 398	30,708 36	58 370	31,227.95	519.59	ST

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
CELGENE CORP Symbol· CELG Exchange· OTC	Jun 11, 13	191 000	118.388	22,612 28	154.137	29,440.16	6,827.88	ST
CITIGROUP INC Symbol: C Exchange· NYSE EAI: $25 Current yield. 0 08%	Jun 27, 13	620 000	48 463	30,047 49	48 510	30,076 20	28 71	ST
COGNIZANT TECH SOLUTIONS CRP Symbol· CTSH Exchange· OTC	May 15, 13	366.000	63 623	23,286.05	82.120	30,055.92	6,769 87	ST
CORRECTIONS CORP OF AMER NEW Symbol CXW Exchange· NYSE EAI $812 Current yield 5.56%	Apr 18, 13	423.000	33.986	14,376 20	34 550	14,614.65	238.45	ST
CREE INC Symbol· CREE Exchange· OTC	Sep 11, 13	258 000	58.990	15,219 47	60.190	15,529.02	309 55	ST
DEAN FOODS CO NEW Symbol· DF Exchange: NYSE	Aug 12, 13	736 500	20 695	15,242 31	19.300	14,214 45	-1,027.86	ST
		-0 500	---This information was unavailable---		19.300	-9.65		
Security total		736 000	20 696	15,242 31		14,204 80	-1,027 86	
EBAY INC Symbol EBAY Exchange. OTC	Jan 23, 13	538 000	53.590	28,831 64	55 795	30,017 71	1,186.07	ST
EDISON INTL Symbol· EIX Exchange· NYSE EAI $772 Current yield. 2.93%	Apr 2, 13	572 000	50 682	28,990 22	46.060	26,346 32	-2,643.90	ST
EXPEDIA INC Symbol: EXPE Exchange OTC EAI: $253 Current yield· 1 16%	Jul 2, 12	421 000	49.109	20,675.02	51 810	21,812 01	1,136.99	LT
FOOT LOCKER INC Symbol· FL Exchange· NYSE EAI $677 Current yield· 2 36%	Jan 7, 13	846 000	33 019	27,934 58	33 940	28,713 24	778.66	ST
FORD MOTOR CO COM NEW Symbol· F Exchange NYSE EAI: $728 Current yield: 2.37%	Aug 9, 13	1,821 000	17.098	31,136 73	16 870	30,720.27	-416 46	ST
HOME DEPOT INC Symbol· HD Exchange. NYSE EAI $641 Current yield 2 06%	Aug 26, 13	411 000	75 809	31,157 58	75 850	31,174 35	16 77	ST

continued next page

Your assets ▸ **Equities** ▸ **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
INTL BUSINESS MACH Symbol· IBM Exchange. NYSE EAI $566 Current yield· 2.05%	Apr 22, 13	149 000	188 356	28,065 12	185 180	27,591.82	-473 30	ST
JPMORGAN CHASE & CO Symbol: JPM Exchange. NYSE EAI $886 Current yield 2 94%	Aug 22, 13	583 000	52.532	30,626 68	51 690	30,135.27	-491 41	ST
LILLY ELI & CO Symbol. LLY Exchange· NYSE EAI. $1,133 Current yield 3.89%	Jun 14, 13	578.000	51 793	29,936.41	50 330	29,090 74	-845 67	ST
PEPSICO INC Symbol: PEP Exchange· NYSE EAI. $872 Current yield· 2.86%	Sep 6, 13	384 000	79 184	30,406 85	79 500	30,528 00	121.15	ST
PHILIP MORRIS INTL INC Symbol: PM Exchange. NYSE EAI $1,275 Current yield 4.34%	Jun 26, 13	339 000	87.419	29,635 31	86.590	29,354.01	-281.30	ST
PPG INDUSTRIES INC Symbol· PPG Exchange: NYSE EAI $415 Current yield· 1 46%	Apr 1, 13	170 000	133 878	22,759.36	167 060	28,400 20	5,640.84	ST
RALPH LAUREN CORP CL A Symbol: RL Exchange· NYSE EAI $298 Current yield· 0.97%	Sep 16, 13	186 000	167 427	31,141 57	164 730	30,639.78	-501 79	ST
SANDISK CORP Symbol SNDK Exchange OTC EAI: $457 Current yield. 1 51%	Jul 25, 13	508 000	60.346	30,655.82	59.510	30,231.08	-424 74	ST
SLM CORP VTG Symbol· SLM Exchange· OTC EAI $656 Current yield: 2.41%	Mar 15, 13	1,094 000	19.906	21,777 38	24 900	27,240.60	5,463 22	ST
SOUTHWESTERN ENERGY CO Symbol: SWN Exchange: NYSE	Jun 10, 13	788 000	38.306	30,185.84	36.380	28,667 44	-1,518 40	ST
SUNPOWER CORP Symbol: SPWR Exchange OTC	Aug 13, 13	693 000	22 290	15,447.52	26.160	18,128 88	2,681.36	ST
SUNTRUST BANKS INC Symbol STI Exchange: NYSE EAI· $377 Current yield: 1 23%	Sep 4, 13	942 000	32 287	30,415 20	32 420	30,539.64	124 44	ST

continued next page

Your assets › **Equities** › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
URBAN OUTFITTERS INC								
Symbol· URBN Exchange. OTC	Mar 20, 13	227 000	39 843	9,044 57	36 770	8,346.79	-697.78	ST
	Mar 21, 13	526.000	40.013	21,047.05	36.770	19,341 02	-1,706 03	ST
Security total		753.000	39.962	30,091 62		27,687.81	-2,403.81	
VISA INC CL A								
Symbol· V Exchange NYSE								
EAI $228 Current yield: 0.69%	Aug 1, 13	173.000	177.040	30,627 99	191.100	33,060 30	2,432 31	ST
Total				**$802,245.15**		**$823,654.01**	**$21,418.51**	

Total estimated annual income: $13,287

Your total assets

		Value on Sep 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**117,696.02**	**12.50%**	**117,696.02**		
Equities	*** Common stock**	**823,654.01**	**87.50%**	**802,245.15**	**13,287.00**	**21,418.51**
Total		**$941,350.03**	**100.00%**	**$919,941.17**	**$13,287.00**	**$21,418.51**

bout

Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Holding	Opening balance on Sep 1 ($)	Closing balance on Sep 30 ($)	Price per share on Sep 30 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
Cash	1,200 30	0.00					
RMA GOVERNMENT PORTFOLIO	5,745.83	0.00	1 00	0 01%	Aug 26 to Sep 23	29	
UBS BANK USA BUS ACCT	11,177 42	14,359.17					250,000 00
Total	**$18,123.55**	**$14,359.17**					

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
AGRIUM INC (CANADA) CAD Symbol· AGU Exchange· NYSE EAI· $162 Current yield 3 57% CAD Exchange rate· 1 02790	Jan 28, 13	34 000	114 425	3,890.45	84 030	2,857 02	-1,033.43	ST
	Feb 22, 13	20 000	101 460	2,029.20	84 030	1,680 60	-348 60	ST
Security total		54 000	109 623	5,919.65		4,537 62	-1,382 03	
ALLIANCE DATA SYSTEMS CORP Symbol: ADS Exchange· NYSE	Apr 19, 13	22 000	158 800	3,493.62	211 470	4,652 34	1,158.72	ST
	May 9, 13	6.000	174 641	1,047.85	211 470	1,268 82	220 97	ST
	May 23, 13	5 000	178 736	893 68	211 470	1,057 35	163 67	ST

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Jun 7, 13	4 000	178.282	713 13	211.470	845 88	132 75	ST
	Jun 26, 13	11.000	178 541	1,963 96	211 470	2,326.17	362 21	ST
Security total		48 000	169 005	8,112 24		10,150 56	2,038 32	
AMAZON.COM INC								
Symbol: AMZN Exchange· OTC	Feb 14, 12	3 000	193.136	579.41	312 640	937.92	358 51	LT
	Mar 26, 12	17 000	202 523	3,442 90	312.640	5,314.88	1,871 98	LT
	Jun 6, 12	7 000	216 772	1,517 41	312 640	2,188 48	671 07	LT
Security total		27 000	205 175	5,539 72		8,441 28	2,901 56	
AMERICAN INTL GROUP INC COM NEW								
Symbol AIG Exchange: NYSE								
EAI $38 Current yield 0 81%	Oct 9, 12	96 000	35 546	3,412 44	48 630	4,668 48	1,256 04	ST
ANHEUSER BUSCH INBEV SPON ADR								
Symbol BUD Exchange NYSE								
EAI: $152 Current yield 1 87%	Aug 28, 12	38 000	83 816	3,185 03	99 200	3,769 60	584 57	LT
	Oct 16, 12	36 000	88 538	3,187 37	99 200	3,571.20	383 83	ST
	Jun 6, 13	8 000	92 130	737.04	99 200	793 60	56 56	ST
Security total		82.000	86 700	7,109.44		8,134 40	1,024 96	
AON PLC								
Symbol· AON Exchange. NYSE								
EAI· $50 Current yield: 0 93%	May 6, 13	72 000	63 328	4,559 67	74.440	5,359 68	800 01	ST
APPLE INC								
Symbol AAPL Exchange: OTC								
EAI: $476 Current yield· 2 56%	Jul 2, 09	16 000	140 280	2,244 48	476 750	7,628 00	5,383 52	LT
	Oct 30, 09	9 000	194 722	1,752 50	476 750	4,290 75	2,538 25	LT
	Feb 5, 10	6 000	194 956	1,169 74	476 750	2,860.50	1,690 76	LT
	Apr 26, 13	7 000	413 552	2,894 87	476 750	3,337 25	442 38	ST
	May 3, 13	1 000	451 170	451 17	476 750	476 75	25 58	ST
Security total		39 000	218 276	8,512.76		18,593.25	10,080 49	
ASML HLDG NV GDR EUR								
Symbol. ASML Exchange: OTC								
EAI· $49 Current yield· 0 60%								
EUR Exchange rate: 0 73874	Dec 7, 11	1 190	43 966	52 32	98 760	117.52	65 20	LT
	Apr 30, 12	24 640	53 652	1,322 00	98 760	2,433 45	1,111 45	LT

continued next page

Your assets › **Equities** › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Jun 13, 12	16 170	52 583	850 28	98 760	1,596 95	746 67	LT
	Dec 6, 12	14 000	62 321	872 50	98 760	1,382 64	510 14	ST
	Apr 4, 13	27.000	65 160	1,759.33	98 760	2,666 52	907 19	ST
Security total		83 000	58 511	4,856 43		8,197.08	3,340 65	
AUTOMATIC DATA PROCESSNG INC Symbol· ADP Exchange OTC EAI· $144 Current yield: 2 40%	Mar 11, 13	83 000	63 708	5,287 79	72.380	6,007 54	719.75	ST
BIOGEN IDEC INC Symbol· BIIB Exchange: OTC	Feb 1, 12	19 000	122 508	2,327 67	240 760	4,574 44	2,246 77	LT
BIOMARIN PHARMACEUTICAL INC Symbol: BMRN Exchange OTC	Sep 19, 13	25 000	78 776	1,969 42	72 170	1,804 25	-165.17	ST
BOEING COMPANY Symbol BA Exchange. NYSE EAI: $136 Current yield· 1 65%	Jul 22, 10	14 000	66 390	929.46	117 500	1,645 00	715.54	LT
	Dec 5, 11	35 000	71 470	2,501.47	117.500	4,112 50	1,611 03	LT
	Jan 9, 13	21.000	76 771	1,612 20	117 500	2,467 50	855 30	ST
Security total		70 000	72 045	5,043 13		8,225 00	3,181 87	
BRISTOL MYERS SQUIBB CO Symbol: BMY Exchange: NYSE EAI: $245 Current yield: 3 03%	Aug 28, 12	97 000	33 117	3,212.41	46 280	4,489 16	1,276 75	LT
	Sep 24, 12	53 000	33.872	1,795.25	46.280	2,452.84	657 59	LT
	May 9, 13	25 000	39.533	988 34	46 280	1,157.00	168 66	ST
Security total		175 000	34.263	5,996 00		8,099.00	2,103 00	
CHECK POINT SOFTWARE TECH LTD ILS Symbol. CHKP Exchange: OTC ILS Exchange rate. 3 52600	Aug 5, 13	46 000	59.140	2,720 46	56 560	2,601.76	-118 70	ST
	Aug 6, 13	35 000	58 809	2,058 32	56 560	1,979 60	-78 72	ST
Security total		81 000	58.997	4,778 78		4,581 36	-197 42	
COCA COLA CO COM Symbol· KO Exchange: NYSE EAI. $304 Current yield· 2 96%	May 18, 11	59 000	34 151	2,014 94	37 880	2,234 92	219 98	LT
	Jun 22, 11	132 000	33.327	4,399 22	37 880	5,000 16	600 94	LT

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Jun 26, 12	80 000	37 494	2,999 53	37 880	3,030 40	30 87	LT
Security total		271.000	34 737	9,413 69		10,265 48	851 79	
COMCAST CORP NEW CL A Symbol CMCSA Exchange OTC EAI· $86 Current yield· 1 73%	Jul 11, 13	87 000	43 575	3,791 10	45 115	3,925 01	133 91	ST
	Aug 19, 13	23 000	42.512	977.79	45 115	1,037 65	59.86	ST
Security total		110 000	43 354	4,768 89		4,962.65	193 77	
CROWN CASTLE INTL CORP Symbol· CCI Exchange· NYSE	Apr 26, 12	29 000	56 015	1,624 45	73 030	2,117 87	493 42	LT
	Jun 8, 12	35 000	55 800	1,953.00	73 030	2,556.05	603 05	LT
	Feb 21, 13	21 000	67 773	1,423 24	73 030	1,533 63	110 39	ST
Security total		85.000	58 832	5,000 69		6,207 55	1,206 86	
CVS CAREMARK CORP Symbol CVS Exchange NYSE EAI· $85 Current yield· 1 59%	May 15, 13	94.000	59 710	5,612 80	56 750	5,334 50	-278 30	ST
DANAHER CORP Symbol. DHR Exchange NYSE EAI· $9 Current yield 0 15%	May 18, 11	89 000	54 392	4,840 93	69 320	6,169 48	1,328 55	LT
DISCOVERY COMMUNICATIONS INC CL A Symbol DISCA Exchange OTC	Jun 28, 12	60 000	52.563	3,153.82	84 420	5,065 20	1,911 38	LT
DOMINION RESOURCES INC VA (NEW) Symbol D Exchange· NYSE EAI $223 Current yield: 3.61%	Sep 11, 13	99 000	58.045	5,746.46	62 480	6,185 52	439 06	ST
EATON CORP PLC Symbol ETN Exchange· NYSE EAI· $160 Current yield: 2.45%	Feb 5, 13	33 000	59 670	1,969 13	68 840	2,271 72	302 59	ST
	Feb 26, 13	31 000	59 402	1,841.47	68 840	2,134 04	292 57	ST
	Apr 1, 13	31 000	61 128	1,894 97	68 840	2,134 04	239 07	ST
Security total		95 000	60 059	5,705 57		6,539 80	834 23	
EBAY INC Symbol· EBAY Exchange· OTC	Jun 26, 13	70.000	51 142	3,580 00	55 795	3,905 65	325 65	ST
	Jul 2, 13	17 000	53 237	905 04	55 795	948 52	43 48	ST

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Aug 15, 13	41 000	52 910	2,169 35	55 795	2,287 60	118 25	ST
Security total		128 000	51 987	6,654 39		7,141 76	487 38	
EDWARDS LIFESCIENCES CORP								
Symbol EW Exchange NYSE	Dec 10, 12	8 000	92 483	739 87	69 630	557.04	-182 83	ST
	Feb 21, 13	57 000	85 492	4,873 08	69.630	3,968 91	-904 17	ST
Security total		65 000	86 353	5,612 95		4,525 95	-1,087 00	
FACEBOOK INC CL A								
Symbol FB Exchange OTC	May 18, 12	39 000	41 095	1,602.71	50 230	1,958 97	356 26	LT
	Nov 19, 12	34 000	23 562	801 12	50 230	1,707 82	906 70	ST
Security total		73 000	32 929	2,403.83		3,666.79	1,262 96	
FAMILY DOLLAR STORES								
Symbol FDO Exchange: NYSE								
EAI $100 Current yield· 1 45%	Oct 18, 11	57 000	55 369	3,156 08	72 020	4,105 14	949 06	LT
	Dec 6, 11	39 000	59.046	2,302 81	72 020	2,808 78	505 97	LT
Security total		96 000	56 863	5,458 89		6,913.92	1,455 03	
FEDEX CORP								
Symbol· FDX Exchange. NYSE								
EAI: $37 Current yield 0 53%	Jan 13, 12	34 000	89 995	3,059 85	114 110	3,879 74	819 89	LT
	Mar 28, 13	27.000	98 143	2,649 88	114 110	3,080.97	431 09	ST
Security total		61.000	93 602	5,709.73		6,960 71	1,250 98	
GOOGLE INC CL A								
Symbol· GOOG Exchange· OTC	May 5, 11	5 000	533 742	2,668 71	875.910	4,379.55	1,710 84	LT
	Aug 3, 11	5 000	595 092	2,975 46	875 910	4,379 55	1,404.09	LT
	Nov 30, 11	4 000	596 155	2,384 62	875 910	3,503 64	1,119 02	LT
	Feb 7, 13	2 000	773 915	1,547 83	875.910	1,751 82	203.99	ST
	May 8, 13	1 000	871 360	871 36	875 910	875 91	4 55	ST
	Jun 7, 13	2 000	868 720	1,737 44	875.910	1,751 82	14 38	ST
Security total		19 000	641 338	12,185 42		16,642 29	4,456 87	
HOME DEPOT INC								
Symbol· HD Exchange· NYSE								
EAI· $105 Current yield 2 07%	Jul 2, 13	48 000	77 142	3,702 85	75 850	3,640 80	-62 05	ST
	Jul 26, 13	19 000	78.556	1,492 57	75 850	1,441.15	-51 42	ST

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
Security total		67 000	77 544	5,195 42		5,081 95	-113 47	
ILLUMINA INC								
Symbol· ILMN Exchange· OTC	Apr 18, 12	44 000	41.927	2,729.54[2]	80 830	3,556.52	826 98	LT
INTL BUSINESS MACH								
Symbol: IBM Exchange· NYSE								
EAI: $125 Current yield 2 05%	Sep 5, 12	21.000	195 327	4,101 87	185 180	3,888 78	-213 09	LT
	Sep 21, 12	8 000	206 221	1,649.77	185 180	1,481 44	-168 33	LT
	Mar 8, 13	4 000	210 055	840 22	185 180	740.72	-99.50	ST
Security total		33 000	199.753	6,591 86		6,110 94	-480 92	
JOHNSON & JOHNSON COM								
Symbol· JNJ Exchange: NYSE								
EAI. $277 Current yield: 3 04%	Oct 18, 12	58 000	72 547	4,207 78	86.690	5,028 02	820 24	ST
	Jan 29, 13	47 000	74.386	3,496 17	86 690	4,074 43	578.26	ST
Security total		105 000	73 371	7,703 95		9,102 45	1,398 50	
KINDER MORGAN INC								
Symbol. KMI Exchange· NYSE								
EAI: $392 Current yield· 4 50%	Aug 7, 12	134.000	36 231	4,855 03	35.570	4,766 38	-88 65	LT
	Feb 5, 13	71 000	37.294	2,647.92	35 570	2,525 47	-122.45	ST
	Apr 2, 13	40 000	39 112	1,564 51	35 570	1,422 80	-141 71	ST
Security total		245.000	37.010.	9,067.46		8,714 65	-352 81	
KRAFT FOODS GROUP INC								
Symbol KRFT Exchange· OTC								
EAI: $328 Current yield. 3 81%	Apr 27, 12	3 333	41 184	137 28	52.480	174.93	37.65	LT
	May 1, 12	40.000	41 818	1,677 56[2]	52.480	2,099 20	421 64	LT
	Jun 20, 12	10 667	40 789	435 09	52 480	559 79	124.70	LT
	Oct 9, 12	37 000	47 138	1,744.14	52 480	1,941.76	197.62	ST
	May 8, 13	16.000	55 094	881 51	52 480	839 68	-41 83	ST
	Aug 14, 13	40 000	55 204	2,208 17	52 480	2,099 20	-108.97	ST
	Aug 15, 13	17 000	54 242	922 13	52 480	892 16	-29 97	ST
Security total		164 000	48.816	8,005 88		8,606 72	600 84	
LULULEMON ATHLETICA INC								
Symbol LULU Exchange: OTC	Jun 26, 13	57 000	63 472	3,617.96	73 130	4,168 41	550 45	ST
	Aug 21, 13	12 000	70 682	848 19	73.130	877.56	29 37	ST

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
Security total		69 000	64 727	4,466.15		5,045 97	579 82	
MICHAEL KORS HLDGS LTD Symbol KORS Exchange: NYSE	Jun 26, 13	61 000	59.420	3,624 66	74 520	4,545 72	921 06	ST
MICROSOFT CORP Symbol· MSFT Exchange· OTC EAI· $286 Current yield: 3 37%	Aug 18, 11	17 000	24 756	420 86	33.280	565 76	144 90	LT
	Mar 2, 12	90 000	32 163	2,894 69	33 280	2,995 20	100.51	LT
	Apr 20, 12	37 000	32.735	1,211 20	33.280	1,231 36	20.16	LT
	May 17, 12	54 000	29 962	1,617 96	33.280	1,797.12	179.16	LT
	Jul 12, 12	33 000	28 783	949.84	33.280	1,098 24	148 40	LT
	Aug 1, 12	24 000	29 532	708.78	33 280	798 72	89 94	LT
Security total		255 000	30.601	7,803.33		8,486 40	683 07	
MONSANTO CO NEW Symbol: MON Exchange· NYSE EAI $129 Current yield· 1 65%	Oct 14, 11	14 000	74.375	1,041.25	104 370	1,461 18	419 93	LT
	Jan 6, 12	31 000	77 579	2,404.96	104 370	3,235 47	830.51	LT
	Apr 12, 12	30 000	78 415	2,352 45	104 370	3,131 10	778 65	LT
Security total		75 000	77 315	5,798.66		7,827 75	2,029.09	
O REILLY AUTOMOTIVE INC Symbol· ORLY Exchange: OTC	Jul 20, 12	34 000	92 726	3,152 70	127.590	4,338 06	1,185 36	LT
PFIZER INC Symbol· PFE Exchange· NYSE EAI· $136 Current yield: 3 33%	Jul 16, 12	142 000	23 038	3,271 43	28 725	4,078 95	807 52	LT
PHILIP MORRIS INTL INC Symbol· PM Exchange· NYSE EAI. $218 Current yield. 4 34%	Feb 10, 12	6 000	80.346	482 08	86 590	519 54	37.46	LT
	Jun 12, 12	25 000	84 846	2,121 15	86 590	2,164 75	43.60	LT
	Jun 20, 12	16.000	88 337	1,413 40	86.590	1,385 44	-27 96	LT
	May 10, 13	11.000	93 027	1,023 30	86.590	952 49	-70 81	ST
Security total		58 000	86 895	5,039 93		5,022 22	-17 71	
PRECISION CASTPARTS CORP Symbol. PCP Exchange NYSE EAI: $6 Current yield: 0 05%	Aug 18, 10	9.000	122 055	1,098 50	227.240	2,045 16	946.66	LT

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Aug 18, 10	9 000	122 056	1,098 51	227 240	2,045 16	946.65	LT
	Oct 21, 10	17.000	135 504	2,303 58	227 240	3,863 08	1,559 50	LT
	Jun 12, 12	5 000	165.974	829.87	227.240	1,136.20	306 33	LT
	Aug 13, 13	5 000	218 484	1,092 42	227.240	1,136 20	43 78	ST
	Aug 15, 13	5.000	218 346	1,091 73	227 240	1,136 20	44 47	ST
Security total		50 000	150 292	7,514 61		11,362 00	3,847 39	
PROCTER & GAMBLE CO Symbol· PG Exchange NYSE EAI· $265 Current yield 3 19%	May 17, 11	27 000	67 408	1,820 02	75 590	2,040 93	220 91	LT
	Jun 22, 11	27 000	64 309	1,736 36	75 590	2,040 93	304 57	LT
	Oct 24, 12	47.000	68.134	3,202 31	75 590	3,552 73	350.42	ST
	Jan 28, 13	9.000	73.950	665.55	75.590	680 31	14.76	ST
Security total		110 000	67 493	7,424.24		8,314.90	890 66	
RANGE RESOURCES CORP Symbol. RRC Exchange· NYSE EAI: $16 Current yield: 0.21%	Apr 19, 12	22 000	58.424	1,285.34	75 890	1,669 58	384 24	LT
	Apr 23, 12	49 000	58 828	2,882 61	75 890	3,718 61	836 00	LT
	Jun 18, 12	28 000	58.992	1,651.80	75 890	2,124.92	473 12	LT
Security total		99 000	58 785	5,819 75		7,513 11	1,693.36	
SANDISK CORP Symbol· SNDK Exchange· OTC EAI· $59 Current yield: 1 53%	Jan 26, 12	10 000	47 150	471 50	59 510	595 10	123 60	LT
	Mar 2, 12	55 000	51.026	2,806 45	59 510	3,273.05	466 60	LT
Security total		65 000	50 430	3,277 95		3,868 15	590 20	
SHERWIN WILLIAMS CO Symbol· SHW Exchange: NYSE EAI: $80 Current yield: 1 10%	Aug 13, 12	13.000	140 894	1,831 63	182.180	2,368 34	536 71	LT
	Aug 14, 12	10.000	141 014	1,410 14	182.180	1,821 80	411 66	LT
	Jul 11, 13	17 000	186.934	3,177 89	182 180	3,097.06	-80 83	ST
Security total		40 000	160.492	6,419 66		7,287 20	867.54	
STARBUCKS CORP Symbol: SBUX Exchange: OTC EAI· $123 Current yield: 1 09%	Sep 27, 10	88 000	26.168	2,302 79	76 970	6,773 36	4,470.57	LT

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Your assets › **Equities** › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Dec 6, 12	59 000	53.129	3,134 66	76 970	4,541.23	1,406 57	ST
Security total		147 000	36 989	5,437 45		11,314.59	5,877 14	
TWENTY-FIRST CENTY FOX INC CL A Symbol· FOXA Exchange· OTC EAI· $31 Current yield. 0 75%	Jul 11, 13	62 000	30 073	1,864 54	33 510	2,077 62	213 08	ST
	Jul 18, 13	61 000	31.039	1,893 40	33 510	2,044 11	150 71	ST
Security total		123 000	30 552	3,757 94		4,121 73	363 79	
UNILEVER NV N Y SHS NEW NETHERLANDS SPON SPON ADR Symbol· UN Exchange NYSE EAI: $148 Current yield. 3 02%	Oct 16, 12	90 000	36 959	3,326.31	37 720	3,394 80	68.49	ST
	Jan 29, 13	40 000	40 455	1,618.22	37 720	1,508 80	-109.42	ST
Security total		130 000	38 035	4,944.53		4,903 60	-40.93	
UNION PACIFIC CORP Symbol· UNP Exchange· NYSE EAI· $149 Current yield· 2 04%	Oct 5, 11	2 000	85 570	171 14	155 340	310 68	139 54	LT
	Oct 7, 11	30 000	89 155	2,674 67	155 340	4,660 20	1,985.53	LT
	Jul 30, 12	15 000	123 051	1,845 77	155 340	2,330 10	484 33	LT
Security total		47 000	99.821	4,691 58		7,300 98	2,609 40	
VERIZON COMMUNICATIONS INC Symbol. VZ Exchange: NYSE EAI· $502 Current yield 4 54%	Apr 25, 12	88 000	39 448	3,471 48	46 675	4,107 40	635 92	LT
	Jun 11, 12	120 000	42.906	5,148 77	46 675	5,601 00	452 23	LT
	Jul 27, 12	29 000	44 978	1,304.39	46.675	1,353.57	49 18	LT
Security total		237 000	41 876	9,924 64		11,061 97	1,137.33	
VERTEX PHARMACEUTICAL INC Symbol· VRTX Exchange OTC	Nov 5, 12	51 000	46.055	2,348.84	75.820	3,866.82	1,517 98	ST
WAL MART STORES INC Symbol. WMT Exchange: NYSE EAI· $179 Current yield. 2 55%	Jun 27, 13	48 000	75 658	3,631 63	73 960	3,550 08	-81 55	ST
	Aug 12, 13	26 000	77.006	2,002.18	73 960	1,922.96	-79 22	ST
	Aug 26, 13	21 000	73 490	1,543 29	73 960	1,553 16	9.87	ST

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
Security total		95 000	75 548	7,177.10		7,026 20	-150 90	
WHOLE FOODS MARKET INC Symbol· WFM Exchange: OTC EAI· $33 Current yield 0 69%	Apr 12, 13	82 000	43 677	3,581 55	58.500	4,797 00	1,215 45	ST
Total				**$300,464.01**		**$371,212.09**	**$70,748.10**	

Total estimated annual income: $6,043

[2] *Value has been adjusted to include the amount of the disallowed loss as a result of a Wash Sale transaction*

Your total assets

		Value on Sep 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**14,359.17**	**3.72%**	**14,359.17**		
Equities	**Common stock**	**371,212.09**	**96.28%**	**300,464.01**	**6,043.00**	**70,748.10**
Total		**$385,571.26**	**100.00%**	**$314,823.18**	**$6,043.00**	**$70,748.10**

Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

Cash

Holding	Opening balance on Sep 1 ($)	Closing balance on Sep 30 ($)	Price per share on Sep 30 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
RMA GOVERNMENT PORTFOLIO	345,895.33	0 00	1 00	0 01%	Aug 26 to Sep 23	29	
UBS BANK USA BUS ACCT	250,000 00	12,876 41					250,000 00
Total	**$595,895.33**	**$12,876.41**					

Equities

Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends. It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
ENERGY SECTOR SPDR TRUST									
SHARES									
Symbol XLE									
Trade date Sep 12, 13	354 000	84.253	29,825.81	29,825 81	82 909	29,349 78	-476 03	-476 03	ST
EAI: $529 Current yield 1.80%									

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Your assets › **Equities** › Closed end funds & Exchange traded products (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
GUGGENHEIM S&P 500 EQUAL									
WEIGHT ETF									
Symbol· RSP									
Trade date. Sep 16, 13	906 000	66 078	59,866 67	59,866 67	65.200	59,071 20	-795 47	-795 47	ST
EAI· $852 Current yield: 1 44%									
INDUSTRIAL SECTOR SPDR TRUST									
SHARES									
Symbol XLI									
Trade date· Sep 16, 13	640 000	46 889	30,009.28	30,009 28	46.405	29,699 20	-310 08	-310.08	ST
EAI: $574 Current yield· 1 93%									
ISHARES TRUST CORE S&P 500 ETF									
Symbol: IVV									
Trade date· Sep 12, 13	700 000	170 147	119,103.32	119,103 32	168 900	118,230 00	-873 32		ST
Trade date Sep 16, 13	103 000	171 711	17,686 31	17,686 31	168 900	17,396 70	-289 61		ST
EAI· $2,663 Current yield· 1 96%									
Security total	803.000	170 348	136,789 63	136,789.63		135,626.70	-1,162 93	-1,162 93	
ISHARES RUSSELL 1000 GROWTH									
ETF									
Symbol IWF									
Trade date Sep 12, 13	765 000	77 939	59,623 79	59,623 79	78 200	59,823 00	199.21	199 21	ST
EAI· $916 Current yield· 1 53%									
ISHARES S&P SMALLCAP 600									
GROWTH ETF									
Symbol IJT									
Trade date Sep 13, 13	564.000	106 361	59,987 77	59,987 77	108.360	61,115 04	1,127 27	1,127.27	ST
EAI $623 Current yield 1 02%									
ISHARES MSCI EAFE ETF									
Symbol: EFA									
Trade date Sep 12, 13	476 000	62 686	29,838 63	29,838 63	63 801	30,369 27	530 64		ST
Trade date· Sep 16, 13	468 000	63 452	29,695.72	29,695.72	63 801	29,858 87	163.15		ST
EAI: $1,662 Current yield· 2.76%									

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Your assets › **Equities** › Closed end funds & Exchange traded products (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Security total	944 000	63 066	59,534 35	59,534 35		60,228 14	693 79	693 79	
SECTOR SPDR TRUST SHS BEN									
INT-MATERIALS									
Symbol: XLB									
Trade date· Sep 13, 13	709 000	42 197	29,918 17	29,918 17	42 010	29,785.09	-133 08	-133 08	ST
EAI: $715 Current yield· 2 40%									
VANGUARD SECTOR INDEX FD									
INFORMATION TECH ETF									
Symbol: VGT									
Trade date Sep 12, 13	742 000	80 398	59,655 76	59,655 76	80 700	59,879.40	223.64	223 64	ST
EAI: $618 Current yield: 1.03%									
VANGUARD FTSE EUROPE ETF									
Symbol· VGK									
Trade date Sep 13, 13	1,108 000	53 817	59,629 35	59,629 35	54 500	60,386 00	756 65	756 65	ST
EAI. $1,976 Current yield: 3 27%									
Total			**$584,840.58**	**$584,840.58**		**$584,963.55**	**$122.97**	**$122.97**	

Total estimated annual income: $11,128

Your total assets

		Value on Sep 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	12,876.41	2.15%	12,876.41		
Equities	**Closed end funds & Exchange traded products**	584,963.55	97.85%	584,840.58	11,128.00	122.97
Total		**$597,839.96**	**100.00%**	**$597,716.99**	**$11,128.00**	**$122.97**

Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information.

Cash

Holding	Opening balance on Sep 1 ($)	Closing balance on Sep 30 ($)	Price per share on Sep 30 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
Cash	35 20	75 02					
RMA GOVERNMENT PORTFOLIO	1,468 77	1,468 77	1 00	0 01%	Aug 26 to Sep 23	29	
UBS BANK USA BUS ACCT	5,779 45	8,977.25					250,000 00
Total	**$7,283.42**	**$10,521.04**					

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
ALLIANZ SE ADR Symbol AZSEY Exchange· OTC EAI· $283 Current yield 2 75%	Jul 2, 09	650 000	9.086	5,906 10	15 820	10,283 00	4,376 90	LT
AXA ADR Symbol: AXAHY Exchange OTC EAI $268 Current yield 3 31%	Jul 2, 09	165.000	18 099	2,986 42	23 110	3,813 15	826 73	LT
	May 9, 12	185 000	12 140	2,245 90	23 110	4,275 35	2,029.45	LT
Security total		350 000	14 949	5,232.32		8,088.50	2,856 18	
BASF SE SPON ADR Symbol· BASFY Exchange· OTC EAI $308 Current yield. 2.57%	Jul 2, 09	125 000	38 811	4,851 46	96 000	12,000 00	7,148.54	LT

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
BHP BILLITON LTD SPON ADR								
Symbol BHP Exchange NYSE								
EAI· $835 Current yield· 3 49%	Jul 2, 09	250 000	53 109	13,277.25	66 500	16,625 00	3,347 75	LT
	May 9, 12	20 000	69 257	1,385.15	66 500	1,330.00	-55 15	LT
	Jul 30, 13	90 000	62.925	5,663 30	66 500	5,985 00	321.70	ST
Security total		360 000	56 460	20,325 70		23,940 00	3,614 30	
BRITISH AMER TOBACCO PLC GB								
SPON ADR								
Symbol· BTI Exchange· AMEX								
EAI: $635 Current yield 4 03%	Jul 2, 09	150 000	55 399	8,309 88	105 150	15,772 50	7,462.62	LT
BROOKFIELD ASSET MGMT INC LTD								
VTG SHS CL A								
Symbol BAM Exchange· NYSE								
EAI $90 Current yield· 1 60%	Jul 2, 09	150.000	16.849	2,527 43	37.400	5,610.00	3,082 57	LT
CANADIAN PAC RAILWAY LTD CAD								
Symbol CP Exchange. NYSE								
EAI $270 Current yield. 1 09%								
CAD Exchange rate: 1 02790	Jul 2, 09	125 000	38 839	4,854.96	123 300	15,412 50	10,557 54	LT
	May 10, 10	75.000	57.141	4,285 64	123 300	9,247 50	4,961 86	LT
Security total		200 000	45 703	9,140.60		24,660 00	15,519 40	
CANADIAN NAT RESOURCES LTD CAD								
Symbol: CNQ Exchange NYSE								
EAI $192 Current yield 1 53%								
CAD Exchange rate 1 02790	Jul 2, 09	140 000	25 297	3,541 69	31 440	4,401 60	859 91	LT
	Dec 27, 10	210 000	43 539	9,143.36	31.440	6,602 40	-2,540 96	LT
	May 9, 12	50 000	30 717	1,535 88	31 440	1,572 00	36 12	LT
Security total		400 000	35 552	14,220.93		12,576 00	-1,644.93	
CDN NATL RAILWAY CO CAD								
Symbol· CNI Exchange NYSE								
EAI. $301 Current yield· 1 65%								
CAD Exchange rate: 1 02790	Jul 2, 09	175 000	41.880	7,329.00	101.370	17,739 75	10,410 75	LT
	Dec 14, 10	5 000	67 330	336 65	101 370	506 85	170 20	LT
Security total		180.000	42 587	7,665.65		18,246 60	10,580.95	

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
CORE LABORATORIES N V EUR Symbol CLB Exchange NYSE EAI: $102 Current yield. 0 75% EUR Exchange rate: 0 73874	Jul 2, 09	80 000	41.548	3,323.88	169 210	13,536.80	10,212 92	LT
DIAGEO PLC NEW GB SPON ADR Symbol DEO Exchange: NYSE EAI· $507 Current yield· 2 28%	Jul 2, 09	175.000	59.278	10,373 74	127 080	22,239.00	11,865 26	LT
EATON CORP PLC Symbol ETN Exchange. NYSE EAI· $393 Current yield. 2.44%	Dec 3, 12	174 000	51 655	8,987.97	68 840	11,978 16	2,990 19	ST
	Dec 20, 12	30 000	54.609	1,638.40[2]	68 840	2,065 20	426 80	ST
	Sep 24, 13	30.000	69 852	2,095 58	68 840	2,065.20	-30 38	ST
Security total		234 000	54 367	12,721 95		16,108.56	3,386.61	
ENSIGN ENERGY SERVICES INC CAD Symbol ESVIF Exchange· OTC EAI· $64 Current yield. 2.50% CAD Exchange rate 1 02790	Jul 2, 09	150 000	14 200	2,130 00	17 045	2,556 75	426 75	LT
FINNING INTL CAD Symbol FINGF Exchange: OTC EAI $20 Current yield. 2.47% CAD Exchange rate 1 02790	Dec 20, 10	35.000	26 338	921 85	23.116	809 06	-112 79	LT
INGERSOLL-RAND PLC Symbol· IR Exchange NYSE EAI: $231 Current yield· 1 29%	Jul 2, 09	275 000	19 875	5,465 63	64 940	17,858.50	12,392 87	LT
MANULIFE FINANCIAL CORP CAD Symbol· MFC Exchange NYSE EAI $177 Current yield: 3.05% CAD Exchange rate· 1 02790	Jul 2, 09	225 000	17 189	3,867 68	16.560	3,726.00	-141 68	LT
	May 9, 12	125 000	12 286	1,535 81	16 560	2,070.00	534.19	LT
Security total		350 000	15.439	5,403 49		5,796 00	392 51	
NABORS INDUSTRIES LTD NEW (BERMUDA) Symbol: NBR Exchange: NYSE EAI $119 Current yield· 0 99%	Jul 2, 09	495 000	15 049	7,449 31	16 060	7,949.70	500 39	LT

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	May 9, 12	250 000	15 177	3,794 35	16 060	4,015.00	220 65	LT
Security total		745 000	15 092	11,243 66		11,964 70	721 04	
NESTLE S A SPONSORED ADR REPSTG REG SHS SWITZ ADR Symbol. NSRGY Exchange: OTC EAI $681 Current yield 2 61%	Jul 2, 09	285 000	37 780	10,767 30	69 600	19,836 00	9,068 70	LT
	Jan 29, 10	90.000	47 735	4,296 15	69.600	6,264.00	1,967 85	LT
Security total		375 000	40.169	15,063 45		26,100 00	11,036 55	
NOBLE CORP CHF Symbol. NE Exchange NYSE EAI $352 Current yield· 1 69% CHF Exchange rate 0.90425	Jul 2, 09	550.000	28 914	15,902 71	37.770	20,773.50	4,870 79	LT
NOVARTIS AG SPON ADR Symbol NVS Exchange· NYSE EAI: $339 Current yield· 2.68%	Jul 2, 09	165 000	40 249	6,641 09	76 710	12,657 15	6,016.06	LT
PARTNERRE LTD ORD Symbol· PRE Exchange NYSE EAI: $141 Current yield· 2 80%	Jul 2, 09	55 000	65 519	3,603 57	91 540	5,034.70	1,431.13	LT
POTASH CORP SASK INC CANADA CAD Symbol POT Exchange· NYSE EAI $595 Current yield 4 48% CAD Exchange rate. 1.02790	Jul 2, 09	425 000	32 196	13,683 68	31 280	13,294 00	-389 68	LT
RIO TINTO PLC SPON ADR Symbol· RIO Exchange· NYSE EAI $749 Current yield· 3 61%	Jul 2, 09	350 000	39.376	13,781 78	48 760	17,066 00	3,284.22	LT
	Dec 14, 12	55 000	54 417	2,992.96	48.760	2,681 80	-311 16	ST
	Jul 30, 13	20.000	45 021	900 43	48 760	975 20	74 77	ST
Security total		425 000	41 589	17,675 17		20,723 00	3,047.83	
SCHLUMBERGER LTD NETHERLANDS ANTILLES Symbol SLB Exchange· NYSE EAI $344 Current yield: 1.42%	Jul 2, 09	275 000	52 099	14,327.36	88 360	24,299.00	9,971 64	LT

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
SUNCOR ENERGY INC NEW CAD Symbol SU Exchange· NYSE EAI· $485 Current yield 2.17% CAD Exchange rate· 1 02790	Jul 2, 09	550 000	28 799	15,839.73	35 780	19,679 00	3,839 27	LT
	May 9, 12	75 000	29.396	2,204 74	35 780	2,683 50	478 76	LT
Security total		625 000	28 871	18,044 47		22,362 50	4,318.03	
TALISMAN ENERGY INC CAD Symbol TLM Exchange NYSE EAI· $100 Current yield· 2 35% CAD Exchange rate 1 02790	Jul 2, 09	235 000	13 768	3,235 48	11 500	2,702 50	-532 98	LT
	May 9, 12	135.000	11 220	1,514.70	11 500	1,552 50	37 80	LT
Security total		370 000	12 838	4,750 18		4,255 00	-495 18	
TECK RESOURCES LTD CL B ORD CAD Symbol· TCK Exchange NYSE EAI· $102 Current yield· 3 17% CAD Exchange rate 1 02790	Dec 14, 12	120 000	35 890	4,306 91	26 840	3,220 80	-1,086.11	ST
TENARIS S A ADS ADR Symbol. TS Exchange· NYSE EAI· $366 Current yield· 1 84%	Jul 2, 09	425.000	26 158	11,117.36	46.780	19,881 50	8,764 14	LT
TRANSOCEAN LTD CHF Symbol. RIG Exchange· NYSE EAI· $582 Current yield· 5.03% CHF Exchange rate 0 90425	Jul 2, 09	210 000	70 249	14,752 39	44 500	9,345 00	-5,407 39	LT
	May 9, 12	50.000	46 634	2,331 70	44 500	2,225 00	-106 70	LT
Security total		260 000	65 708	17,084 09		11,570.00	-5,514 09	
UNILEVER NV N Y SHS NEW NETHERLANDS SPON SPON ADR Symbol UN Exchange NYSE EAI $360 Current yield 3 03%	Jul 2, 09	315 000	24 160	7,610 40	37 720	11,881.80	4,271 40	LT
VALE SA-SP SPON ADR Symbol VALE Exchange NYSE EAI $315 Current yield· 2 88%	Jul 2, 09	565 000	17 610	9,949 65	15.610	8,819 65	-1,130 00	LT
	Dec 9, 10	5 000	33.606	168.03	15 610	78 05	-89 98	LT

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	May 9, 12	130 000	20.656	2,685.37	15 610	2,029 30	-656 07	LT
Security total		700 000	18 290	12,803 05		10,927 00	-1,876 05	
WEATHERFORD INTL LTD CHF Symbol· WFT Exchange· NYSE CHF Exchange rate· 0 90425	Jul 2, 09	1,100 000	18 206	20,026.60	15 330	16,863.00	-3,163 60	LT
	May 9, 12	300 000	13 308	3,992 58	15 330	4,599 00	606.42	LT
Security total		1,400 000	17 157	24,019 18		21,462 00	-2,557.18	
YARA INTL ASA SPON ADR Symbol YARIY Exchange OTC EAI· $46 Current yield· 4 47%	Jul 2, 09	25 000	27 700	692 50	41 150	1,028.75	336 25	LT
Total				**$317,089.44**		**$451,516.67**	**$134,427.23**	

Total estimated annual income: $10,352

[2] Value has been adjusted to include the amount of the disallowed loss as a result of a Wash Sale transaction

Your total assets

		Value on Sep 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**10,521.04**	**2.28%**	**10,521.04**		
Equities	**Common stock**	**451,516.67**	**97.72%**	**317,089.44**	**10,352.00**	**134,427.23**
Total		**$462,037.71**	**100.00%**	**$327,610.48**	**$10,352.00**	**$134,427.23**

Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

Cash

Balances

Holding	Opening balance on Sep 1 ($)	Closing balance on Sep 30 ($)	Price per share on Sep 30 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
Cash	344 13	35 31					
RMA GOVERNMENT PORTFOLIO	11,799 84	5,395 99	1 00	0 01%	Aug 26 to Sep 23	29	
UBS BANK USA BUS ACCT	6,919.21	11,841 57					250,000 00
Total	**$19,063.18**	**$17,272.87**					

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
AGRIUM INC (CANADA) CAD Symbol AGU Exchange NYSE EAI $138 Current yield 3 57% CAD Exchange rate· 1.02790	Aug 6, 10	38 000	65.768	2,499.20	84 030	3,193.14	693 94	LT
	Jul 12, 11	8 000	87.660	701 28	84 030	672 24	-29 04	LT
Security total		46.000	69 576	3,200.48		3,865.38	664 90	
ASTRAZENECA PLC SPON ADR Symbol· AZN Exchange NYSE EAI: $739 Current yield: 5 39%	Aug 6, 10	199 000	52.209	10,389.63	51 930	10,334 07	-55.56	LT
	Mar 29, 11	65.000	46 002	2,990 13	51 930	3,375 45	385 32	LT

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
Security total		264 000	50.681	13,379.76		13,709 52	329 76	
AUSTRALIA & NEW ZEALAND BKG GRP LTD SPONSRD ADR AUSTRALIA ADR Symbol. ANZBY Exchange· OTC EAI $422 Current yield· 5.16%	Aug 6, 10	255 000	21 000	5,355 00	28 590	7,290 45	1,935 45	LT
	Jul 12, 11	31.000	22 430	695 33	28 590	886 29	190 96	LT
Security total		286 000	21 155	6,050 33		8,176 74	2,126 41	
AXIS CAPITAL HOLDINGS LTD SHS Symbol AXS Exchange: NYSE EAI $201 Current yield· 2.31%	Aug 6, 10	162 000	31 206	5,055 45	43 310	7,016 22	1,960 77	LT
	Jul 5, 11	24 000	30 837	740 10	43 310	1,039.44	299 34	LT
	Jul 6, 11	15 000	30 646	459 69	43 310	649 65	189 96	LT
Security total		201.000	31 121	6,255 24		8,705 31	2,450 07	
BAE SYSTEMS PLC SPON ADR Symbol BAESY Exchange OTC EAI. $409 Current yield. 3.97%	Aug 6, 10	270 000	20.560	5,551 20	29.440	7,948 80	2,397 60	LT
	Mar 29, 11	16.000	21.249	339 99	29.440	471 04	131 05	LT
	Mar 30, 11	17 000	21 015	357 26	29 440	500 48	143 22	LT
	Jul 12, 11	47 000	19.100	897 70	29.440	1,383.68	485 98	LT
Security total		350 000	20 418	7,146 15		10,304.00	3,157 85	
BANCO BRADESCO S.A. NEW SPON ADR Symbol: BBD Exchange· NYSE EAI· $20 Current yield· 0 25%	Aug 6, 10	397 500	16.698	6,637 67	13 880	5,517 30	-1,120 37	LT
	Jul 12, 11	38 500	17 154	660 45	13 880	534 38	-126 07	LT
	May 8, 12	66 000	13 920	918.72	13 880	916 08	-2 64	LT
	Oct 16, 12	11 000	14 175	155 93	13 880	152 68	-3 25	ST
	Sep 3, 13	70 000	11.710	819 74	13 880	971 60	151 86	ST
Security total		583 000	15 768	9,192 51		8,092 04	-1,100 47	
BARCLAYS PLC ADR Symbol· BCS Exchange NYSE EAI· $94 Current yield. 2.32%	Sep 14, 12	238 000	14 835	3,530 75	17 040	4,055 52	524 77	LT

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
CAP GEMINI SA ADR								
Symbol. CGEMY Exchange· OTC								
EAI· $102 Current yield. 1.69%	Nov 9, 11	99 000	18 775	1,858.79	29 800	2,950.20	1,091 41	LT
	Nov 11, 11	31 000	19 703	610 82	29 800	923.80	312.98	LT
	Nov 14, 11	59.000	19 100	1,126 90	29 800	1,758.20	631 30	LT
	Nov 14, 11	14 000	18 962	265.48	29.800	417 20	151.72	LT
Security total		203 000	19 025	3,861 99		6,049.40	2,187.41	
CARLSBERG AS SPON ADR								
Symbol. CABGY Exchange OTC								
EAI· $58 Current yield 0 64%	Aug 6, 12	71 000	17 079	1,212 61	20 660	1,466.86	254 25	LT
	Aug 7, 12	117 000	17 200	2,012 47	20.660	2,417.22	404.75	LT
	Aug 14, 12	134 000	16.934	2,269 22	20.660	2,768.44	499.22	LT
	Aug 16, 12	118 000	17 005	2,006 63	20 660	2,437 88	431 25	LT
Security total		440.000	17.048	7,500.93		9,090 40	1,589 47	
CHINA CONSTR BK CORP ADR								
Symbol· CICHY Exchange OTC								
EAI· $429 Current yield 4 76%	Jul 25, 13	201.000	14 897	2,994 30	15 350	3,085 35	91 05	ST
	Jul 26, 13	199.000	14 931	2,971.37	15.350	3,054 65	83 28	ST
	Jul 30, 13	187 000	14 801	2,767 82	15 350	2,870 45	102.63	ST
Security total		587.000	14 878	8,733.49		9,010 45	276 96	
CHINA PETROLEUM & CHEMICAL CORP SPON ADR								
Symbol SNP Exchange· NYSE								
EAI. $314 Current yield 4 18%	Feb 22, 11	11 500	79.586	915 24	78 290	900.34	-14.90	LT
	Feb 23, 11	27 300	78 737	2,149 53	78.290	2,137 32	-12 21	LT
	Aug 6, 12	33 800	71 865	2,429.04	78 290	2,646 20	217.16	LT
	Aug 7, 12	23.400	73 032	1,708.96	78 290	1,831.99	123 03	LT
Security total		96 000	75 029	7,202 77		7,515 84	313.08	
CIA PARANAENSE ENERGI SPON ADR								
Symbol: ELP Exchange· NYSE								
EAI $125 Current yield· 1 67%	Aug 6, 10	336.000	22 899	7,694 13	13 960	4,690.56	-3,003 57	LT
	Oct 17, 11	60 000	18 646	1,118 80	13.960	837.60	-281.20	LT
	Oct 18, 11	50 000	18.394	919.74	13.960	698.00	-221 74	LT

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Aug 21, 12	90 000	20 047	1,804 25	13 960	1,256 40	-547 85	LT
Security total		536 000	21 524	11,536 92		7,482 56	-4,054 36	
COMPANHIA DE SANEAMENTO BASICO DO ESTADO DE SAO PAULO ADS SPON ADR Symbol: SBS Exchange: NYSE	Aug 6, 10	846 000	6.808	5,759 64	9 960	8,426 16	2,666 52	LT
DEUTSCHE BOERSE ADR Symbol. DBOEY Exchange. OTC EAI· $255 Current yield: 2 40%	Mar 29, 12	8 000	6 537	52 30	7 500	60 00	7 70	LT
	Mar 30, 12	15.000	6 680	100 21	7 500	112 50	12 29	LT
	Apr 3, 12	175 000	6 840	1,197 04	7 500	1,312 50	115 46	LT
	Apr 4, 12	259.000	6 637	1,719.16	7 500	1,942.50	223 34	LT
	Apr 5, 12	31 000	6 565	203 53	7.500	232 50	28 97	LT
	Apr 18, 12	19 000	6.340	120.46	7 500	142.50	22 04	LT
	Jun 6, 12	200 000	4 732	946 52	7 500	1,500 00	553 48	LT
	Jun 8, 12	324 000	4.824	1,563.01	7 500	2,430 00	866 99	LT
	Jun 11, 12	168 000	4.842	813.46	7 500	1,260.00	446 54	LT
	Jun 12, 12	178 000	4 821	858 30	7 500	1,335 00	476 70	LT
	Jun 13, 12	41 000	4 859	199 23	7.500	307 50	108 27	LT
Security total		1,418.000	5 482	7,773 22		10,635 00	2,861 78	
DIAGEO PLC NEW GB SPON ADR Symbol· DEO Exchange NYSE EAI $104 Current yield 2 27%	Aug 6, 10	36 000	69 636	2,506.91	127.080	4,574.88	2,067 97	LT
ENSCO PLC CL A Symbol: ESV Exchange NYSE EAI· $128 Current yield· 3 50%	May 22, 13	46 000	62 828	2,890 11	53.750	2,472 50	-417 61	ST
	May 28, 13	11 000	62 510	687 61	53 750	591 25	-96 36	ST
	May 29, 13	11 000	61 959	681.55	53 750	591 25	-90 30	ST
Security total		68 000	62 636	4,259 27		3,655 00	-604 27	
GOLDEN AGRI RESOURCES LTD ADR Symbol. GARPY Exchange· OTC EAI $149 Current yield. 2 08%	Nov 1, 12	23 000	50 293	1,156 76	41 550	955 65	-201 11	ST
	Nov 5, 12	13 000	50.703	659 14	41 550	540 15	-118 99	ST

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Nov 6, 12	20 000	50 393	1,007.87	41 550	831.00	-176 87	ST
	Nov 7, 12	24 000	50 738	1,217 72	41.550	997 20	-220 52	ST
	Feb 14, 13	29 000	52 496	1,522 40	41 550	1,204.95	-317 45	ST
	Feb 22, 13	9.000	52 561	473 05	41.550	373 95	-99 10	ST
	Feb 25, 13	29 000	52 480	1,521 94	41 550	1,204 95	-316 99	ST
	Feb 26, 13	25 000	51 618	1,290 47	41.550	1,038 75	-251 72	ST
Security total		172.000	51 450	8,849 35		7,146 60	-1,702 75	
HANG SENG BK LTD SPONSRD ADR ADR Symbol HSNGY Exchange: OTC EAI· $159 Current yield 3 76%	Feb 2, 12	86 000	12 951	1,113 84	16 260	1,398 36	284 52	LT
	Feb 14, 12	64 000	12 965	829 80	16 260	1,040.64	210 84	LT
	Feb 29, 12	10 000	13 873	138 73	16 260	162.60	23 87	LT
	Mar 5, 12	65 000	13 853	900 47	16 260	1,056 90	156.43	LT
	Mar 6, 12	35 000	13 721	480 26	16.260	569 10	88.84	LT
Security total		260 000	13 320	3,463 10		4,227 60	764.50	
HITACHI LTD ADR NEW JAPAN Symbol· HTHIY Exchange OTC EAI $134 Current yield· 1 46%	Apr 28, 11	136 000	53 336	7,253 77	66 350	9,023 60	1,769.83	LT
	May 9, 11	2 000	55 410	110 82	66.350	132 70	21 88	LT
Security total		138 000	53 367	7,364 59		9,156 30	1,791.71	
HSBC HOLDINGS PLC NEW GB SPON ADR Symbol· HBC Exchange: NYSE EAI $381 Current yield: 4 33%	Sep 10, 12	11 000	44 973	494 71	54 260	596.86	102 15	LT
	Sep 14, 12	87 000	47 403	4,124 10	54 260	4,720 62	596 52	LT
	Sep 18, 12	3 000	46 593	139.78	54.260	162 78	23 00	LT
	Sep 26, 12	27 000	46 396	1,252 71	54 260	1,465 02	212 31	LT
	Oct 9, 12	9 000	47 333	426 00	54 260	488 34	62 34	ST
	Oct 16, 12	25.000	49.283	1,232 08	54 260	1,356.50	124.42	ST
Security total		162 000	47 342	7,669 38		8,790.12	1,120.74	

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Your assets › **Equities** › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
IMPERIAL TOBACCO GROUP PLC SPON ADR								
Symbol· ITYBY Exchange· OTC								
EAI $412 Current yield. 4 55%	May 4, 11	42.000	71 807	3,015 93	74 150	3,114 30	98 37	LT
	May 5, 11	54.000	71.373	3,854.17	74 150	4,004.10	149 93	LT
	Apr 1, 13	26 000	70.130	1,823 38	74.150	1,927.90	104.52	ST
Security total		122 000	71.258	8,693.48		9,046 30	352 82	
ISRAEL CHEMICALS LTD ADR								
Symbol· ISCHY Exchange OTC								
EAI· $196 Current yield· 6 25%	Jun 7, 12	44 000	10 570	465 08	8 540	375.76	-89.32	LT
	Jun 13, 12	96 000	10 311	989 88	8 540	819.84	-170 04	LT
	Jun 14, 12	85 000	10 030	852 58	8 540	725 90	-126 68	LT
	Jun 18, 12	77.000	10 167	782 93	8 540	657.58	-125.35	LT
	Jun 19, 12	65.000	10 271	667.62	8.540	555 10	-112 52	LT
Security total		367 000	10.240	3,758 09		3,134.18	-623 91	
ISUZU MOTOR CO LTD ADR ADR								
Symbol ISUZY Exchange: OTC								
EAI· $126 Current yield: 1.35%	Aug 29, 13	49 000	60.342	2,956 78	66.450	3,256 05	299.27	ST
	Aug 30, 13	48 000	61 717	2,962 46	66.450	3,189 60	227 14	ST
	Sep 4, 13	40.000	60.724	2,428 97	66.450	2,658.00	229 03	ST
	Sep 12, 13	3 000	61 876	185 63	66.450	199.35	13.72	ST
Security total		140 000	60 956	8,533 84		9,303 00	769 16	
KDDI CORP ADR								
Symbol· KDDIY Exchange· OTC								
EAI: $247 Current yield. 2 43%	Jan 31, 11	204.000	7 054	1,439 10	12.790	2,609.16	1,170 06	LT
	Feb 16, 12	344.000	8 076	2,778 26	12.790	4,399 76	1,621 50	LT
	Feb 17, 12	198 000	8 145	1,612 88	12.790	2,532 42	919.54	LT
	Feb 28, 12	50 000	7 928	396 44	12 790	639 50	243 06	LT
Security total		796.000	7 822	6,226 68		10,180.84	3,954 16	
KOC HOLDINGS ADR								
Symbol: KHOLY Exchange OTC								
EAI· $59 Current yield: 1 77%	Mar 11, 11	19.100	20 852	398 28	23.280	444 65	46 37	LT
	Mar 14, 11	47 250	21 830	1,031 47	23.280	1,099.98	68.51	LT

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Mar 15, 11	45 150	21 376	965 16	23 280	1,051 09	85 93	LT
	Mar 16, 11	31 500	21 784	686 20	23.280	733 32	47 12	LT
Security total		143.000	21 546	3,081.11		3,329 04	247.93	
KOMATSU LTD SPON ADR NEW Symbol: KMTUY Exchange: OTC EAI: $72 Current yield· 1.81%	Jan 12, 12	159.000	24 549	3,903 42	25.070	3,986.13	82.71	LT
MAGNA INTL INC CL A SUB VTG CANADA ORD CAD Symbol· MGA Exchange: NYSE EAI $87 Current yield· 1 55% CAD Exchange rate 1.02790	Jan 11, 12	19.000	38 696	735 24	82 560	1,568.64	833 40	LT
	Jan 12, 12	49.000	39 470	1,934 06	82 560	4,045 44	2,111.38	LT
Security total		68 000	39.254	2,669.30		5,614 08	2,944 78	
MANULIFE FINANCIAL CORP CAD Symbol· MFC Exchange· NYSE EAI· $288 Current yield· 3 06% CAD Exchange rate· 1 02790	Jun 28, 11	52 000	16 693	868.05	16 560	861 12	-6 93	LT
	Jun 29, 11	67.000	16 995	1,138.73	16 560	1,109 52	-29 21	LT
	Jun 30, 11	73.000	17 193	1,255.09	16.560	1,208 88	-46 21	LT
	Mar 27, 12	127.000	13 884	1,763.34	16.560	2,103 12	339 78	LT
	Mar 28, 12	119 000	13 762	1,637.77	16 560	1,970 64	332.87	LT
	Mar 29, 12	126.000	13 396	1,687 95	16.560	2,086.56	398.61	LT
	Apr 18, 12	5.000	13 426	67.13	16.560	82 80	15.67	LT
Security total		569 000	14.794	8,418 06		9,422 64	1,004.58	
MARKS & SPENCER GROUP INC SPON ADR Symbol MAKSY Exchange OTC EAI $169 Current yield· 3 05%	Aug 6, 10	345 000	10 970	3,784.65	16 050	5,537.25	1,752.60	LT
MITSUI & CO LTD ADR JAPAN ADR Symbol: MITSY Exchange. OTC EAI: $275 Current yield 3.04%	Aug 6, 10	26 000	281.645	7,322.77	291.500	7,579 00	256 23	LT
	Apr 1, 13	5.000	275 000	1,375 00	291 500	1,457.50	82.50	ST
Security total		31.000	280.573	8,697 77		9,036.50	338.73	

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
MIZUHO FINANCIAL GROUP INC SPON ADR Symbol: MFG Exchange: NYSE EAI. $277 Current yield. 2.85%	May 10, 11	1,240 000	3.351	4,155.24	4 320	5,356 80	1,201 56	LT
	May 11, 11	1,013 000	3.385	3,429 01	4 320	4,376.16	947.15	LT
Security total		2,253 000	3 366	7,584.25		9,732.96	2,148.71	
NITTO DENKO CORP UNSPONS ADR Symbol NDEKY Exchange· OTC EAI. $125 Current yield 1 41%	Sep 29, 10	152.000	19 305	2,934.40	32 420	4,927 84	1,993 44	LT
	Feb 6, 12	122.000	18 522	2,259 76	32 420	3,955.24	1,695 48	LT
Security total		274.000	18.957	5,194 16		8,883.08	3,688.92	
ORANGE SPON ADR Symbol: ORAN Exchange. NYSE EAI: $206 Current yield· 4 11%	Jul 12, 11	50 000	19 546	977 32	12 510	625 50	-351 82	LT
	Feb 6, 12	116 000	15 211	1,764.55	12.510	1,451.16	-313 39	LT
	Feb 7, 12	30.000	15 489	464.69	12 510	375.30	-89 39	LT
	Feb 21, 13	45.000	9.756	439.05	12.510	562 95	123 90	ST
	Feb 25, 13	60 000	9.738	584.32	12.510	750.60	166.28	ST
	Feb 26, 13	100 000	9.607	960 76	12.510	1,251.00	290 24	ST
Security total		401 000	12 944	5,190.69		5,016.51	-174.18	
POSCO SPON ADR Symbol· PKX Exchange NYSE EAI· $82 Current yield 1.99%	Aug 6, 10	5.000	109 642	548 21	73.640	368 20	-180 01	LT
	Jul 12, 11	10 000	106.762	1,067 62	73.640	736 40	-331.22	LT
	Apr 27, 12	20 000	84 242	1,684.84	73 640	1,472 80	-212.04	LT
	Apr 1, 13	21.000	72 980	1,532 58	73 640	1,546 44	13.86	ST
Security total		56 000	86.308	4,833 25		4,123 84	-709 41	
PTT EXPLORATION & PRODUCTION PCL SPON ADR Symbol: PEXNY Exchange· OTC EAI $13 Current yield· 3 27%	Jul 25, 13	1 000	10 440	10.44	10 450	10 45	0 01	ST
	Jul 26, 13	33 000	10.438	344 46	10.450	344 85	0 39	ST
	Jul 26, 13	2 000	10.435	20.87	10.450	20.90	0 03	ST

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Jul 26, 13	2 000	10 440	20.88	10 450	20 90	0.02	ST
Security total		38 000	10 438	396 65		397.10	0 45	
REED ELSERVIER NV NEW REPSTG 2 ORD SHS SPON ADR Symbol. ENL Exchange· NYSE EAI· $258 Current yield 2 57%	May 13, 11	68 000	27 022	1,837 53	40 100	2,726 80	889 27	LT
	May 16, 11	34 000	26 691	907 50	40 100	1,363 40	455 90	LT
	May 17, 11	71 000	26 748	1,899 12	40 100	2,847.10	947 98	LT
	May 18, 11	46 000	26 645	1,225 67	40.100	1,844 60	618 93	LT
	May 19, 11	31 000	27.063	838 98	40 100	1,243 10	404 12	LT
Security total		250 000	26 835	6,708 80		10,025 00	3,316 20	
RENAISSANCERE HOLDINGS LTD Symbol RNR Exchange· NYSE EAI $55 Current yield· 1 24%	Aug 6, 10	49 000	57.456	2,815 37	90 530	4,435 97	1,620.60	LT
RIO TINTO PLC SPON ADR Symbol: RIO Exchange NYSE EAI $305 Current yield 3 62%	Aug 19, 10	75 000	51 352	3,851 41	48 760	3,657.00	-194 41	LT
	Mar 25, 11	18 000	68 511	1,233 21	48.760	877 68	-355 53	LT
	Mar 28, 11	37 000	68 885	2,548 75	48 760	1,804 12	-744 63	LT
	May 8, 12	28 000	50.809	1,422 67	48.760	1,365 28	-57 39	LT
	Aug 22, 12	15 000	47 079	706 19	48.760	731 40	25 21	LT
Security total		173 000	56.429	9,762 23		8,435 48	-1,326 75	
ROYAL DUTCH SHELL PLC CL A SPON ADR Symbol RDS.A Exchange· NYSE EAI $624 Current yield· 4.66%	Aug 6, 10	176.000	57.828	10,177.80	65 680	11,559 68	1,381 88	LT
	Feb 20, 13	28 000	66.115	1,851 22	65.680	1,839 04	-12.18	ST
Security total		204 000	58 966	12,029 02		13,398.72	1,369 70	
SAGE GROUP PLC UN SPONSORED ADR Symbol· SGPYY Exchange· OTC EAI $120 Current yield: 2 78%	Aug 6, 10	202.000	16 326	3,297 90	21 390	4,320 78	1,022 88	LT

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Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
SANOFI SPON ADR								
Symbol SNY Exchange NYSE								
EAI $211 Current yield· 2 48%	Aug 18, 11	168 000	35 057	5,889 65	50 630	8,505 84	2,616 19	LT
SASOL LTD SPON ADR								
Symbol SSL Exchange NYSE								
EAI $501 Current yield· 3 48%	Aug 6, 10	245 000	40 737	9,980 57	47 790	11,708.55	1,727 98	LT
	May 8, 12	22.000	44 620	981 66	47 790	1,051.38	69 72	LT
	Oct 16, 12	4 000	43 925	175 70	47 790	191.16	15 46	ST
	Jan 15, 13	30 000	42.114	1,263 42	47 790	1,433 70	170 28	ST
Security total		301 000	41 200	12,401 35		14,384 79	1,983.44	
SBERBANK SPON ADR								
Symbol SBRCY Exchange OTC								
EAI· $85 Current yield. 2 01%	Jun 27, 13	132 000	11 361	1,499 69	12.030	1,587 96	88 27	ST
	Jul 1, 13	143 000	11 621	1,661 92	12 030	1,720 29	58 37	ST
	Jul 3, 13	76 000	11 228	853 40	12 030	914 28	60 88	ST
Security total		351 000	11 439	4,015.01		4,222 53	207 52	
SEGA SAMMY HLDG INC SPON ADR								
Symbol SGAMY Exchange OTC								
EAI· $72 Current yield· 1 22%	Apr 2, 12	467 000	5.271	2,461 93	7 220	3,371 74	909 81	LT
	Apr 3, 12	161 000	5 405	870 22	7.220	1,162 42	292 20	LT
	Apr 4, 12	187.000	5 379	1,005 99	7 220	1,350 14	344 15	LT
Security total		815.000	5 323	4,338 14		5,884 30	1,546 16	
SIEMENS A G SPON ADR								
Symbol· SI Exchange· NYSE								
EAI· $232 Current yield· 2 44%	Jul 30, 12	79 000	81 109	6,407 67	120 510	9,520 29	3,112 62	LT
SK TELECOM CO LTD ADR								
Symbol· SKM Exchange NYSE								
EAI $319 Current yield. 3 02%	Aug 6, 10	320 000	16.638	5,324 29	22 700	7,264 00	1,939 71	LT
	Jul 12, 11	96 000	15 628	1,500 38	22 700	2,179 20	678 82	LT
	Mar 19, 12	20.000	13 810	276 21	22 700	454.00	177 79	LT
	Mar 20, 12	30 000	13 682	410 48	22 700	681 00	270 52	LT
Security total		466 000	16.119	7,511 36		10,578 20	3,066.84	

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
STATOIL ASA SPON ADR								
Symbol STO Exchange· NYSE								
EAI $271 Current yield· 3.78%	Aug 6, 10	261.000	21 560	5,627 24	22.680	5,919 48	292.24	LT
	Aug 18, 10	20 000	20.379	407 59	22 680	453 60	46 01	LT
	Jul 12, 11	35 000	24 216	847 58	22 680	793 80	-53 78	LT
Security total		316 000	21.780	6,882.41		7,166.88	284.47	
SVENSKA CELLULOSA AB (SCA) SPON ADR								
Symbol· SVCBY Exchange· OTC								
EAI $90 Current yield 2.21%	Aug 6, 10	51 000	14 722	750 86	25 260	1,288 26	537.40	LT
	Jul 12, 11	110 000	13.640	1,500.40	25 260	2,778.60	1,278 20	LT
Security total		161 000	13 983	2,251 26		4,066.86	1,815 60	
TAIWAN SEMICONDUCTOR MFG CO LTD ADR								
Symbol: TSM Exchange: NYSE								
EAI· $102 Current yield· 2.36%	Nov 10, 10	195 000	11 164	2,177 06	16 960	3,307 20	1,130 14	LT
	Nov 18, 10	60 000	11 033	662 03	16 960	1,017 60	355 57	LT
Security total		255 000	11 134	2,839 09		4,324.80	1,485 71	
TATA MOTORS LTD SPON ADR								
Symbol· TTM Exchange· NYSE								
EAI $19 Current yield 0 51%	Jul 12, 11	30 000	22 937	688 12	26 620	798 60	110 48	LT
	Aug 23, 11	45 000	15 983	719 24	26 620	1,197 90	478 66	LT
	Aug 24, 11	65 000	15.482	1,006 36	26.620	1,730 30	723 94	LT
Security total		140 000	17 241	2,413 72		3,726.80	1,313 08	
TELENOR ASA ADR								
Symbol· TELNY Exchange. OTC								
EAI $163 Current yield· 3 76%	May 6, 13	21 000	68 131	1,430 77	68 730	1,443 33	12 56	ST
	May 7, 13	20 000	66.999	1,339 99	68 730	1,374 60	34 61	ST
	May 8, 13	22 000	68 927	1,516 41	68 730	1,512 06	-4 35	ST
Security total		63.000	68.050	4,287 17		4,329 99	42 82	

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
TESCO PLC SPONS ADR UNITED KINGDOM Symbol: TSCDY Exchange OTC EAI: $323 Current yield· 3 66%	May 8, 13	125.000	17.597	2,199 74	17 560	2,195.00	-4.74	ST
	May 9, 13	121 000	17 658	2,136 68	17 560	2,124.76	-11.92	ST
	May 16, 13	66 000	17.309	1,142 44	17.560	1,158.96	16 52	ST
	May 20, 13	33 000	17 560	579 49	17.560	579.48	-0 01	ST
	May 21, 13	68 000	17 473	1,188 18	17.560	1,194 08	5 90	ST
	May 22, 13	8.000	17.482	139 86	17.560	140 48	0 62	ST
	May 23, 13	4 000	17 307	69.23	17 560	70 24	1.01	ST
	May 24, 13	30 000	17.339	520.19	17.560	526.80	6.61	ST
	May 28, 13	48 000	17 589	844 28	17 560	842 88	-1 40	ST
Security total		503.000	17 535	8,820.09		8,832.68	12.59	
TEVA PHARMACEUTICALS IND LTD ISRAEL ADR Symbol· TEVA Exchange· OTC EAI· $206 Current yield· 2 67%	Aug 6, 10	80.000	49.827	3,986.17	37 780	3,022.40	-963 77	LT
	Mar 29, 11	10 000	49 954	499 54	37 780	377 80	-121.74	LT
	Aug 6, 12	56 000	40.271	2,255 22	37 780	2,115.68	-139.54	LT
	Aug 7, 12	58.000	40.402	2,343 33	37.780	2,191.24	-152.09	LT
Security total		204 000	44 531	9,084 26		7,707 12	-1,377 14	
TORONTO DOMINION BK NEW CANADA CAD Symbol: TD Exchange NYSE EAI· $314 Current yield· 3 60% CAD Exchange rate 1.02790	Aug 6, 10	97 000	70 886	6,876.02	89.980	8,728 06	1,852 04	LT
UNTD OVERSEAS BK LTD SPONS ADR SINGAPORE ADR Symbol. UOVEY Exchange: OTC EAI. $256 Current yield 2 85%	Aug 6, 10	270 000	28 650	7,735 50	33 310	8,993 70	1,258 20	LT
VALE SA-SP SPON ADR Symbol: VALE Exchange· NYSE EAI· $246 Current yield. 2 88%	Feb 18, 11	80.000	34 992	2,799 39	15.610	1,248 80	-1,550 59	LT
	Mar 29, 11	50 000	33 087	1,654 36	15 610	780 50	-873 86	LT

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Apr 17, 12	232 000	23 291	5,403 72	15.610	3,621.52	-1,782.20	LT
	Oct 15, 12	45.000	18 379	827 09	15 610	702 45	-124 64	ST
	Oct 16, 12	40 000	18 623	744 92	15 610	624 40	-120.52	ST
	Apr 1, 13	60 000	16 866	1,012.00	15 610	936 60	-75 40	ST
	May 31, 13	40 000	14 338	573.53	15 610	624 40	50 87	ST
Security total		547.000	23 793	13,015.01		8,538.67	-4,476 34	
YAMANA GOLD INC CAD Symbol· AUY Exchange· NYSE EAI: $192 Current yield 2 50% CAD Exchange rate· 1 02790	Aug 6, 10	366 000	9 997	3,659 20	10 400	3,806 40	147 20	LT
	May 8, 12	104 000	13.379	1,391 51	10 400	1,081.60	-309.91	LT
	Apr 1, 13	94 000	15.116	1,420 95	10.400	977 60	-443 35	ST
	May 31, 13	175 000	11 365	1,988 91	10 400	1,820 00	-168 91	ST
Security total		739 000	11 449	8,460 57		7,685 60	-774 97	
ZURICH INS GROUP LTD SPON ADR Symbol ZURVY Exchange OTC	Aug 6, 10	410 000	21 317	8,740 35	25 690	10,532 90	1,792.55	LT
	Jul 12, 11	54 000	21 951	1,185 38	25 690	1,387 26	201.88	LT
Security total		464 000	21 392	9,925 73		11,920 16	1,994 43	
Total				**$373,969.51**		**$429,145.49**	**$55,175.99**	

Total estimated annual income: $11,959

Rights

Holding	Trade date	Number of rights	Purchase price per right ($)	Cost basis ($)	Price per right on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
RIGHTS BARCLAYS PLC SPON ADR Expires: Oct 02, 13 GBP Exchange rate: 0 61751		59 000	---This information was unavailable---		5 370	316.83		

Your assets (continued)

Fixed income

Preferred securities

Holding	Trade date	Number of shares	Purchase price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
VOLKSWAGEN A G REPSTG PREF DM 50 PAR PREFERRED SPON ADR Symbol. VLKPY Exchange· OTC EAI $143 Current yield· 1 45%	Apr 3, 13	104 000	40 373	4,198 89	47 120	4,900 48	701 59	ST
	Apr 5, 13	48.000	40 215	1,930 32	47 120	2,261.76	331 44	ST
	Apr 8, 13	4 000	40 680	162 72	47 120	188.48	25 76	ST
	Apr 9, 13	54 000	39 695	2,143.57	47 120	2,544 48	400 91	ST
Security total		210 000		8,435 50		9,895 20	1,459 70	

Your total assets

		Value on Sep 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**17,272.87**	**3.78%**	**17,272.87**		
Equities	Common stock	429,145 49		373,969 51	11,959 00	55,175 99
	* Rights	316 83				
	Total equities	**429,462.32**	**94.05%**	**373,969.51**	**11,959.00**	**55,175.99**
Fixed income	**Preferred securities**	**9,895.20**	**2.17%**	**8,435.50**	**143.00**	**1,459.70**
Total		**$456,630.39**	**100.00%**	**$399,677.88**	**$12,102.00**	**$56,635.69**

Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

Cash

Holding	Opening balance on Sep 1 ($)	Closing balance on Sep 30 ($)	Price per share on Sep 30 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
Cash	0 00	-75,000.00					
UBS BANK USA BUS ACCT	143,356 67	9,064.70					250,000.00
Total	**$143,356.67**	**-$65,935.30**					

Fixed income

Certificates of deposit

Cost basis has been adjusted for accreted original issue discount (OID) on long-term (more than 1 year) CDs

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
SAFRA NATL BK NY US RATE 00 3500% MAT 10/18/2013 FIXED RATE CD ACCRUED INTEREST $78 63 CUSIP 786580F88 EAI $88 Current yield: 0 35%	May 24, 12	50,000 000	99.651	49,825 57	100 008	50,004 00	178.43	LT
AMERICAN EXPRESS C US RATE 01 4000% MAT 10/06/2014 FIXED RATE CD ACCRUED INTEREST $339 45 CUSIP 02587DEC8 EAI· $700 Current yield· 1.39%	May 24, 12	50,000.000	101.044	50,522.13	100 820	50,410.00	-112.13	LT

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Your assets › Fixed income › Certificates of deposit (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
Total		**$100,000.000**		**$100,347.70**		**$100,414.00**	**$66.30**	

Total accrued interest: $418.08

Total estimated annual income: $788

Corporate bonds and notes

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values Actual market values may vary and thus gains/losses may not be accurately reflected Cost basis has been adjusted for accreted original issue discount (OID) If you have made a tax election to deduct the premium amortization on taxable debt securities, you may request that UBS adjust cost basis for the bond premium amortization

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
DETROIT EDISON CO M/W+15BP RATE 05 400% MATURES 08/01/14 ACCRUED INTEREST $221 25 CUSIP 250847DV9 Moody A1 S&P· A EAI· $1,350 Current yield 5 20%	May 24, 12	25,000 000	109 207	27,301 75	103 783	25,945 75	-1,356 00	LT
AMGEN INC MW@ +15BP NTS RATE 04 850% MATURES 11/18/14 ACCRUED INTEREST $889 16 CUSIP 031162AJ9 Moody· Baa1 S&P: A EAI· $2,425 Current yield 4.63%	May 24, 12	25,000 000	108 297	27,074 25	104 833	26,208.25	-866 00	LT
	Jun 13, 12	25,000 000	108 792	27,198 00	104 833	26,208 25	-989 75	LT
Security total		50,000 000		54,272.25		52,416.50	-1,855 75	
CONS NAT GAS CO CALL@M/W+20BP RATE 05 000% MATURES 12/01/14 ACCRUED INTEREST $413 19 CUSIP 209615CA9 Moody Baa2 S&P: A- EAI. $1,250 Current yield· 4 76%	Jun 14, 12	25,000.000	109.124	27,281 00	104.934	26,233 50	-1,047 50	LT

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Your assets › **Fixed income** › **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
GILEAD SCIENCES INC NTS 5BP RATE 02.400% MATURES 12/01/14 ACCRUED INTEREST $198 33 CUSIP 375558AR4 Moody: Baa1 S&P· A- EAI· $600 Current yield· 2 35%	Jun 13, 12	25,000.000	103.038	25,759 50	102.074	25,518.50	-241 00	LT
DELL INC NTS B/E CALL@MW+15BP RATE 02.300% MATURES 09/10/15 ACCRUED INTEREST $31.94 CUSIP 24702RAL5 Moody· Baa1 S&P: B+ EAI· $575 Current yield· 2.30%	Jun 14, 12	25,000 000	102 870	25,717 50	100 009	25,002 25	-715 25	LT
POTASH CORP SASK INC B/E FOREIGN SECURITY RATE 03.750% MATURES 09/30/15 M\W T +25BPS ISIN US73755LAG23 Moody· A3 S&P A- EAI· $938 Current yield 3 56%	Jun 14, 12	25,000.000	107.437	26,859.25	105.420	26,355 00	-504 25	LT
WAL-MART STORES INC NTS B/E RATE 01.500% MATURES 10/25/15 ACCRUED INTEREST $161 45 CUSIP 931142CX9 Moody Aa2 S&P AA EAI $375 Current yield. 1.47%	Jun 14, 12	25,000.000	102 615	25,653.75	101.831	25,457.75	-196 00	LT
Total		**$200,000.000**		**$212,845.00**		**$206,929.25**	**-$5,915.75**	

Total accrued interest: $1,915.32

Total estimated annual income: $7,513

Your assets › **Fixed income** (continued)

Asset backed securities

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values Actual market values may vary and thus gains/losses may not be accurately reflected The cost basis for asset backed securities has been adjusted automatically for return of principal payments and if issued at a discount, accreted original issue discount (OID)

Holding	Trade date	Quantity	Purchase price($)	Adjusted cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
GNMA PL 698026X RATE 05 0000% MATURES 01/15/39 CURRENT PAR VALUE 38,645 ACCRUED INTEREST $155.64 CUSIP 36296QPK9 EAI $1,932 Current yield 4 60%	Oct 10, 12	295,000 000	110.078	42,539 38	108 731	42,019 09	-520 29	ST
FNMA PL AE3501 RATE 04 0000% MATURES 01/01/41 CURRENT PAR VALUE 91,872 ACCRUED INTEREST $296 01 CUSIP 31419D3K5 EAI $3,675 Current yield 3 81%	Nov 27, 12	145,000 000	107 656	98,905 58	104.885	96,359.94	-2,545.64	ST
Total		**440,000.000**		**$141,444.96**		**$138,379.03**	**-$3,065.93**	

Total accrued interest: $451.65

Total estimated annual income: $5,607

Government securities

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values Actual market values may vary and thus gains/losses may not be accurately reflected Cost basis has been adjusted for accreted original issue discount (OID) If you have made a tax election to deduct the premium amortization on taxable debt securities, you may request that UBS adjust cost basis for the bond premium amortization

Holding	Trade date	Quantity	Purchase price ($)	Cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
FNMA NTS RATE 0 7500% MATURES 09/13/16 ACCRUED INTEREST $14.16 CUSIP 3135G0VF7 EAI $300 Current yield 0.75%	Sep 16, 13	40,000.000	99 241	39,696 40	99.689	39,875 60	179 20	ST
FHLMC MED TERM NTS RATE 0 7500% MATURES 10/05/16 ACCRUED INTEREST $91 14 CUSIP 3134G3P38 EAI. $188 Current yield 0 75%	Jun 25, 13	25,000.000	98 975	24,743 75	99 949	24,987 25	243 50	ST

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Your assets › **Fixed income** › Government securities *(continued)*

Holding	Trade date	Quantity	Purchase price ($)	Cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
FFCB BOND RATE 0 6400% MATURES 11/29/16 ACCRUED INTEREST $107 55 CUSIP 3133EC5B6 EAI $320 Current yield: 0.64%	Sep 16, 13	50,000 000	98 518	49,259 00	99 340	49,670 00	411.00	ST
FNMA NTS RATE 1.0000% MATURES 07/26/17 ACCRUED INTEREST $88 89 CUSIP 3136G0RX1 EAI· $500 Current yield· 1 02%	Sep 16, 13	50,000.000	98 421	49,210.50	97 743	48,871.50	-339 00	ST
Total		**165,000.000**		**$162,909.65**		**$163,404.35**	**$494.70**	

Total accrued interest: $301.74

Total estimated annual income: $1,308

Your total assets

		Value on Sep 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	[1] **Cash and money balances**					
Fixed income	Certificates of deposits	100,414 00		100,347 70	788.00	66 30
	Corporate bonds and notes	206,929 25		212,845.00	7,513 00	-5,915 75
	Asset backed securities	138,379.03		141,444.96	5,607 00	-3,065.93
	Government securities	163,404.35		162,909 65	1,308 00	494.70
	Total accrued interest	3,086.79				
	Total fixed income	**612,213.42**	**100.00%**	**617,547.31**	**15,216.00**	**-8,420.68**
Total		**$612,213.42**	**100.00%**	**$617,547.31**	**$15,216.00**	**-$8,420.68**

[1] Values in Cash and money balances exclude any outstanding margin loan or unsecured debit balance These balances are reflected as liabilities in the balance sheet section of the statement