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**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

For calendar year 2012 or tax year beginning Decemehr 01 , 2012, and ending November 30 , 20 13

Name of foundation NEW BALANCE FOUNDATION		A Employer identification number 04-6470644
Number and street (or P O box number if mail is not delivered to street address) 20 GUEST STREET	Room/suite	B Telephone number (see instructions) 617-783-4000
City or town, state, and ZIP code BOSTON, MA 02135-2088		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 ☐
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		D 2. Foreign organizations meeting the 85% test, check here and attach computation ☐
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 124,450,793	J Accounting method: ☐ Cash ☒ Accrual ☐ Other (specify) _____	E If private foundation status was terminated under section 507(b)(1)(A), check here ☐
		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

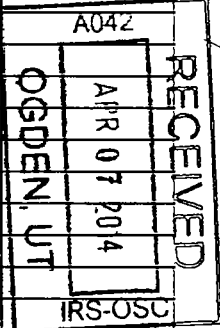
Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)			(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc., received (attach schedule)	1,076,570			
	2	Check ☐ if the foundation is not required to attach Sch. B				A042
	3	Interest on savings and temporary cash investments	355	355	NONE	OGDEN, UT APR 07 2014 IRS-OSC
	4	Dividends and interest from securities	5,526,394	5,526,394		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	(1,022,320)			
	b	Gross sales price for all assets on line 6a	78,658,229			
	7	Capital gain net income (from Part IV, line 2)				
	8	Net short-term capital gain				
	9	Income modifications				
	10a	Gross sales less returns and allowances				
b	Less: Cost of goods sold					
c	Gross profit or (loss) (attach schedule)					
11	Other income (attach schedule)	573	573			
12	Total. Add lines 1 through 11	5,581,572	5,527,322	NONE		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc.				
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach schedule)				
	c	Other professional fees (attach schedule)				
	17	Interest				
	18	Taxes (attach schedule) (see instructions)	96,500			500
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule)	117,418	117,418		
	24	Total operating and administrative expenses. Add lines 13 through 23	213,918	117,418		
	25	Contributions, gifts, grants paid	6,318,079			6,318,079
26	Total expenses and disbursements. Add lines 24 and 25	6,531,997	117,418	NONE	6,318,579	
27	Subtract line 26 from line 12:					
a	Excess of revenue over expenses and disbursements	(950,425)				
b	Net investment income (if negative, enter -0-)		5,409,904			
c	Adjusted net income (if negative, enter -0-)					

SPANNED APR 14 2014
 SIMT 1
 SIMT 2
 SIMT 3
 SIMT 4
 SIMT 5

SIMT 6

SIMT 7

SIMT 8



Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value		
Assets	1	Cash—non-interest-bearing	256,838	1,263	1,263	
	2	Savings and temporary cash investments	1,890,299	3,535,480	3,535,480	
	3	Accounts receivable ▶				
		Less: allowance for doubtful accounts ▶				
	4	Pledges receivable ▶				
		Less: allowance for doubtful accounts ▶				
	5	Grants receivable				
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)				
	7	Other notes and loans receivable (attach schedule) ▶				
		Less: allowance for doubtful accounts ▶				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges				
	10a	Investments—U.S. and state government obligations (attach schedule)				
	b	Investments—corporate stock (attach schedule)	109,879,020	107,586,308	120,615,358	
	c	Investments—corporate bonds (attach schedule)				
	Liabilities	11	Investments—land, buildings, and equipment: basis ▶			
		Less: accumulated depreciation (attach schedule) ▶				
12		Investments—mortgage loans				
13		Investments—other (attach schedule)	361,782	314,462	298,692	
14		Land, buildings, and equipment: basis ▶				
		Less: accumulated depreciation (attach schedule) ▶				
15		Other assets (describe ▶)				
16		Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)	112,387,938	111,437,513	124,450,793	
17		Accounts payable and accrued expenses				
18		Grants payable				
Net Assets or Fund Balances	19	Deferred revenue				
	20	Loans from officers, directors, trustees, and other disqualified persons				
	21	Mortgages and other notes payable (attach schedule)				
	22	Other liabilities (describe ▶)				
	23	Total liabilities (add lines 17 through 22)	NONE	NONE		
		Foundations that follow SFAS 117, check here ☐				
	24	Unrestricted				
	25	Temporarily restricted				
	26	Permanently restricted				
		Foundations that do not follow SFAS 117, check here ▶ ☒				
27	Capital stock, trust principal, or current funds	112,387,938	111,437,513			
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 (see instructions)	112,387,938	111,437,513			
31	Total liabilities and net assets/fund balances (see instructions)	112,387,938	111,437,513			

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	112,387,938
2	Enter amount from Part I, line 27a	2	(950,425)
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	111,437,513
5	Decreases not included in line 2 (itemize) ▶	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	111,437,513

Part IV Capital Gains and Losses for Tax on Investment Income

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			
b			
c			
d			
e			

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

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

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	(1,022,320)
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8 }	3	STMT 4

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.

(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	6,235,144	113,359,165	.05500343973
2010	6,514,910	118,262,397	.05508860098
2009	6,237,466	116,608,902	.05349047879
2008	5,974,678	101,709,674	.05874247517
2007	6,409,110	125,915,767	.05089997983

2 Total of line 1, column (d)	2	.2732249745
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	.0546449949
4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5	4	118,350,215
5 Multiply line 4 by line 3	5	6,467,247
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	54,099
7 Add lines 5 and 6	7	6,521,346
8 Enter qualifying distributions from Part XII, line 4 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.	8	6,318,579

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	108,198	
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2		
3	Add lines 1 and 2	3	108,198	
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4		
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	108,198	
6	Credits/Payments:			
a	2012 estimated tax payments and 2011 overpayment credited to 2012	6a	112,667	
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	112,667	
8	Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8		
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	4,469	
11	Enter the amount of line 10 to be: Credited to 2013 estimated tax 4,469 Refunded	11		

Part VII-A Statements Regarding Activities

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

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		✓
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		✓
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	✓	
Website address ► <u>NEWBALANCEFOUNDATION.ORG</u>				
14	The books are in care of ► <u>WILLIAM R. STANDLEY</u>	Telephone no. ►	<u>617-746-2212</u>	
	Located at ► <u>NEW BALANCE, 20 GUEST STREET, BOSTON, MA</u>	ZIP+4 ►	<u>02135-2088</u>	
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here.	►	☐	
	and enter the amount of tax-exempt interest received or accrued during the year	15		
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	Yes	No
	See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►			✓

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required**File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.**

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

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

- 5a** During the year did the foundation pay or incur any amount to:
- (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No
- (2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No
- (3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No
- (4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ Yes ☒ No
- (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No
- b** If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? ☐ Yes ☒ No
- Organizations relying on a current notice regarding disaster assistance check here ☐ 
- c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No
- If "Yes," attach the statement required by Regulations section 53.4945–5(d).*
- 6a** Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No
- b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? ☐ Yes ☒ No
- If "Yes" to 6b, file Form 8870.*
- 7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No
- b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? ☐ Yes ☒ No

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 10				
	TRUSTEE P.T.	NONE	NONE	NONE

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

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances

Total number of other employees paid over \$50,000	▶	NONE
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Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors *(continued)***3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE."**

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
UBS FINANCIAL SERVICES		
1 POST OFFICE SQUARE, BOSTON, MA 02109-2106	INVESTMENT ADVISORS	117,418
Total number of others receiving over \$50,000 for professional services		►

Part IX-A Summary of Direct Charitable Activities

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

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

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

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	116,967,943
b	Average of monthly cash balances	1b	2,824,008
c	Fair market value of all other assets (see instructions)	1c	360,552
d	Total (add lines 1a, b, and c)	1d	120,152,503
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	120,152,503
4	Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see instructions)	4	1,802,288
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	118,350,215
6	Minimum investment return. Enter 5% of line 5	6	5,917,511

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

1	Minimum investment return from Part X, line 6	1	5,917,511
2a	Tax on investment income for 2012 from Part VI, line 5	2a	108,198
b	Income tax for 2012. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	108,198
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	5,809,313
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	5,809,313
6	Deduction from distributable amount (see instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	5,809,313

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	6,318,579
b	Program-related investments—total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	6,318,579
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	5	
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	6,318,579

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				5,809,313
2 Undistributed income, if any, as of the end of 2012:				
a Enter amount for 2011 only			NONE	
b Total for prior years: 20____, 20____, 20____		NONE		
3 Excess distributions carryover, if any, to 2012:				
a From 2007	208,346			
b From 2008	949,816			
c From 2009	563,750			
d From 2010	746,286			
e From 2011	660,720			
f Total of lines 3a through e	3,128,918			
4 Qualifying distributions for 2012 from Part XII, line 4: ► \$ 6,318,579				
a Applied to 2011, but not more than line 2a				
b Applied to undistributed income of prior years (Election required—see instructions)				
c Treated as distributions out of corpus (Election required—see instructions)				
d Applied to 2012 distributable amount				5,809,313
e Remaining amount distributed out of corpus	509,266			
5 Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a).)				
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	3,638,184			
b Prior years' undistributed income. Subtract line 4b from line 2b		NONE		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b. Taxable amount—see instructions		NONE		
e Undistributed income for 2011. Subtract line 4a from line 2a. Taxable amount—see instructions				
f Undistributed income for 2012. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2013				
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)				
8 Excess distributions carryover from 2007 not applied on line 5 or line 7 (see instructions)	208,346			
9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a	3,429,838			
10 Analysis of line 9:				
a Excess from 2008	949,816			
b Excess from 2009	563,750			
c Excess from 2010	746,286			
d Excess from 2011	660,720			
e Excess from 2012	509,266			

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

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

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

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

Tax year	Prior 3 years			(e) Total
(a) 2012	(b) 2011	(c) 2010	(d) 2009	
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 $\frac{2}{3}$ 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).)

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

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

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

a The name, address, and telephone number 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	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
Name and address (home or business)				
a <i>Paid during the year</i>				
SEE STATEMENT 8	N/A	PUBLIC	GENERAL SUPPORT	6,318,079
Total			3a	6,318,079
b <i>Approved for future payment</i>				
BOSTON CHILDREN'S HOSPITAL	N/A	PUBLIC	GENERAL SUPPORT	1,300,000
KID2KID (CHOPCHOP)	N/A	PUBLIC	GENERAL SUPPROT	350,000
WEST END HOUSE BOYS & GIRLS CLUB	N/A	PUBLIC	GENERAL SUPPORT	200,000
TWO TEN FOOTWEAR FOUNDATION	N/A	PUBLIC	GENERAL SUPPORT	150,000
Total			3b	2,000,000

Enter gross amounts unless otherwise indicated.

Enter gross amounts unless otherwise indicated.		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions.)
		(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1	Program service revenue:					
a	_____					
b	_____					
c	_____					
d	_____					
e	_____					
f	_____					
g	Fees and contracts from government agencies					
2	Membership dues and assessments					
3	Interest on savings and temporary cash investments			14	355	
4	Dividends and interest from securities			14	5,526,394	
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	(1,022,320)	
9	Net income or (loss) from special events					
10	Gross profit or (loss) from sales of inventory					
11	Other revenue: a _____			14	573	
b	_____					
c	_____					
d	_____					
e	_____					
12	Subtotal. Add columns (b), (d), and (e)					
13	Total. Add line 12, columns (b), (d), and (e)				13	4,505,002

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

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

[illegible]

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

- | 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? | | Yes | No |
|---|--|-------|----|
| a Transfers from the reporting foundation to a noncharitable exempt organization of: | | | |
| (1) Cash | | 1a(1) | ✓ |
| (2) Other assets | | 1a(2) | ✓ |
| b Other transactions: | | | |
| (1) Sales of assets to a noncharitable exempt organization | | 1b(1) | ✓ |
| (2) Purchases of assets from a noncharitable exempt organization | | 1b(2) | ✓ |
| (3) Rental of facilities, equipment, or other assets | | 1b(3) | ✓ |
| (4) Reimbursement arrangements | | 1b(4) | ✓ |
| (5) Loans or loan guarantees | | 1b(5) | ✓ |
| (6) Performance of services or membership or fundraising solicitations | | 1b(6) | ✓ |
| c Sharing of facilities, equipment, mailing lists, other assets, or paid employees | | 1c | ✓ |
| 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. | | | |

[illegible]

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

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

**Sign
Here**

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

James M. Davis
Signature of officer or trustee

3/28/14
Date

TRUSTEE
Title

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

**Paid
Preparer
Use Only**

Print/Type preparer's name

LAURA KENNEY

Digitally signed by
Kenney, Laura

Date
3/13/14

Check ☐ if self-employed

PTIN

P00202198

Firm's name ► **GRANT THORNTON, LLP**

Firm's address ► 75 STATE STREET, BOSTON, MA 02109

Firm's EIN ► 36-6055558

Phone no. **617-391-1340**

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

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

OMB No 1545-0047

2012

Name of the organization

Employer identification number

NEW BALANCE FOUNDATION**04-6470644**

Organization type (check one):

Filers of:**Section:**

Form 990 or 990-EZ

☐ 501(c)() (enter number) organization☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation☐ 501(c)(3) taxable private foundationCheck if your organization is covered by the **General Rule** or a **Special Rule**.**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.**General Rule**

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

Special Rules

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 $\frac{1}{3}$ % support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not total to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc., contributions of \$5,000 or more during the year ▶ \$

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

Name of organization NEWBALANCE FOUNDATION	Employer identification number 04-6470644
--	---

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

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
-----	NEW BALANCE ATHLETIC SHOE, INC. 20 GUEST STREET BOSTON, MA 02135-2088	\$ 1,000,000.00	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
-----	AMERICAN EXPRESS - MEMBERSHIP REWARDS PO BOX 297813 FT. LAUDERDALE FL 33329-9785	\$ 76,500.00	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
-----		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
-----		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
-----		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
-----		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
-----		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
-----		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)

Name of organization

NEWBALANCE FOUNDATION

Employer identification number

04-6470644

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

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

Name of organization NEWBALANCE FOUNDATION	Employer identification number 04-6470644
--	---

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

Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
-----	----- ----- -----	----- ----- -----	----- ----- -----
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	----- ----- -----	----- ----- -----	
(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
-----	----- ----- -----	----- ----- -----	----- ----- -----
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	----- ----- -----	----- ----- -----	
(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
-----	----- ----- -----	----- ----- -----	----- ----- -----
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	----- ----- -----	----- ----- -----	
(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
-----	----- ----- -----	----- ----- -----	----- ----- -----
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	----- ----- -----	----- ----- -----	

NEW BALANCE FOUNDATION
FORM 990-PF
TAX YEAR 12/01/12- 11/30/13

TIN: 04-6470644

STATEMENT 1

PART I, LINE 1

Contributions, gifts, grants received

DESCRIPTION	REVENUE & EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME
NEW BALANCE ATHLETIC SHOE, INC.	1,000,000	1,000,000	NONE
DONATION FROM ARMY AIR FORCE EXCHANGE	70	70	NONE
DONATION FROM AMERICAN EXPRESS	<u>76,500</u>	<u>76,500</u>	NONE
	1,076,570	1,076,570	

NEW BALANCE FOUNDATION
FORM 990-PF
TAX YEAR 12/01/12- 11/30/13

TIN: 04-6470644

STATEMENT 2

PART I, LINE 3

INTEREST ON TEMPORARY CASH INVESTMENTS

DESCRIPTION	REVENUE & EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME
INTEREST	355	355	NONE

NEW BALANCE FOUNDATION
FORM 990-PF
TAX YEAR 12/01/12- 11/30/13

TIN: 04-6470644

STATEMENT 3

PART I, LINE 4

DIVIDENDS & INTEREST FROM SECURITIES

DESCRIPTION	REVENUE & EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME
DIVIDENDS & INTEREST	5,526,394	5,526,394	NONE

PART IV, CAPITAL GAINS & LOSSES

CAPITAL GAINS & LOSSES

NBF Realized Gain/(Loss)								
12/01/2012 to 11/30/2013								
DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Term
AMERICAN CAPITAL AGENCY CORP	02503X105	425	6/8/2011	13 026 25	6/3/2013	10,835 06	(2 191 19)	L
AMERICAN FUNDS WASHINGTON MUTUAL INVESTORS FUND CL A	939330106	30 922 40	7/20/2012	936 025 97	1/10/2013	991,062 92	55,036 95	S
AMERICAN FUNDS WASHINGTON MUTUAL INVESTORS FUND CL A	939330106	1,418 95	9/21/2012	44,867 20	1/10/2013	45,477 35	610 15	S
AMERICAN FUNDS WASHINGTON MUTUAL INVESTORS FUND CL A	939330106	232 26	12/21/2012	7 276 80	1/10/2013	7 444 03	167 23	S
AMERICAN SCIENCE & ENGINEERING INC	029429107	8	1/28/2011	704 05	8/28/2013	465 09	(238 96)	L
AMERICAN SCIENCE & ENGINEERING INC	029429107	3	1/28/2011	264 02	8/29/2013	174 74	(89 28)	L
AMERICAN SCIENCE & ENGINEERING INC	029429107	5	1/28/2011	440 04	9/4/2013	285 88	(154 16)	L
AMERICAN SCIENCE & ENGINEERING INC	029429107	4	1/28/2011	352 02	9/6/2013	228 63	(123 39)	L
AMERICAN SCIENCE & ENGINEERING INC	029429107	6	1/28/2011	528 04	9/9/2013	341 87	(186 17)	L
AMERICAN SCIENCE & ENGINEERING INC	029429107	27	1/28/2011	2 376 17	8/26/2013	1 601 75	(774 42)	L
AMERICAN SCIENCE & ENGINEERING INC	029429107	6	1/31/2011	521 18	9/11/2013	342 15	(179 01)	L
AMERICAN SCIENCE & ENGINEERING INC	029429107	5	1/31/2011	434 30	9/10/2013	285 13	(149 17)	L
AMERICAN SCIENCE & ENGINEERING INC	029429107	2	1/31/2011	173 72	9/9/2013	113 96	(59 76)	L
AMERICAN SCIENCE & ENGINEERING INC	029429107	9	1/31/2011	781 73	9/17/2013	521 80	(259 93)	L
AMERICAN SCIENCE & ENGINEERING INC	029429107	6	1/31/2011	521 16	9/18/2013	347 22	(173 94)	L
AMERICAN SCIENCE & ENGINEERING INC	029429107	3	2/7/2011	268 96	9/18/2013	173 61	(95 37)	L
AMERICAN SCIENCE & ENGINEERING INC	029429107	4	2/7/2011	358 63	9/19/2013	229 04	(129 59)	L
AMERICAN SCIENCE & ENGINEERING INC	029429107	11	2/7/2011	986 24	9/20/2013	626 85	(359 39)	L
AMERICAN SCIENCE & ENGINEERING INC	029429107	15	2/8/2011	1 354 77	9/20/2013	854 79	(499 98)	L
AMERICAN SCIENCE & ENGINEERING INC	029429107	11	2/9/2011	1 002 74	9/20/2013	626 85	(375 89)	L
ANALOG DEVICES INC	032654105	100	7/30/2009	2 777 00	2/5/2013	4,461 82	1 684 82	L
ANALOG DEVICES INC	032654105	175	7/30/2009	4 859 75	2/22/2013	7,971 98	3,112 23	L
ANALOG DEVICES INC	032654105	130	8/4/2009	3,574 42	2/22/2013	5 922 05	2,347 63	L
ANNALY CAPITAL MANAGEMENT INC REIT	035710409	105	7/30/2009	1 747 20	10/4/2013	1 208 53	(538 67)	L
ANNALY CAPITAL MANAGEMENT INC REIT	035710409	970	8/4/2009	16 646 36	10/4/2013	11 164 50	(5 481 86)	L
ANNALY CAPITAL MANAGEMENT INC REIT	035710409	60	8/6/2009	1,043 23	10/4/2013	690 59	(352 64)	L
APOGEE ENTERPRISES INC	037598109	136	8/6/2009	1 947 38	4/23/2013	3,400 69	1 453 31	L
APOGEE ENTERPRISES INC	037598109	31	10/15/2009	469 27	4/23/2013	775 16	305 89	L
APOGEE ENTERPRISES INC	037598109	52	10/15/2009	787 15	4/24/2013	1,307 52	520 37	L
APOGEE ENTERPRISES INC	037598109	25	4/13/2010	349 41	4/24/2013	628 61	279 20	L
APOGEE ENTERPRISES INC	037598109	228	4/13/2010	3,186 65	8/6/2013	6 194 60	3,007 95	L
APPLE INC	037833100	200	12/6/2012	107 603 02	8/20/2013	101 005 71	(6 597 31)	S
APPLE INC	037833100	50	4/30/2013	21,921 50	8/20/2013	25 251 43	3,329 93	S
APPLE INC	037833100	50	5/1/2013	21 960 00	8/20/2013	25,251 43	3,291 43	S
ARTISAN PARTNERS ASSET MGMT INC	04316A108	57	6/5/2013	2 849 99	10/24/2013	3 267 11	617 12	S
ARTISAN PARTNERS ASSET MGMT INC	04316A108	20	6/6/2013	938 85	10/24/2013	1,146 35	207 50	S
ARTISAN PARTNERS ASSET MGMT INC	04316A108	22	6/6/2013	1,032 74	10/25/2013	1,258 93	226 19	S
ARTISAN PARTNERS ASSET MGMT INC	04316A108	49	6/7/2013	2 324 48	10/25/2013	2,803 99	479 51	S
ARTISAN PARTNERS ASSET MGMT INC	04316A108	9	6/11/2013	477 20	10/25/2013	515 01	37 81	S
ARTISAN PARTNERS ASSET MGMT INC	04316A108	9	6/12/2013	471 08	10/25/2013	515 02	43 94	S
AT&T INC	00206R102	1,000 00	7/28/2011	26,148 00	6/3/2013	34 702 96	5,554 96	L
AT&T INC	00206R102	1,000 00	6/30/2011	26,679 20	6/3/2013	34 702 95	5,023 75	L
AT&T INC	00206R102	1,000 00	6/31/2011	28,237 40	6/3/2013	34 702 96	6 465 56	L
AT&T INC	00206R102	300	9/2/2011	8 450 10	6/3/2013	10,410 89	1 960 79	L
AT&T INC	00206R102	1,700 00	9/6/2011	47 119 58	6/3/2013	58 995 03	11 875 45	L
AT&T INC	00206R102	500	9/6/2011	13,875 00	6/3/2013	17,351 48	3,476 48	L
AT&T INC	00206R102	250	9/22/2011	6 679 35	6/3/2013	8 675 74	1,996 39	L
AT&T INC	00206R102	1 300 00	2/2/2012	38,843 87	6/3/2013	45,113 84	6,269 97	L
BIOMED REALTY TRUST INC REITS	09063H107	108	12/26/2012	2,105 62	5/7/2013	2,445 13	339 51	S
BIOMED REALTY TRUST INC REITS	09063H107	222	12/27/2012	4 284 58	5/7/2013	5 026 10	741 52	S
BIOMED REALTY TRUST INC REITS	09063H107	9	12/28/2012	173 44	5/7/2013	203 76	30 32	S
BIOMED REALTY TRUST INC REITS	09063H107	66	12/28/2012	1 657 35	5/8/2013	1,935 84	278 49	S

PART IV, CAPITAL GAINS & LOSSES

CAPITAL GAINS & LOSSES

NBF Realized Gain/(Loss)								
12/01/2012 to 11/30/2013								
DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Term
BIOMED REALTY TRUST INC REITS	09063H107	126	1/14/2013	2,499.49	5/8/2013	2,836.23	336.74	S
BLACKROCK GLOBAL ALLOCATION FUND INC A	09251T103	55,937.60	8/28/2012	1,033,726.85	1/10/2013	1,124,340.57	90,613.72	S
BLACKROCK GLOBAL ALLOCATION FUND INC A	09251T103	370.3	7/19/2012	6,976.43	1/10/2013	7,442.98	466.55	S
BLACKROCK GLOBAL ALLOCATION FUND INC A	09251T103	305.43	12/19/2012	6,023.14	1/10/2013	6,139.17	116.03	S
BOEING COMPANY	097023105	200	7/28/2011	14,139.76	1/30/2013	14,802.41	722.65	L
BOEING COMPANY	097023105	300	8/11/2011	17,423.76	1/30/2013	22,293.61	4,869.85	L
BOEING COMPANY	097023105	75	9/2/2011	4,808.55	1/30/2013	5,573.41	764.86	L
BOEING COMPANY	097023105	425	9/6/2011	26,208.44	1/30/2013	31,582.62	5,374.18	L
BOEING COMPANY	097023105	100	9/9/2011	6,204.10	1/30/2013	7,431.20	1,227.10	L
BOEING COMPANY	097023105	200	9/22/2011	11,718.96	1/30/2013	14,802.41	3,143.45	L
BOEING COMPANY	097023105	300	2/2/2012	22,552.50	1/30/2013	22,293.61	(258.89)	S
BOEING COMPANY	097023105	200	2/7/2012	14,886.00	1/30/2013	14,862.41	(23.59)	S
BOEING COMPANY	097023105	200	2/21/2012	15,137.30	1/30/2013	14,862.41	(274.89)	S
BOEING COMPANY	097023105	100	7/20/2012	7,378.04	1/30/2013	7,431.21	53.17	S
BOEING COMPANY	097023105	400	10/9/2012	28,202.52	1/30/2013	29,724.82	1,522.30	S
BOEING COMPANY	097023105	500	10/12/2012	35,949.70	1/30/2013	37,156.02	1,206.32	S
BOTTOMLINE TECHNOLOGIES INC	101388106	10	12/29/2010	225.74	6/11/2013	275.87	50.13	L
BOTTOMLINE TECHNOLOGIES INC	101388106	10	12/29/2010	225.74	6/12/2013	267.85	42.11	L
BOTTOMLINE TECHNOLOGIES INC	101388106	1	12/30/2010	22.34	6/12/2013	26.78	4.44	L
BOTTOMLINE TECHNOLOGIES INC	101388106	34	12/30/2010	759.63	6/13/2013	911.88	152.25	L
BOTTOMLINE TECHNOLOGIES INC	101388106	73	12/30/2010	1,630.95	6/14/2013	1,920.45	289.50	L
BOTTOMLINE TECHNOLOGIES INC	101388106	35	12/30/2010	781.97	6/17/2013	920.18	138.21	L
BOTTOMLINE TECHNOLOGIES INC	101388106	1	12/30/2010	22.34	6/18/2013	26.16	3.82	L
BOTTOMLINE TECHNOLOGIES INC	101388106	47	12/31/2010	1,033.73	6/18/2013	1,229.52	195.79	L
BOTTOMLINE TECHNOLOGIES INC	101388106	63	1/3/2011	1,400.97	6/18/2013	1,648.08	247.11	L
BOTTOMLINE TECHNOLOGIES INC	101388106	30	3/23/2011	661.01	6/18/2013	784.81	123.80	L
BOTTOMLINE TECHNOLOGIES INC	101388106	25	3/25/2011	586.27	6/18/2013	654.00	67.73	L
BOTTOMLINE TECHNOLOGIES INC	101388106	51	3/28/2011	1,215.61	6/18/2013	1,334.16	118.55	L
BOTTOMLINE TECHNOLOGIES INC	101388106	6	3/29/2011	142.83	6/18/2013	156.96	14.13	L
BOTTOMLINE TECHNOLOGIES INC	101388106	11	3/29/2011	261.85	6/19/2013	288.83	26.98	L
BOTTOMLINE TECHNOLOGIES INC	101388106	4	3/30/2011	96.83	6/19/2013	105.03	8.20	L
BOTTOMLINE TECHNOLOGIES INC	101388106	49	4/1/2011	1,218.90	6/19/2013	1,286.61	69.71	L
BOTTOMLINE TECHNOLOGIES INC	101388106	19	4/5/2011	472.29	6/19/2013	498.89	26.60	L
BOTTOMLINE TECHNOLOGIES INC	101388106	15	8/24/2011	338.78	6/19/2013	393.86	55.08	L
BOTTOMLINE TECHNOLOGIES INC	101388106	61	8/24/2011	1,377.71	6/20/2013	1,584.91	207.20	L
BOTTOMLINE TECHNOLOGIES INC	101388106	2	8/24/2011	45.17	6/21/2013	51.21	6.04	L
BOTTOMLINE TECHNOLOGIES INC	101388106	26	8/25/2011	582.31	6/21/2013	665.69	83.38	L
BOTTOMLINE TECHNOLOGIES INC	101388106	71	1/14/2013	1,932.97	6/25/2013	1,761.09	(171.88)	S
BOTTOMLINE TECHNOLOGIES INC	101388106	92	1/14/2013	2,504.69	6/26/2013	2,297.38	(207.31)	S
BOTTOMLINE TECHNOLOGIES INC	101388106	14	1/14/2013	381.15	6/27/2013	350.44	(30.71)	S
BRISTOL MYERS SQUIBB CO	110122108	950	7/28/2011	27,642.53	6/21/2013	40,310.82	12,668.29	L
BRISTOL MYERS SQUIBB CO	110122108	550	8/30/2011	16,037.56	6/21/2013	23,337.84	7,300.28	L
BRISTOL MYERS SQUIBB CO	110122108	350	9/2/2011	10,348.59	6/21/2013	14,851.35	4,502.76	L
BRISTOL MYERS SQUIBB CO	110122108	150	9/6/2011	4,348.38	6/21/2013	6,364.67	2,016.49	L
BRISTOL MYERS SQUIBB CO	110122108	1,000.00	9/8/2011	29,789.20	6/21/2013	42,432.43	12,643.23	L
BRISTOL MYERS SQUIBB CO	110122108	1,000.00	9/9/2011	29,679.20	6/21/2013	42,432.44	12,753.24	L
BRISTOL MYERS SQUIBB CO	110122108	200	9/21/2011	6,255.48	6/21/2013	8,486.49	2,231.01	L
CABLEVISION SYSTEMS CORP N Y GROUP CL A	12686C109	430	7/30/2009	5,207.86	7/18/2013	5,200.86	2,993.00	L
CABLEVISION SYSTEMS CORP N Y GROUP CL A	12686C109	100	7/30/2009	1,211.13	7/18/2013	1,899.97	688.84	L
CABLEVISION SYSTEMS CORP N Y GROUP CL A	12686C109	415	8/4/2009	5,175.76	7/19/2013	7,014.79	2,739.03	L
CABLEVISION SYSTEMS CORP N Y GROUP CL A	12686C109	65	8/6/2009	823.07	7/19/2013	1,239.66	416.59	L
CABLEVISION SYSTEMS CORP N Y GROUP CL A	12686C109	425	8/6/2009	5,381.62	10/1/2013	7,211.40	1,829.78	L

PART IV, CAPITAL GAINS & LOSSES

CAPITAL GAINS & LOSSES

NBF Realized Gain/(Loss)								
12/01/2012 to 11/30/2013								
DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Term
CABLEVISION SYSTEMS CORP N Y GROUP CL A	12686C100	180	10/15/2009	2,234.19	10/1/2013	2,714.88	480.69	L
CABLEVISION SYSTEMS CORP N Y GROUP CL A	12686C100	495	8/25/2011	8,419.85	10/2/2013	8,395.05	(24.80)	L
CABLEVISION SYSTEMS CORP N Y GROUP CL A	12686C100	420	8/25/2011	7,144.12	10/1/2013	7,129.56	(17.56)	L
CALAMOS CONVERTIBLE FUND CLASS A	128119401	888.24	12/17/2009	16,487.93	1/28/2013	15,073.33	(1,394.60)	L
CALAMOS CONVERTIBLE FUND CLASS A	128119401	633.12	3/18/2010	12,143.15	1/28/2013	10,743.92	(1,399.23)	L
CALAMOS CONVERTIBLE FUND CLASS A	128119401	1,097.51	6/17/2010	20,391.70	1/28/2013	18,624.63	(1,767.07)	L
CALAMOS CONVERTIBLE FUND CLASS A	128119401	500.64	9/16/2010	9,477.15	1/28/2013	8,495.85	(981.30)	L
CALAMOS CONVERTIBLE FUND CLASS A	128119401	2,706.46	12/16/2010	52,613.54	1/28/2013	45,928.39	(6,685.15)	L
CALAMOS CONVERTIBLE FUND CLASS A	128119401	372.6	12/16/2010	7,243.25	1/28/2013	6,322.91	(920.34)	L
CALAMOS CONVERTIBLE FUND CLASS A	128119401	49,925.11	1/26/2011	1,000,005.25	1/28/2013	847,225.44	(152,779.81)	L
CALAMOS CONVERTIBLE FUND CLASS A	128119401	186.62	3/17/2011	3,695.16	1/28/2013	3,166.99	(528.17)	L
CALAMOS CONVERTIBLE FUND CLASS A	128119401	978.81	6/16/2011	19,028.14	1/28/2013	16,810.40	(2,417.74)	L
CALAMOS CONVERTIBLE FUND CLASS A	128119401	12,120.33	12/22/2011	207,378.92	1/28/2013	205,681.17	(1,697.75)	L
CALAMOS CONVERTIBLE FUND CLASS A	128119401	560.4	12/22/2011	9,588.53	1/28/2013	9,510.03	(78.50)	L
CALAMOS CONVERTIBLE FUND CLASS A	128119401	378.36	3/22/2012	6,878.66	1/28/2013	6,420.81	(457.85)	S
CALAMOS CONVERTIBLE FUND CLASS A	128119401	124.71	6/21/2012	2,107.63	1/28/2013	2,116.35	8.72	S
CALL BOEING COMPANY DUE 05/18/13 80 000		-30	1/30/2013	3,273.58	10/15/2012	5,162.97	1,889.39	S
CALL BRISTOL MYERS SQUIB DUE 06/22/13 47 000		-29	5/16/2013	809.00	5/15/2013	1,942.96	1,333.96	S
CALL CAMPBELL SOUP CO DUE 01/18/14 49 000		-31	10/1/2013	310.00	8/19/2013	2,343.14	2,033.14	S
CALL CAMPBELL SOUP CO DUE 01/18/14 49 000		-25	9/17/2013	375.00	8/19/2013	1,889.63	1,514.63	S
CALL CAMPBELL SOUP CO DUE 01/18/14 49 000		-9	9/18/2013	135.00	8/19/2013	680.26	545.26	S
CALL CAMPBELL SOUP CO DUE 07/20/13 47 000		-35	6/4/2013	525.00	5/29/2013	1,049.98	524.98	S
CALL CATERPILLAR INC DUE 11/16/13 90 000		-13	7/25/2013	1,414.17	4/18/2013	2,794.94	1,380.77	S
CALL CATERPILLAR INC DUE 11/16/13 90 000		-3	7/25/2013	326.35	5/24/2013	1,004.98	678.63	S
CALL CATERPILLAR INC DUE 11/16/13 90 000		-16	7/25/2013	1,740.52	6/25/2013	2,447.05	707.13	S
CALL CHEVRON CORP DUE 06/22/13 115 000		-40	5/14/2013	37,000.00	11/6/2012	10,126.11	(26,873.89)	S
CALL CISCO SYSTEMS INC DUE 07/20/13 22 000		-120	3/4/2013	5,861.35	10/16/2012	6,806.32	944.97	S
CALL CISCO SYSTEMS INC DUE 08/17/13 25 000		-130	8/19/2013	0.01	5/16/2013	7,929.82	7,929.81	S
CALL CLOROX CO DUE 01/19/13 75 000		-20	12/27/2012	400.00	6/12/2012	3,101.26	2,701.26	S
CALL CLOROX CO DUE 01/19/13 75 000		-1	12/27/2012	20.00	7/26/2012	175.00	155.00	S
CALL CLOROX CO DUE 01/19/13 75 000		-1	12/31/2012	16.41	7/26/2012	174.99	156.58	S
CALL CLOROX CO DUE 01/19/13 75 000		-10	12/31/2012	184.05	11/8/2012	800.03	615.98	S
CALL CLOROX CO DUE 01/19/13 75 000		-28	12/31/2012	515.36	11/9/2012	2,380.04	1,864.68	S
CALL CLOROX CO DUE 10/19/13 87 500		-20	9/18/2013	400.00	2/26/2013	2,522.56	2,122.56	S
CALL CLOROX CO DUE 10/19/13 87 500		-24	9/20/2013	359.46	2/26/2013	3,027.07	2,667.61	S
CALL CLOROX CO DUE 10/19/13 87 500		-1	9/25/2013	10.00	2/26/2013	126.13	116.13	S
CALL CLOROX CO DUE 10/19/13 87 500		-15	10/21/2013	0.01	2/26/2013	1,891.92	1,891.91	S
CALL CLOROX CO DUE 10/19/13 87 500		-2	10/21/2013	0.01	5/31/2013	269.35	269.34	S
CALL COCA COLA CO COM DUE 05/18/13 40 000		-57	12/31/2012	1,073.13	12/12/2012	3,194.37	2,121.24	S
CALL COCA COLA CO COM DUE 05/18/13 40 000		-36	1/10/2013	684.00	12/12/2012	2,017.50	1,333.50	S
CALL COCA COLA CO COM DUE 05/18/13 40 000		-22	1/11/2013	374.00	12/12/2012	1,232.91	858.91	S
CALL COCA COLA CO COM DUE 11/16/13 45 000		-51	7/16/2013	908.06	4/25/2013	3,385.92	2,457.86	S
CALL COCA COLA CO COM DUE 11/16/13 45 000		-29	7/16/2013	516.35	5/29/2013	1,797.97	1,281.62	S
CALL COCA COLA CO COM DUE 11/16/13 45 000		-30	7/16/2013	534.16	5/31/2013	1,079.98	545.82	S
CALL COLGATE PALMOLIVE C DUE 11/16/13 65 000		-2	6/11/2013	104.00	5/22/2013	271.35	167.35	S
CALL COLGATE PALMOLIVE C DUE 11/16/13 65 000		-12	6/12/2013	624.00	5/22/2013	1,628.11	1,004.11	S
CALL COLGATE PALMOLIVE C DUE 11/16/13 65 000		-14	6/12/2013	728.00	5/22/2013	1,712.63	984.63	S
CALL COLGATE PALMOLIVE C DUE 11/16/13 65 000		-16	6/12/2013	632.00	5/22/2013	2,012.33	1,380.33	S
CALL CONS EDISON CO (HOL DUE 05/18/13 60 000		-21	2/1/2013	415.58	11/6/2012	1,889.95	1,474.37	S
CALL CONS EDISON CO (HOL DUE 05/18/13 60 000		-16	2/6/2013	307.64	11/6/2012	1,439.97	1,132.33	S
CALL CONS EDISON CO (HOL DUE 11/16/13 62 500		-31	8/15/2013	620.00	7/19/2013	2,170.60	1,550.60	S
CALL CONS EDISON CO (HOL DUE 11/16/13 62 500		-9	8/16/2013	180.00	7/19/2013	630.18	450.18	S

PART IV. CAPITAL GAINS & LOSSES

CAPITAL GAINS & LOSSES

NBF Realized Gain/(Loss)									
12/01/2012 to 11/30/2013									
DESCRIPTION		CUSIP	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Term
CALL DEERE AND CO 122017 DUE 03/18/13 90 000			-22	2/13/2013	5 258 00	9/19/2012	4,551 16	(706 84)	S
CALL DEERE AND CO 122017 DUE 03/18/13 90 000			-2	2/13/2013	478 00	10/11/2012	429 99	(48 01)	S
CALL DEERE AND CO 122017 DUE 03/18/13 90 000			-2	2/13/2013	478 00	10/31/2012	591 98	113 98	S
CALL DEERE AND CO 122017 DUE 09/21/13 97 500			-26	4/2/2013	2 072 82	2/13/2013	7 306 36	5 233 74	S
CALL DEERE AND CO 122017 DUE 12/21/13 90 000			-13	8/21/2013	1 924 00	6/24/2013	2,237 01	313 01	S
CALL DEERE AND CO 122017 DUE 12/21/13 90 000			-17	8/21/2013	2,431 00	6/24/2013	2 925 33	494 33	S
CALL DU PONT DE NEMOURS 135399 DUE 01/18/14 60 000			-50	10/25/2013	14 250 00	5/23/2013	5 707 87	(8 542 13)	S
CALL HEINZ H J CO DUE 06/22/13 60 000	206237		-38	2/14/2013	49,136 50	11/15/2012	4 749 89	(44 386 61)	S
CALL INTEL CORP DUE 01/18/14 25 000	228254		-62	2/21/2013	2 170 00	10/17/2012	5,269 88	3 099 88	S
CALL INTEL CORP DUE 01/18/14 25 000	228254		-5	2/14/2013	225 00	10/17/2012	424 99	199 99	S
CALL JOHNSON & JOHNSON C 239801 DUE 01/18/14 100 000			-27	8/22/2013	783 00	8/1/2013	2 838 73	2 055 73	S
CALL JOHNSON & JOHNSON C 239801 DUE 10/19/13 80 000			-65	5/22/2013	62,062 38	2/25/2013	6 783 00	(55 279 38)	S
CALL JPMORGAN CHASE & CO 241JP2 DUE 06/22/13 48 000			-40	5/3/2013	3 920 00	10/23/2012	4 214 83	294 83	S
CALL KELLOGG CO 244031 DUE 06/22/13 67 500			-13	5/2/2013	130 00	4/30/2013	649 98	519 98	S
CALL KELLOGG CO 244031 DUE 06/22/13 67 500			-29	6/5/2013	142 66	4/30/2013	1 449 97	1 307 31	S
CALL KIMBERLY CLARK CORP 247800 DUE 01/19/13 85 000			-2	12/5/2012	298 00	8/8/2012	351 99	55 99	S
CALL KINDER MORGAN INC 248AZ3 DUE 11/18/13 37 500			-7	10/24/2013	91 00	9/26/2013	349 99	258 99	S
CALL KINDER MORGAN INC 248AZ3 DUE 11/18/13 37 500			-19	10/28/2013	228 00	9/27/2013	764 29	536 29	S
CALL KINDER MORGAN INC 248AZ3 DUE 11/18/13 37 500			-6	10/24/2013	78 00	9/27/2013	241 36	163 36	S
CALL KINDER MORGAN INC 248AZ3 DUE 11/18/13 37 500			-7	10/28/2013	84 00	10/1/2013	284 97	200 97	S
CALL KRAFT FOODS GROUP I 252077 DUE 01/18/14 60 000			-1	10/14/2013	15 00	6/20/2013	70 00	55 00	S
CALL KRAFT FOODS GROUP I 252077 DUE 01/18/14 60 000			-52	10/15/2013	780 00	6/20/2013	3 639 94	2 859 94	S
CALL MERCK & CO INC NEW 2837Z7 DUE 01/19/13 40 000			-50	12/12/2012	27 213 28	11/10/2011	5,255 77	(21 957 51)	S
CALL MERCK & CO INC NEW 2837Z7 DUE 01/19/13 40 000			-13	12/12/2012	7 075 46	2/2/2012	2 378 95	(4 696 51)	S
CALL MERCK & CO INC NEW 2837Z7 DUE 01/19/13 40 000			-7	12/12/2012	3 809 85	2/7/2012	1 287 97	(2 521 88)	S
CALL MICROSOFT CORP 270890 DUE 07/20/13 32 000			-8	12/12/2012	4 354 13	2/21/2012	1 375 97	(2 978 16)	S
CALL MICROSOFT CORP 270890 DUE 07/20/13 32 000			-41	7/22/2013	0 01	4/10/2013	1 803 96	1 803 95	S
CALL PEPSICO INC DUE 07/20/13 80 000	368024		-37	7/18/2013	25,509 48	3/22/2013	3 699 92	(21 809 56)	S
CALL PFIZER INC DUE 09/21/13 27 000	370011		-175	7/30/2013	48 125 00	12/12/2012	12 599 72	(35 525 28)	S
CALL PROCTER & GAMBLE CO 383601 DUE 04/20/13 72 500			-5	1/23/2013	245 00	10/3/2012	504 99	259 99	S
CALL PROCTER & GAMBLE CO 383601 DUE 04/20/13 72 500			-45	4/15/2013	35,549 88	10/3/2012	4 544 89	(31 004 99)	S
CALL PROCTER & GAMBLE CO 383601 DUE 04/20/13 72 500			-5	4/15/2013	3 949 98	10/11/2012	361 35	(3 588 63)	S
CALL PROCTER & GAMBLE CO 383601 DUE 04/20/13 72 500			-9	4/15/2013	7 109 98	10/31/2012	989 97	(6,120 01)	S
CALL PROCTER & GAMBLE CO 383601 DUE 10/19/13 85 000			-37	9/4/2013	333 00	5/31/2013	2,409 28	2 076 28	S
CALL PROCTER & GAMBLE CO 383601 DUE 10/19/13 85 000			-14	9/4/2013	126 00	7/18/2013	1 199 89	1 073 89	S
CALL PROCTER & GAMBLE CO 383601 DUE 10/19/13 85 000			-18	9/4/2013	162 00	7/19/2013	1 627 29	1,465 29	S
CALL VERIZON COMMUNICATI 492BA3 DUE 10/19/13 47 000			-100	10/18/2013	27 500 00	1/22/2013	5,750 06	(21 749 94)	S
CALL WAL MART STORES INC 496197 DUE 01/18/14 77 500			-30	10/4/2013	1,980 00	2/21/2013	3 599 92	1 619 92	S
CALL WAL MART STORES INC 496197 DUE 01/18/14 77 500			-2	10/4/2013	132 00	6/13/2013	509 99	377 99	S
CALL 3M CO DUE 07/20/13 100 000	4577D4		-23	5/21/2013	28 057 57	12/31/2012	3,725 92	(24 331 65)	S
CANTEL MEDICAL CORP		138098108	0 5	2/19/2010	4 46	7/15/2013	12 73	8 25	L
CANTEL MEDICAL CORP		138098108	10 75	2/19/2010	96 38	10/9/2013	338 87	242 49	L
CANTEL MEDICAL CORP		138098108	59	2/22/2010	535 76	10/10/2013	1 876 68	1 340 92	L
CANTEL MEDICAL CORP		138098108	104 25	2/22/2010	946 66	10/11/2013	3,323 19	2 376 53	L
CANTEL MEDICAL CORP		138098108	75 25	2/22/2010	663 32	10/9/2013	2,372 05	1 688 73	L
CANTEL MEDICAL CORP		138098108	4 75	2/24/2010	43 32	10/11/2013	151 42	108 10	L
CATERPILLAR INC		149123101	1,310 00	4/5/2013	111,132 42	7/25/2013	107 934 98	(3 197 44)	S
CATERPILLAR INC		149123101	190	4/30/2013	15 979 84	7/25/2013	15 654 69	(325 15)	S
CATERPILLAR INC		149123101	100	5/1/2013	8,281 36	7/25/2013	8 239 31	(42 05)	S
CATERPILLAR INC		149123101	1,605 00	6/20/2013	134 002 82	7/25/2013	132 240 95	(1 761 87)	S
CHART INDUSTRIES INC		16115Q308	24	1/25/2013	1 583 97	8/26/2013	2 890 48	1,306 51	S
CHART INDUSTRIES INC		16115Q308	18	1/25/2013	1,187 98	10/9/2013	2,089 98	902 00	S

PART IV. CAPITAL GAINS & LOSSES

CAPITAL GAINS & LOSSES

NBF Realized Gain/(Loss)								
12/01/2012 to 11/30/2013								
DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Term
CHART INDUSTRIES INC	16115Q308	38	1/28/2013	2 556 31	10/9/2013	4 412 18	1 855 87	S
CISCO SYSTEMS INC	17275R102	3 000 00	8/16/2012	56 533 31	11/1/2013	67,655 18	11,121 87	L
CISCO SYSTEMS INC	17275R102	100	8/16/2012	1 884 44	11/4/2013	2 258 41	373 97	L
CISCO SYSTEMS INC	17275R102	700	8/20/2012	13 289 31	11/5/2013	16,050 95	2,761 64	L
CISCO SYSTEMS INC	17275R102	1,200 00	8/20/2012	22,781 68	11/4/2013	27 100 94	4 319 26	L
CISCO SYSTEMS INC	17275R102	2 000 00	8/22/2012	37 959 72	11/5/2013	45 859 86	7 900 14	L
CISCO SYSTEMS INC	17275R102	2,000 00	8/22/2012	37 959 72	11/14/2013	42 274 08	4,314 36	L
CISCO SYSTEMS INC	17275R102	1 000 00	10/9/2012	18,888 70	11/14/2013	21 137 04	2 248 34	L
CISCO SYSTEMS INC	17275R102	2,000 00	10/12/2012	36 697 35	11/14/2013	42 274 07	5 576 72	L
CISCO SYSTEMS INC	17275R102	1 000 00	5/1/2013	20,419 90	11/14/2013	21 137 04	717 14	S
CITY NATIONAL CORP	178566105	79	1/29/2013	4 177 50	11/7/2013	5 752 38	1 574 88	S
CITY NATIONAL CORP	178566105	48	1/30/2013	2,582 03	11/7/2013	3 495 10	913 07	S
CLARCOR INC	179895107	93	8/4/2009	3 188 51	4/23/2013	4 578 97	1 388 46	L
COLGATE PALMOLIVE CO	194162103	440	8/11/2011	36 849 99	1/18/2013	45 004 68	8 154 69	L
COLGATE PALMOLIVE CO	194162103	80	9/2/2011	5 357 40	1/18/2013	6,137 00	779 60	L
COLGATE PALMOLIVE CO	194162103	250	9/8/2011	21 909 25	1/18/2013	25 570 85	3 661 60	L
COLGATE PALMOLIVE CO	194162103	100	9/9/2011	8 983 54	1/18/2013	10 228 33	1 244 79	L
COLGATE PALMOLIVE CO	194162103	50	9/22/2011	4 349 75	1/18/2013	5 114 17	764 42	L
COLGATE PALMOLIVE CO	194162103	500	2/2/2012	45 439 15	1/18/2013	51 141 69	5,702 54	S
COLGATE PALMOLIVE CO	194162103	100	2/7/2012	9,149 99	1/18/2013	10,228 33	1,078 34	S
COLGATE PALMOLIVE CO	194162103	100	2/21/2012	9,348 00	1/18/2013	10 228 34	880 34	S
COMMVAULT SYSTEMS INC	204166102	101	10/22/2010	2 806 17	2/6/2013	7 583 17	4 777 00	L
COMMVAULT SYSTEMS INC	204166102	1	10/26/2010	29 69	2/6/2013	75 08	45 39	L
COMMVAULT SYSTEMS INC	204166102	64	10/26/2010	1 899 99	2/7/2013	4,744 35	2,844 36	L
COMMVAULT SYSTEMS INC	204166102	77	10/26/2010	2 285 93	2/15/2013	5 892 20	3 606 27	L
COMMVAULT SYSTEMS INC	204166102	15	8/24/2011	490 51	2/19/2013	1 142 55	652 04	L
COMMVAULT SYSTEMS INC	204166102	27	8/24/2011	882 93	2/15/2013	2 068 10	1 183 17	L
COMMVAULT SYSTEMS INC	204166102	11	6/1/2012	503 36	2/19/2013	837 87	334 51	S
COMMVAULT SYSTEMS INC	204166102	89	1/14/2013	6,143 57	2/19/2013	6 779 13	635 56	S
CORPORATE OFFICE PPTYS NEW SBI	22002T108	58	8/4/2009	1,901 04	12/26/2012	1 439 98	(461 06)	L
CORPORATE OFFICE PPTYS NEW SBI	22002T108	31	8/8/2009	1 062 29	12/26/2012	769 64	(322 65)	L
CORPORATE OFFICE PPTYS NEW SBI	22002T108	144	8/8/2009	5 073 88	12/27/2012	3,509 62	(1,564 26)	L
DEERE AND CO	244199105	170	7/28/2011	13,479 16	4/5/2013	14,504 81	1,025 65	L
DEERE AND CO	244199105	330	8/11/2011	22 922 79	4/5/2013	28 156 39	5 233 60	L
DEERE AND CO	244199105	75	9/2/2011	5 903 33	4/5/2013	6,399 18	495 85	L
DEERE AND CO	244199105	175	9/8/2011	13 263 08	4/5/2013	14 931 42	1,668 34	L
DEERE AND CO	244199105	150	9/9/2011	11 323 05	4/5/2013	12,798 36	1 475 31	L
DEERE AND CO	244199105	100	9/21/2011	7,490 54	4/5/2013	8 532 24	1,041 70	L
DEERE AND CO	244199105	125	9/22/2011	8 648 10	4/5/2013	10 665 30	2 017 20	L
DEERE AND CO	244199105	175	2/2/2012	14 931 42	4/5/2013	14,931 42		L
DEERE AND CO	244199105	100	2/2/2012	8 785 76	8/21/2013	8 305 99	(459 77)	L
DEERE AND CO	244199105	100	2/7/2012	8 731 50	8/21/2013	8,305 98	(425 52)	L
DEERE AND CO	244199105	300	2/21/2012	25 362 54	8/21/2013	24,917 96	(444 58)	L
DEERE AND CO	244199105	400	7/20/2012	30 370 60	8/21/2013	33 223 94	2,853 34	L
DEERE AND CO	244199105	200	10/9/2012	16,379 30	8/21/2013	16 611 97	232 67	S
DEERE AND CO	244199105	100	10/12/2012	8 272 52	8/21/2013	8 305 99	33 47	S
DEERE AND CO	244199105	100	10/15/2012	8,278 25	8/21/2013	8 305 99	27 74	S
DEERE AND CO	244199105	200	4/26/2013	17 604 64	8/21/2013	16,611 97	(992 67)	S
DEERE AND CO	244199105	1,315 00	6/12/2013	111,770 88	8/21/2013	109 223 71	(2 547 17)	S
DEERE AND CO	244199105	185	6/12/2013	15 724 42	8/22/2013	15,405 18	(319 24)	S
DEUTSCHE BANK AG 100% PPN USD V CRNCY BSKT 2/12/2013	25154K239	300 000 00	8/7/2009	3 290,699 81	2/12/2013	3 398,700 00	108,000 19	L
DIME CMNTY BANCSHARES	253922108	253	8/8/2009	3 175 84	3/12/2013	3 584 93	409 09	L

PART IV, CAPITAL GAINS & LOSSES

CAPITAL GAINS & LOSSES

NBF Realized Gain/(Loss)								
12/01/2012 to 11/30/2013								
DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Term
DSW INC CL A	23334L102	31	2/27/2013	2 079 38	9/12/2013	2,612 95	533 57	S
DSW INC CL A	23334L102	87	2/27/2013	4,494 15	9/18/2013	5 574 92	1 080 77	S
DSW INC CL A	23334L102	31	2/27/2013	2 079 38	9/11/2013	2 630 47	551 09	S
DUKE ENERGY CORP NEW	26441C204	125	7/30/2009	5 648 34	6/17/2013	8 529 45	2 881 11	L
DUKE ENERGY CORP NEW	26441C204	148 84	7/30/2009	6 725 44	6/18/2013	10,140 51	3,415 07	L
DUKE ENERGY CORP NEW	26441C204	186 16	8/4/2009	8,432 01	6/18/2013	12 683 88	4 251 87	L
EAST WEST BANCORP INC	27579R104	130	11/8/2010	2 436 54	3/15/2013	3,302 41	865 87	L
EAST WEST BANCORP INC	27579R104	145	11/9/2010	2,720 36	3/18/2013	3 647 13	926 77	L
EAST WEST BANCORP INC	27579R104	105	11/9/2010	1 969 92	3/19/2013	2,635 19	665 27	L
EAST WEST BANCORP INC	27579R104	85	11/9/2010	1,594 69	3/20/2013	2 147 66	552 97	L
EAST WEST BANCORP INC	27579R104	39	11/9/2010	731 68	3/15/2013	990 72	259 04	L
EAST WEST BANCORP INC	27579R104	85	11/30/2010	1,468 42	3/20/2013	2,147 66	679 24	L
EAST WEST BANCORP INC	27579R104	52	11/30/2010	898 32	4/9/2013	1 319 44	421 12	L
EAST WEST BANCORP INC	27579R104	112	11/30/2010	1 934 86	4/10/2013	2,850 68	915 82	L
EAST WEST BANCORP INC	27579R104	59	11/30/2010	1,019 25	4/11/2013	1,494 33	475 08	L
EAST WEST BANCORP INC	27579R104	112	11/30/2010	1 934 86	6/18/2013	2 968 02	1 033 16	L
EAST WEST BANCORP INC	27579R104	82	12/21/2010	1 568 11	6/18/2013	2 173 01	606 90	L
EAST WEST BANCORP INC	27579R104	47	12/21/2010	897 65	6/19/2013	1,240 14	342 49	L
EAST WEST BANCORP INC	27579R104	67	12/21/2010	1 279 62	7/29/2013	2,042 61	762 99	L
EAST WEST BANCORP INC	27579R104	38	6/1/2012	805 05	7/29/2013	1 158 49	353 44	L
EAST WEST BANCORP INC	27579R104	342	1/14/2013	7 730 93	7/29/2013	10 426 44	2 695 51	S
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	169,744 69	8/30/2011	952 267 69	1/10/2013	1 028,652 80	76 385 11	L
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	35 87	8/31/2011	202 30	1/10/2013	217 36	15 06	L
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	572 2	8/31/2011	3 227 20	1/10/2013	3 467 53	240 33	L
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	1 117 42	9/30/2011	6 089 96	1/10/2013	6 771 59	681 63	L
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	92 592 59	10/10/2011	500,005 25	1/10/2013	561 111 11	61 105 86	L
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	1,454 29	10/31/2011	8 318 54	1/10/2013	8 813 00	494 46	L
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	1 701 28	11/30/2011	9,493 16	1/10/2013	10,309 77	816 61	L
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	1 711 26	12/30/2011	9,685 76	1/10/2013	10 370 27	684 51	L
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	1 658 33	1/31/2012	9 568 56	1/10/2013	10 049 47	480 91	S
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	1 539 28	2/29/2012	9 004 79	1/10/2013	9,328 04	323 25	S
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	258,175 56	3/22/2012	1 500 005 25	1/10/2013	1,564,543 89	64 538 64	S
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	1,870 17	3/30/2012	10 865 69	1/10/2013	11 333 23	467 54	S
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	127 693 06	4/13/2012	739 225 77	1/10/2013	775,031 94	35 806 17	S
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	45,117 32	4/13/2012	260 779 48	1/17/2013	273 410 97	12 631 49	S
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	3 544 69	4/30/2012	20 701 01	1/17/2013	21 480 84	779 83	S
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	4,175 94	5/31/2012	24 011 63	1/17/2013	25,306 17	1 294 54	S
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	174 216 03	6/8/2012	1,000 005 25	1/17/2013	1 055 749 13	55 743 88	S
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	4 588 05	6/26/2012	26 610 70	1/17/2013	27 803 60	1 192 90	S
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	4 967 50	7/31/2012	29 109 53	1/17/2013	30 103 03	993 50	S
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	4 972 76	8/31/2012	29,239 86	1/17/2013	30 134 95	895 09	S
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	4,811 85	9/28/2012	26 438 05	1/17/2013	29,159 83	721 78	S
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	4 993 09	10/31/2012	29,559 07	1/17/2013	30 258 10	699 03	S
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	4 583 00	11/30/2012	27 268 65	1/17/2013	27,772 98	504 13	S
EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	4 718 39	12/31/2012	26,310 35	1/17/2013	26 593 46	283 11	S
EATON VANCE SHORT DURATION STRATEGIC INCOME FUND CLASS A	277911772	121 066 01	1/10/2013	997 563 93	4/25/2013	1,000,000 00	2,416 07	S
EATON VANCE SHORT DURATION STRATEGIC INCOME FUND CLASS A	277911772	105,364 66	1/10/2013	825,000 00	9/12/2013	825 000 00	-	S
EATON VANCE SHORT DURATION STRATEGIC INCOME FUND CLASS A	277911772	259 006 23	1/10/2013	2,133 492 47	10/28/2013	2,046 144 69	(87,347 58)	S
EATON VANCE SHORT DURATION STRATEGIC INCOME FUND CLASS A	277911772	57,450 13	1/17/2013	473 389 10	10/28/2013	453,655 11	(19 533 99)	S
EATON VANCE TAX MANAGED GLOBAL DIVIDEND INCOME FUND CLASS A	277923108	64,027 00	10/9/2012	632 587 29	9/12/2013	678 686 20	46 098 91	S
EATON VANCE TAX MANAGED GLOBAL DIVIDEND INCOME FUND CLASS A	277923108	77 630 19	10/9/2012	768 962 91	9/12/2013	825,000 00	56,037 09	S
EPOCH HLDG CORP **MERGER EFF 03/2013**	29428R103	42	10/9/2012	966 46	12/6/2012	1,164 76	198 30	S

PART IV, CAPITAL GAINS & LOSSES

CAPITAL GAINS & LOSSES

NBF Realized Gain/(Loss)								
12/01/2012 to 11/30/2013								
DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Term
EPOCH HLDG CORP **MERGER EFF 03/2013**	29428R103	10	10/10/2012	229 53	12/6/2012	277 32	47 79	S
EPOCH HLDG CORP **MERGER EFF 03/2013**	29428R103	9	10/11/2012	206 41	12/6/2012	249 59	43 18	S
EPOCH HLDG CORP **MERGER EFF 03/2013**	29428R103	6	10/12/2012	134 16	12/6/2012	166 39	32 23	S
EPOCH HLDG CORP **MERGER EFF 03/2013**	29428R103	10	10/15/2012	215 97	12/6/2012	277 33	61 36	S
EPOCH HLDG CORP **MERGER EFF 03/2013**	29428R103	6	10/16/2012	129 75	12/6/2012	166 39	36 64	S
EPOCH HLDG CORP **MERGER EFF 03/2013**	29428R103	44	10/17/2012	972 52	12/6/2012	1 220 22	247 70	S
EPOCH HLDG CORP **MERGER EFF 03/2013**	29428R103	10	10/19/2012	209 76	12/6/2012	277 32	67 56	S
EPOCH HLDG CORP **MERGER EFF 03/2013**	29428R103	13	10/22/2012	271 94	12/6/2012	360 52	88 58	S
EPOCH HLDG CORP **MERGER EFF 03/2013**	29428R103	18	10/23/2012	376 25	12/6/2012	499 18	122 93	S
EPOCH HLDG CORP **MERGER EFF 03/2013**	29428R103	20	10/25/2012	429 88	12/6/2012	554 65	124 77	S
EPOCH HLDG CORP **MERGER EFF 03/2013**	29428R103	4	10/26/2012	85 99	12/6/2012	110 93	24 94	S
EPOCH HLDG CORP **MERGER EFF 03/2013**	29428R103	6	10/31/2012	129 42	12/6/2012	166 39	36 97	S
EPOCH HLDG CORP **MERGER EFF 03/2013**	29428R103	32	11/6/2012	697 61	12/6/2012	867 44	169 83	S
EPOCH HLDG CORP **MERGER EFF 03/2013**	29428R103	15	11/14/2012	324 74	12/6/2012	415 98	91 24	S
EPOCH HLDG CORP **MERGER EFF 03/2013**	29428R103	9	11/15/2012	191 17	12/6/2012	249 59	58 42	S
EPOCH HLDG CORP **MERGER EFF 03/2013**	29428R103	13	11/16/2012	266 57	12/6/2012	360 52	93 95	S
EPOCH HLDG CORP **MERGER EFF 03/2013**	29428R103	5	11/20/2012	108 91	12/6/2012	138 66	29 75	S
EPOCH HLDG CORP **MERGER EFF 03/2013**	29428R103	7	11/21/2012	153 15	12/6/2012	194 13	40 98	S
EPOCH HLDG CORP **MERGER EFF 03/2013**	29428R103	10	11/26/2012	227 83	12/6/2012	277 32	49 49	S
EXELON CORP	30161N101	105	10/10/2011	4,273 97	7/9/2013	3 215 06	(1 058 91)	L
EXELON CORP	30161N101	647 85	10/10/2011	26,362 28	8/19/2013	19 306 57	(7 055 71)	L
EXELON CORP	30161N101	274 35	11/21/2011	11 553 11	8/19/2013	6,176 42	(3,374 69)	L
FINANCIAL ENGINES INC	317485100	28	5/16/2011	737 84	5/7/2013	1,052 85	315 01	L
FINANCIAL ENGINES INC	317485100	1	5/17/2011	26 35	5/7/2013	37 60	11 25	L
FINANCIAL ENGINES INC	317485100	169	5/17/2011	4 453 44	5/8/2013	6 584 17	2 130 73	L
FINANCIAL ENGINES INC	317485100	62	5/17/2011	1 633 80	5/9/2013	2 464 95	831 15	L
FINANCIAL ENGINES INC	317485100	27	5/17/2011	711 50	5/14/2013	1 149 53	438 03	L
FINANCIAL ENGINES INC	317485100	36	10/4/2011	588 16	5/14/2013	1,532 71	944 55	L
FINANCIAL ENGINES INC	317485100	56	10/4/2011	914 91	5/15/2013	2 365 09	1 450 18	L
FINANCIAL ENGINES INC	317485100	36	11/9/2011	776 44	5/15/2013	1 520 41	743 97	L
FINANCIAL ENGINES INC	317485100	31	11/9/2011	668 60	5/16/2013	1 298 51	629 91	L
FINANCIAL ENGINES INC	317485100	2	11/10/2011	43 33	5/16/2013	83 78	40 45	L
FINANCIAL ENGINES INC	317485100	31	11/10/2011	671 59	7/2/2013	1 454 10	782 51	L
FINANCIAL ENGINES INC	317485100	10	11/11/2011	224 07	7/2/2013	469 07	245 00	L
FINANCIAL ENGINES INC	317485100	67	12/13/2011	1 459 04	7/2/2013	3,142 74	1 683 70	L
FINANCIAL ENGINES INC	317485100	24	12/14/2011	504 45	7/2/2013	1 125 76	621 31	L
FINANCIAL ENGINES INC	317485100	35	12/14/2011	735 65	7/3/2013	1,638 59	902 94	L
FINANCIAL ENGINES INC	317485100	12	12/14/2011	252 22	10/8/2013	650 49	398 27	L
FINANCIAL ENGINES INC	317485100	41	12/14/2011	861 77	10/9/2013	2 145 66	1 283 89	L
FINANCIAL ENGINES INC	317485100	33	1/14/2013	958 94	10/9/2013	1,726 99	768 05	S
FINANCIAL ENGINES INC	317485100	85	1/14/2013	2,469 98	10/10/2013	4 496 65	2,026 67	S
FINANCIAL ENGINES INC	317485100	73	1/14/2013	2,121 28	10/11/2013	3,858 51	1 737 23	S
FINANCIAL ENGINES INC	317485100	17	1/14/2013	494 00	10/14/2013	697 41	403 41	S
FIRST EAGLE GOLD FUND CLASS A	32008F408	27,754 65	9/15/2011	1 000 005 25	2/25/2013	649,736 33	(350 268 82)	L
FIRST EAGLE GOLD FUND CLASS A	32008F408	358 54	12/14/2011	10,824 32	2/25/2013	8 393 42	(2 430 90)	L
FIRST EAGLE GOLD FUND CLASS A	32008F408	823 72	12/14/2011	24 868 17	2/25/2013	19,263 34	(5,584 83)	L
FIRST EAGLE GOLD FUND CLASS A	32008F408	36,363 64	1/23/2012	1 100 005 25	2/25/2013	851 272 72	(248 732 53)	L
FIRST EAGLE GOLD FUND CLASS A	32008F408	6,121 92	2/2/2012	196,943 61	2/25/2013	143,314 19	(53,629 42)	L
FIRST EAGLE GOLD FUND CLASS A	32008F408	17,191 72	2/2/2012	553 061 84	5/17/2013	298 448 33	(254 613 31)	L
FIRST EAGLE GOLD FUND CLASS A	32008F408	55 167 34	6/19/2012	1,500,005 25	5/17/2013	957 705 04	(542,300 21)	S
FIRST EAGLE GOLD FUND CLASS A	32008F408	424 74	12/13/2012	11 846 29	5/17/2013	7 373 43	(4,272 86)	S
FIRST EAGLE OVERSEAS FUND CLASS A	32008F101	75 655 16	1/26/2011	1 717,372 13	2/25/2013	1 675 000 00	(42,372 13)	L

PART IV, CAPITAL GAINS & LOSSES

CAPITAL GAINS & LOSSES

NBF Realized Gain/(Loss)								
12/01/2012 to 11/30/2013								
DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Term
FRESH MKT INC	35804H106	36	5/3/2011	1,465.92	4/30/2013	1,466.07	0.15	L
FRESH MKT INC	35804H106	37	5/10/2011	1,793.20	4/30/2013	1,506.79	(286.41)	L
FUEL SYSTEMS SOLUTIONS INC	35952W103	44	2/4/2011	1,184.82	12/4/2012	648.43	(536.39)	L
FUEL SYSTEMS SOLUTIONS INC	35952W103	7	2/4/2011	188.49	12/5/2012	101.39	(87.10)	L
FUEL SYSTEMS SOLUTIONS INC	35952W103	18	2/8/2011	510.10	12/5/2012	260.70	(249.40)	L
FUEL SYSTEMS SOLUTIONS INC	35952W103	20	2/8/2011	566.79	12/6/2012	284.43	(282.36)	L
FUEL SYSTEMS SOLUTIONS INC	35952W103	19	2/8/2011	536.44	12/7/2012	271.20	(265.24)	L
FUEL SYSTEMS SOLUTIONS INC	35952W103	15	2/9/2011	434.10	12/7/2012	214.11	(219.99)	L
FUEL SYSTEMS SOLUTIONS INC	35952W103	60	2/9/2011	1,736.39	12/10/2012	858.84	(877.55)	L
FUEL SYSTEMS SOLUTIONS INC	35952W103	11	2/9/2011	318.34	12/11/2012	158.48	(159.86)	L
FUEL SYSTEMS SOLUTIONS INC	35952W103	45	2/10/2011	1,303.03	12/11/2012	648.34	(654.69)	L
FUEL SYSTEMS SOLUTIONS INC	35952W103	61	2/10/2011	1,766.32	12/12/2012	877.15	(889.17)	L
FUEL SYSTEMS SOLUTIONS INC	35952W103	2	2/11/2011	57.57	12/12/2012	28.76	(28.81)	L
FUEL SYSTEMS SOLUTIONS INC	35952W103	13	4/27/2011	375.69	12/12/2012	186.93	(188.76)	L
FUEL SYSTEMS SOLUTIONS INC	35952W103	42	4/27/2011	1,213.78	12/13/2012	599.00	(614.78)	L
FUEL SYSTEMS SOLUTIONS INC	35952W103	62	4/27/2011	1,761.77	12/14/2012	885.67	(876.10)	L
FUEL SYSTEMS SOLUTIONS INC	35952W103	17	4/27/2011	491.29	12/18/2012	244.09	(247.20)	L
FUEL SYSTEMS SOLUTIONS INC	35952W103	59	4/28/2011	1,722.62	12/18/2012	847.12	(875.50)	L
FUEL SYSTEMS SOLUTIONS INC	35952W103	23	5/16/2011	558.49	12/18/2012	330.23	(228.26)	L
FUEL SYSTEMS SOLUTIONS INC	35952W103	60	5/16/2011	1,456.92	12/19/2012	858.41	(598.51)	L
FUEL SYSTEMS SOLUTIONS INC	35952W103	40	5/16/2011	971.28	12/20/2012	568.49	(402.79)	L
FUEL SYSTEMS SOLUTIONS INC	35952W103	26	5/16/2011	679.07	12/21/2012	365.09	(313.98)	L
GENESEE & WYO INC CL A	371559105	25	8/6/2009	675.23	1/15/2013	2,045.37	1,370.14	L
GENESEE & WYO INC CL A	371559105	61	8/6/2009	1,647.55	1/16/2013	4,955.25	3,307.70	L
GENESEE & WYO INC CL A	371559105	51	8/6/2009	1,377.46	1/25/2013	4,351.10	2,973.64	L
GENESEE & WYO INC CL A	371559105	46	8/6/2009	1,242.41	1/28/2013	3,903.69	2,661.28	L
GENESEE & WYO INC CL A	371559105	53	10/15/2009	1,724.86	1/28/2013	4,497.73	2,772.87	L
GENESEE & WYO INC CL A	371559105	79	10/15/2009	2,571.01	1/29/2013	6,720.57	4,149.56	L
GENESEE & WYO INC CL A	371559105	10	6/1/2012	487.70	1/29/2013	850.70	363.00	S
GENESEE & WYO INC CL A	371559105	50	1/14/2013	4,075.89	1/30/2013	4,207.78	131.89	S
GENESEE & WYO INC CL A	371559105	50	1/14/2013	4,075.89	1/29/2013	4,253.53	177.64	S
HAIN CELESTIAL GROUP INC	405217100	47	8/6/2009	803.44	7/30/2013	3,492.95	2,689.51	L
HAIN CELESTIAL GROUP INC	405217100	10	8/6/2009	170.95	7/31/2013	735.64	564.69	L
HAIN CELESTIAL GROUP INC	405217100	8	10/15/2009	153.17	8/1/2013	585.15	431.98	L
HAIN CELESTIAL GROUP INC	405217100	57	10/15/2009	1,091.37	7/31/2013	4,193.13	3,101.76	L
HAIN CELESTIAL GROUP INC	405217100	37	1/14/2013	1,936.56	8/1/2013	2,706.30	769.72	S
HEINZ H J CO **MERGER EFF 06/13**	423074103	667	11/17/2009	28,185.22	6/10/2013	48,357.50	20,172.28	L
HEINZ H J CO **MERGER EFF 06/13**	423074103	205	12/2/2009	8,903.52	6/10/2013	14,862.50	5,958.98	L
HEINZ H J CO **MERGER EFF 06/13**	423074103	200	9/21/2011	10,026.00	2/14/2013	14,505.71	4,479.71	L
HEINZ H J CO **MERGER EFF 06/13**	423074103	200	9/22/2011	9,842.80	2/14/2013	14,505.70	4,662.90	L
HEINZ H J CO **MERGER EFF 06/13**	423074103	1,400.00	2/2/2012	73,093.72	2/14/2013	101,539.95	28,446.23	L
HEINZ H J CO **MERGER EFF 06/13**	423074103	400	2/7/2012	20,800.00	2/14/2013	29,011.41	8,211.41	L
HEINZ H J CO **MERGER EFF 06/13**	423074103	500	2/21/2012	26,834.15	2/14/2013	36,264.27	9,430.12	S
HEINZ H J CO **MERGER EFF 06/13**	423074103	225	4/16/2012	11,882.05	6/10/2013	16,312.50	4,430.45	L
HEINZ H J CO **MERGER EFF 06/13**	423074103	300	7/20/2012	16,478.07	2/14/2013	21,758.55	5,280.48	S
HEINZ H J CO **MERGER EFF 06/13**	423074103	300	10/9/2012	17,038.95	2/14/2013	21,758.56	4,719.61	S
HEINZ H J CO **MERGER EFF 06/13**	423074103	500	10/12/2012	28,354.87	2/14/2013	36,264.27	7,909.40	S
HSBC USA INC TRIGGER YON JPM 08/22/2014 7 10%	40433M237	54,083.00	3/17/2012	1,999,989.34	6/4/2013	2,067,263.34	67,274.00	S
HUDSON CITY BANCORP INC	443683107	1,723.00	9/17/2010	20,897.23	6/14/2013	14,312.88	(6,584.35)	L
HUDSON CITY BANCORP INC	443683107	1,105.00	11/10/2010	12,068.39	6/14/2013	9,179.19	(2,889.20)	L
HUDSON CITY BANCORP INC	443683107	910	1/19/2011	11,094.08	6/14/2013	7,559.33	(3,534.75)	L
INDEPENDENT BANK CORP MASS	453836108	120	8/6/2009	2,650.56	3/12/2013	3,797.25	1,146.69	L

PART IV, CAPITAL GAINS & LOSSES

CAPITAL GAINS & LOSSES

NBF Realized Gain/(Loss)								
12/01/2012 to 11/30/2013								
DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Term
IPG PHOTONICS CORP	44980X109	53	6/20/2012	2 381 04	2/6/2013	3,574 51	1 193 47	S
IPG PHOTONICS CORP	44980X109	8	6/20/2012	359 40	2/12/2013	540 22	180 82	S
IPG PHOTONICS CORP	44980X109	30	6/21/2012	1 307 11	2/12/2013	2 025 83	718 72	S
IPG PHOTONICS CORP	44980X109	71	6/21/2012	3,093 49	2/13/2013	4 788 40	1 694 91	S
IPG PHOTONICS CORP	44980X109	13	6/21/2012	566 41	2/14/2013	882 63	316 22	S
IPG PHOTONICS CORP	44980X109	17	6/26/2012	714 02	2/14/2013	1 154 21	440 19	S
IPG PHOTONICS CORP	44980X109	33	6/27/2012	1 435 60	2/14/2013	2 240 52	804 92	S
IROBOT CORP	462726100	31	10/4/2011	770 16	5/22/2013	1 036 97	266 81	L
IROBOT CORP	462726100	36	10/4/2011	694 39	5/21/2013	1 209 86	315 47	L
IROBOT CORP	462726100	27	10/5/2011	748 75	5/22/2013	903 16	154 41	L
IROBOT CORP	462726100	96	10/5/2011	2 662 21	5/23/2013	3 127 19	464 98	L
IROBOT CORP	462726100	27	10/5/2011	746 75	5/24/2013	862 38	113 63	L
IROBOT CORP	462726100	31	10/5/2011	859 67	7/16/2013	1 176 28	316 61	L
IROBOT CORP	462726100	13	12/20/2011	400 32	7/16/2013	494 12	93 80	L
IROBOT CORP	462726100	29	12/21/2011	882 95	7/16/2013	1 102 26	219 31	L
IROBOT CORP	462726100	61	12/21/2011	1,857 24	7/16/2013	2 329 33	472 09	L
IROBOT CORP	462726100	61	8/9/2012	1 461 61	7/16/2013	2 329 33	867 72	S
IROBOT CORP	462726100	3	8/9/2012	71 66	8/19/2013	95 92	24 04	L
IROBOT CORP	462726100	41	8/10/2012	980 88	8/19/2013	1 310 86	329 98	L
IROBOT CORP	462726100	4	8/13/2012	95 62	8/19/2013	127 89	32 27	L
IROBOT CORP	462726100	29	8/13/2012	693 25	8/20/2013	919 26	226 01	L
IROBOT CORP	462726100	14	8/14/2012	342 92	8/20/2013	443 77	100 85	L
IROBOT CORP	462726100	22	10/3/2012	505 60	8/20/2013	697 37	191 77	S
ISHARES RUSSELL 1000 GROWTH ETF	464267614	2 818 00	1/10/2013	189 403 03	9/12/2013	219,727 36	30 324 33	S
ISHARES RUSSELL 1000 GROWTH ETF	464267614	3 182 00	1/11/2013	214,911 17	9/12/2013	248,109 45	33 198 28	S
ISHARES RUSSELL 1000 GROWTH ETF	464267614	5,000 00	1/14/2013	336,745 25	9/12/2013	389 864 01	53 116 76	S
ISHARES RUSSELL 1000 GROWTH ETF	464267614	3 900 00	1/15/2013	262 038 45	9/12/2013	304 093 93	42 055 48	S
JP MORGAN CHASE CAR AOS BAC 02/05/2014	48126E263	50 000 00	1/29/2013	500 000 00	4/30/2013	513,750 00	13 750 00	S
JP MORGAN CHASE CAR AOS CSX 04/12/2013	46637G405	100 000 00	4/5/2012	1 000,000 00	4/12/2013	1 108 000 00	108 000 00	L
JP MORGAN CHASE CAR AOS DOW 06/05/2013	46637G579	100 000 00	5/29/2012	1,000,000 00	6/5/2013	1 152 500 00	152 500 00	L
JP MORGAN CHASE TRIGGER YON GE 01/11/2013 7 57%	48126B665	26 809 00	1/6/2012	499 987 85	1/11/2013	499 987 85	-	L
JP MORGAN STRATEGIC INCOME OPPORTUNITIES FUND CLASS A	4812A4385	250 507 47	10/29/2010	2 953 485 62	1/10/2013	2 978,529 87	25,044 25	L
JP MORGAN STRATEGIC INCOME OPPORTUNITIES FUND CLASS A	4812A4385	1 477 61	12/1/2010	17 302 80	1/10/2013	17,568 75	265 95	L
JP MORGAN STRATEGIC INCOME OPPORTUNITIES FUND CLASS A	4812A4385	488 7	12/15/2010	5,752 02	1/10/2013	5 810 66	58 64	L
JP MORGAN STRATEGIC INCOME OPPORTUNITIES FUND CLASS A	4812A4385	1,384 24	1/3/2011	16 347 91	1/10/2013	16,458 63	110 72	L
JP MORGAN STRATEGIC INCOME OPPORTUNITIES FUND CLASS A	4812A4385	82 559 58	1/26/2011	984,111 46	1/10/2013	981,632 09	(2 479 37)	L
JP MORGAN STRATEGIC INCOME OPPORTUNITIES FUND CLASS A	4812A4385	134 454 22	1/26/2011	1 602,696 44	1/17/2013	1 600 000 00	(2 696 44)	L
JPMORGAN CHASE & CO	46625H100	1 200 00	8/2/2012	42,599 73	6/21/2013	58,863 45	16 263 72	S
J2 GLOBAL INC COM	48123V102	46	8/4/2009	1 093 12	12/16/2012	1 416 73	323 61	L
J2 GLOBAL INC COM	48123V102	22	8/6/2009	541 09	12/16/2012	677 57	136 48	L
J2 GLOBAL INC COM	48123V102	10	8/6/2009	245 95	12/16/2012	307 86	61 91	L
J2 GLOBAL INC COM	48123V102	76	8/6/2009	1 869 22	2/6/2013	2,377 82	508 60	L
J2 GLOBAL INC COM	48123V102	30	8/6/2009	737 85	2/7/2013	935 59	197 74	L
J2 GLOBAL INC COM	48123V102	34	8/6/2009	836 23	2/8/2013	1,064 12	227 89	L
J2 GLOBAL INC COM	48123V102	80	8/6/2009	1 967 60	3/19/2013	2 926 15	958 55	L
J2 GLOBAL INC COM	48123V102	136	8/6/2009	3,344 92	3/20/2013	4 969 22	1,624 30	L
J2 GLOBAL INC COM	48123V102	171	10/15/2009	3 712 99	3/20/2013	6 248 06	2 535 07	L
J2 GLOBAL INC COM	48123V102	157	1/14/2013	5,046 69	3/20/2013	5 736 53	689 84	S
KELLOGG CO	487836108	599	1/4/2013	33 843 34	6/5/2013	37 451 00	3 607 66	S
KELLOGG CO	487836108	661	1/7/2013	36,455 53	6/5/2013	42,577 84	6 122 31	S
KELLOGG CO	487836108	735	1/7/2013	41,504 87	6/6/2013	45,256 76	3 751 89	S
KELLOGG CO	487836108	2,185 00	1/7/2013	123 365 23	6/7/2013	136 980 06	13,594 83	S

PART IV, CAPITAL GAINS & LOSSES

CAPITAL GAINS & LOSSES

NBF Realized Gain/(Loss)								
12/01/2012 to 11/30/2013								
DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Term
KIMBERLY CLARK CORP	494368103	420	7/28/2011	27 606 60	12/4/2012	35 302 56	7 695 96	L
KIMBERLY CLARK CORP	494368103	330	8/11/2011	20 753 70	12/4/2012	27,737 72	6 984 02	L
KIMBERLY CLARK CORP	494368103	250	8/31/2011	17 244 35	12/4/2012	21 013 43	3 769 08	L
KIMBERLY CLARK CORP	494368103	150	9/2/2011	10 250 10	12/4/2012	12,608 06	2 357 96	L
KIMBERLY CLARK CORP	494368103	600	9/8/2011	40 287 90	12/4/2012	50 432 23	10 144 33	L
KIMBERLY CLARK CORP	494368103	250	9/9/2011	16 911 55	12/4/2012	21,013 42	4 101 87	L
KIMBERLY CLARK CORP	494368103	350	9/22/2011	23 792 72	12/4/2012	29,418 80	5 626 08	L
KIMBERLY CLARK CORP	494368103	1,150 00	2/2/2012	82 772 98	12/4/2012	96 661 77	13 888 79	S
KIMBERLY CLARK CORP	494368103	100	2/7/2012	7 190 66	12/4/2012	8 405 37	1 214 71	S
KIMBERLY CLARK CORP	494368103	500	2/21/2012	35 759 18	12/4/2012	42,026 88	6 267 68	S
KIMBERLY CLARK CORP	494368103	200	7/20/2012	16 973 30	12/5/2012	17 006 00	32 70	S
KIMBERLY CLARK CORP	494368103	400	10/9/2012	34 539 00	12/5/2012	34,011 99	(527 01)	S
KIMBERLY CLARK CORP	494368103	224	10/12/2012	19 231 39	12/5/2012	19 046 71	(184 68)	S
KIMBERLY CLARK CORP	494368103	76	10/12/2012	6 524 93	12/7/2012	6 517 17	(7 76)	S
KIMBERLY CLARK CORP	494368103	100	10/15/2012	8 619 36	12/7/2012	8 575 23	(44 13)	S
KINDER MORGAN INC	49456B101	835	8/22/2013	30 882 06	11/6/2013	29 280 85	(1 601 21)	S
KINDER MORGAN INC	49456B101	3 065 00	8/23/2013	113 384 25	11/6/2013	107 480 02	(5 904 23)	S
KRATON PERFORMANCE POLYMERS INC	50077C106	98	8/23/2011	2 144 19	6/10/2013	1,971 76	(172 43)	L
KRATON PERFORMANCE POLYMERS INC	50077C106	36	8/23/2011	787 66	6/11/2013	714 80	(72 86)	L
KRATON PERFORMANCE POLYMERS INC	50077C106	42	8/24/2011	957 44	6/11/2013	833 93	(123 51)	L
KRATON PERFORMANCE POLYMERS INC	50077C106	6	8/24/2011	136 78	6/12/2013	118 36	(18 42)	L
KRATON PERFORMANCE POLYMERS INC	50077C106	52	8/24/2011	1,185 41	6/13/2013	1 008 21	(177 20)	L
KRATON PERFORMANCE POLYMERS INC	50077C106	31	8/25/2011	706 55	6/13/2013	601 05	(105 50)	L
KRATON PERFORMANCE POLYMERS INC	50077C106	5	8/25/2011	113 96	6/14/2013	96 59	(17 37)	L
KRATON PERFORMANCE POLYMERS INC	50077C106	23	8/25/2011	524 22	6/17/2013	440 08	(84 14)	L
KRATON PERFORMANCE POLYMERS INC	50077C106	16	1/14/2013	399 93	6/17/2013	306 15	(93 78)	S
KRATON PERFORMANCE POLYMERS INC	50077C106	72	1/14/2013	1,799 70	6/18/2013	1 384 09	(415 61)	S
KRATON PERFORMANCE POLYMERS INC	50077C106	4	1/14/2013	99 98	6/19/2013	78 51	(21 47)	S
LANDAUER INC	51476K103	12	8/6/2009	713 64	6/5/2013	619 19	(94 45)	L
LANDAUER INC	51476K103	12	8/6/2009	713 64	6/6/2013	611 83	(101 81)	L
LANDAUER INC	51476K103	2	8/6/2009	118 94	6/11/2013	102 14	(16 80)	L
LANDAUER INC	51476K103	3	8/6/2009	178 41	6/14/2013	152 36	(26 05)	L
LANDAUER INC	51476K103	5	8/6/2009	297 35	6/20/2013	246 71	(47 64)	L
LANDAUER INC	51476K103	4	8/6/2009	237 88	6/21/2013	196 24	(41 64)	L
LANDAUER INC	51476K103	14	8/6/2009	832 58	6/24/2013	685 82	(146 76)	L
LANDAUER INC	51476K103	1	8/6/2009	59 47	6/26/2013	49 00	(10 47)	L
LANDAUER INC	51476K103	26	10/15/2009	1,442 61	6/26/2013	1 273 98	(168 63)	L
LANDAUER INC	51476K103	7	10/15/2009	388 40	6/27/2013	342 97	(45 43)	L
LANDAUER INC	51476K103	3	10/15/2009	166 45	7/5/2013	147 26	(19 19)	L
LANDAUER INC	51476K103	3	10/15/2009	166 46	7/8/2013	147 03	(19 43)	L
LANDAUER INC	51476K103	9	10/15/2009	499 36	7/9/2013	440 55	(58 81)	L
LANDAUER INC	51476K103	7	10/15/2009	388 40	7/10/2013	343 02	(45 38)	L
LANDAUER INC	51476K103	6	10/15/2009	332 91	7/11/2013	294 07	(38 84)	L
LANDAUER INC	51476K103	15	10/15/2009	832 27	7/15/2013	733 50	(98 77)	L
LANDAUER INC	51476K103	4	10/15/2009	221 94	7/22/2013	191 79	(30 15)	L
LANDAUER INC	51476K103	4	1/14/2013	244 68	7/23/2013	193 15	(51 53)	S
LANDAUER INC	51476K103	3	1/14/2013	183 51	7/22/2013	143 84	(39 67)	S
LANDAUER INC	51476K103	13	1/14/2013	795 21	7/25/2013	621 08	(174 13)	S
LANDAUER INC	51476K103	5	1/14/2013	305 85	7/26/2013	239 05	(66 80)	S
LANDAUER INC	51476K103	15	1/14/2013	917 55	7/29/2013	717 96	(199 59)	S
LEIDOS HLDGS INC	525327102	0 75	1/29/2013	25 38	10/3/2013	34 58	9 20	S
LIFEWAY FOODS INS	531914106	12	8/6/2009	149 53	12/12/2012	98 94	(50 59)	L

PART IV, CAPITAL GAINS & LOSSES

CAPITAL GAINS & LOSSES

NBF Realized Gain/(Loss)								
12/01/2012 to 11/30/2013								
DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Term
LIFEWAY FOODS INS	531914109	70	8/8/2009	872.21	12/13/2012	577.89	(294.32)	L
LIFEWAY FOODS INS	531914109	20	8/8/2009	249.21	12/14/2012	165.06	(84.15)	L
LIFEWAY FOODS INS	531914109	37	10/15/2009	442.04	12/14/2012	305.36	(136.68)	L
LIFEWAY FOODS INS	531914109	6	10/15/2009	71.68	12/18/2012	51.59	(20.09)	L
LIFEWAY FOODS INS	531914109	8	10/15/2009	95.57	12/19/2012	68.10	(27.47)	L
LIFEWAY FOODS INS	531914109	15	10/15/2009	179.21	12/20/2012	127.81	(51.40)	L
LIFEWAY FOODS INS	531914109	13	10/15/2009	155.31	1/2/2013	113.74	(41.57)	L
LIFEWAY FOODS INS	531914109	9	10/15/2009	107.52	1/3/2013	78.74	(28.78)	L
LIFEWAY FOODS INS	531914109	51	10/15/2009	609.29	1/14/2013	429.41	(179.88)	L
LINDSAY CORP	535555106	50	8/4/2009	1,883.82	4/2/2013	4,111.70	2,227.88	L
LINDSAY CORP	535555106	14	8/4/2009	527.47	4/3/2013	1,163.04	635.57	L
LOOMIS SAYLES STRATEGIC INCOME FUND CLASS A	543487284	61,958.19	1/25/2012	918,840.98	4/25/2013	1,000,000.00	81,159.02	L
LUFKIN INDUSTRIES INC	549764108	45	3/3/2011	3,726.33	4/8/2013	3,959.17	232.84	L
LUFKIN INDUSTRIES INC	549764108	128	3/4/2011	10,807.16	4/8/2013	11,261.63	454.47	L
LUFKIN INDUSTRIES INC	549764108	50	3/23/2011	4,382.07	4/8/2013	4,399.08	17.01	L
LUFKIN INDUSTRIES INC	549764108	15	6/27/2011	1,204.38	4/8/2013	1,319.72	115.34	L
LUFKIN INDUSTRIES INC	549764108	1	6/27/2011	80.29	5/14/2013	68.35	8.06	L
LUFKIN INDUSTRIES INC	549764108	14	6/28/2011	1,164.51	5/14/2013	1,238.88	72.37	L
LUFKIN INDUSTRIES INC	549764108	21	6/29/2011	1,784.47	5/14/2013	1,855.32	70.85	L
LUFKIN INDUSTRIES INC	549764108	6	6/30/2011	516.19	5/14/2013	530.10	13.91	L
LUFKIN INDUSTRIES INC	549764108	2	7/1/2011	174.15	5/14/2013	178.69	2.54	L
LUFKIN INDUSTRIES INC	549764108	34	3/27/2012	2,653.76	5/14/2013	3,003.86	350.10	L
LUFKIN INDUSTRIES INC	549764108	49	3/28/2012	3,806.21	5/14/2013	4,329.09	522.88	L
LUFKIN INDUSTRIES INC	549764108	37	3/28/2012	2,874.07	5/17/2013	3,266.78	392.71	L
LUFKIN INDUSTRIES INC	549764108	12	3/29/2012	933.24	5/17/2013	1,059.50	126.26	L
LUFKIN INDUSTRIES INC	549764108	17	8/19/2012	876.02	5/17/2013	1,500.95	624.93	S
LUFKIN INDUSTRIES INC	549764108	83	8/19/2012	4,277.05	5/20/2013	7,329.01	3,051.96	S
LUFKIN INDUSTRIES INC	549764108	81	8/19/2012	4,173.99	5/21/2013	7,145.09	2,971.10	S
LUFKIN INDUSTRIES INC	549764108	54	1/14/2013	3,065.88	5/21/2013	4,763.40	1,697.52	S
LUFKIN INDUSTRIES INC	549764108	23	1/14/2013	1,305.84	5/22/2013	2,029.28	723.44	S
LUFKIN INDUSTRIES INC	549764108	98	1/14/2013	5,564.01	5/23/2013	8,646.43	3,082.42	S
MARKETAXESS HOLDINGS INC	57060D108	39	8/22/2011	898.57	9/25/2013	2,370.70	1,472.13	L
MARKETAXESS HOLDINGS INC	57060D108	9	8/22/2011	207.36	9/26/2013	544.98	337.62	L
MARKETAXESS HOLDINGS INC	57060D108	14	8/23/2011	320.21	9/26/2013	847.74	527.53	L
MENS WEARHOUSE INC	587118100	149	3/28/2011	3,952.91	10/9/2013	6,721.41	2,768.50	L
MENS WEARHOUSE INC	587118100	140	3/29/2011	3,738.78	10/9/2013	6,315.41	2,576.63	L
MENS WEARHOUSE INC	587118100	56	12/13/2011	1,773.82	10/9/2013	2,526.17	752.35	L
MENS WEARHOUSE INC	587118100	107	12/13/2011	3,389.27	11/26/2013	5,453.81	2,064.54	L
MENS WEARHOUSE INC	587118100	9	6/1/2012	311.29	11/26/2013	456.73	147.44	L
MENS WEARHOUSE INC	587118100	128	11/8/2012	4,154.26	11/26/2013	6,422.25	2,267.99	L
MENS WEARHOUSE INC	587118100	176	1/14/2013	5,485.67	11/26/2013	8,970.76	3,485.09	S
MERIDIAN BIOSCIENCE INC	589584101	33	8/4/2009	748.31	12/11/2012	675.21	(73.10)	L
MERIDIAN BIOSCIENCE INC	589584101	20	8/4/2009	453.52	12/12/2012	404.52	(49.00)	L
MERIDIAN BIOSCIENCE INC	589584101	17	8/4/2009	385.49	12/13/2012	338.74	(46.75)	L
MERIDIAN BIOSCIENCE INC	589584101	13	8/4/2009	294.79	12/14/2012	257.03	(37.76)	L
MERIDIAN BIOSCIENCE INC	589584101	53	8/4/2009	1,201.83	12/17/2012	1,076.46	(125.37)	L
MERIDIAN BIOSCIENCE INC	589584101	100	8/4/2009	2,267.60	12/18/2012	2,036.62	(230.98)	L
MERIDIAN BIOSCIENCE INC	589584101	110	8/4/2009	2,494.36	12/19/2012	2,232.19	(262.17)	L
MERIDIAN BIOSCIENCE INC	589584101	37	8/6/2009	815.35	12/19/2012	750.83	(64.52)	L
MERIDIAN BIOSCIENCE INC	589584101	48	8/6/2009	1,013.68	12/20/2012	938.56	(75.12)	L
MICROSOFT CORP	594918104	874	5/11/2012	26,867.43	7/19/2013	27,416.90	549.47	L
MICROSOFT CORP	594918104	2,526.00	5/11/2012	78,270.34	7/19/2013	79,239.24	968.90	L

PART IV, CAPITAL GAINS & LOSSES

CAPITAL GAINS & LOSSES

NBF Realized Gain/(Loss)								
12/01/2012 to 11/30/2013								
DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Term
MICROSOFT CORP	504918104	970	5/11/2012	30,056.31	7/22/2013	30,898.41	842.10	L
MICROSOFT CORP	504918104	630	7/20/2012	19,067.48	7/22/2013	20,068.04	1,000.56	L
MICROSOFT CORP	504918104	700	9/27/2012	21,132.97	7/22/2013	22,267.83	1,164.86	S
MICROSOFT CORP	504918104	600	10/9/2012	17,619.96	7/22/2013	19,112.42	1,492.46	S
MICROSOFT CORP	504918104	1,200.00	10/12/2012	34,857.60	7/22/2013	38,224.84	3,367.24	S
MICROSOFT CORP	504918104	700	4/26/2013	22,089.76	7/22/2013	22,297.82	208.06	S
MICROSTRATEGY INC NEW CL A	504972408	12	11/9/2011	1,415.14	6/17/2013	1,080.89	(334.25)	L
MICROSTRATEGY INC NEW CL A	504972408	15	11/9/2011	1,768.92	6/18/2013	1,345.78	(423.14)	L
MICROSTRATEGY INC NEW CL A	504972408	18	11/9/2011	2,122.71	6/19/2013	1,593.29	(529.42)	L
MICROSTRATEGY INC NEW CL A	504972408	18	11/9/2011	1,886.85	6/21/2013	1,359.55	(527.30)	L
MICROSTRATEGY INC NEW CL A	504972408	3	11/10/2011	353.47	6/21/2013	254.92	(98.55)	L
MICROSTRATEGY INC NEW CL A	504972408	1	6/1/2012	119.89	6/21/2013	84.97	(34.92)	L
MICROSTRATEGY INC NEW CL A	504972408	2	6/1/2012	239.78	6/24/2013	169.48	(70.30)	L
MICROSTRATEGY INC NEW CL A	504972408	27	9/5/2012	3,395.55	6/24/2013	2,288.04	(1,107.51)	S
MICROSTRATEGY INC NEW CL A	504972408	15	10/3/2012	1,960.28	6/24/2013	1,271.13	(689.15)	S
MICROSTRATEGY INC NEW CL A	504972408	9	10/3/2012	1,176.16	6/25/2013	760.42	(415.74)	S
MICROSTRATEGY INC NEW CL A	504972408	6	10/3/2012	784.11	6/26/2013	506.83	(277.28)	S
MICROSTRATEGY INC NEW CL A	504972408	22	1/14/2013	2,079.00	6/27/2013	1,867.78	(211.22)	S
MICROSTRATEGY INC NEW CL A	504972408	15	1/14/2013	1,417.50	6/28/2013	1,267.08	(150.42)	S
MIDDLEBY CORP DELA	506278101	5	8/4/2009	267.73	1/8/2013	659.40	391.67	L
MIDDLEBY CORP DELA	506278101	1	8/6/2009	53.68	1/8/2013	131.88	78.20	L
MIDDLEBY CORP DELA	506278101	20	8/6/2009	1,073.60	1/8/2013	2,625.74	1,552.14	L
MIDDLEBY CORP DELA	506278101	6	8/6/2009	322.08	1/9/2013	791.77	469.69	L
MIDDLEBY CORP DELA	506278101	18	8/6/2009	966.24	8/6/2013	3,338.34	2,372.10	L
MIDDLEBY CORP DELA	506278101	10	8/6/2009	536.80	8/7/2013	1,778.67	1,241.87	L
MIDDLEBY CORP DELA	506278101	14	8/6/2009	751.52	8/8/2013	2,493.07	1,741.55	L
MIDDLEBY CORP DELA	506278101	1	10/15/2009	52.57	8/8/2013	178.08	125.51	L
MIDDLEBY CORP DELA	506278101	9	10/15/2009	473.13	8/13/2013	1,825.49	1,352.36	L
MIDDLEBY CORP DELA	506278101	19	10/15/2009	998.84	8/14/2013	3,835.21	2,836.37	L
MIDDLEBY CORP DELA	506278101	1	10/15/2009	52.57	8/15/2013	193.27	140.70	L
MIDDLEBY CORP DELA	506278101	25	5/11/2010	1,513.25	8/15/2013	4,831.83	3,318.58	L
MIDDLEBY CORP DELA	506278101	1	5/11/2010	60.53	8/16/2013	190.03	129.50	L
MIDDLEBY CORP DELA	506278101	32	5/12/2010	2,015.09	8/16/2013	6,081.02	4,065.93	L
MIDDLEBY CORP DELA	506278101	17	5/12/2010	1,070.51	9/11/2013	3,580.79	2,510.28	L
MIDDLEBY CORP DELA	506278101	41	5/13/2010	2,438.35	9/11/2013	8,636.02	6,197.67	L
MIDDLEBY CORP DELA	506278101	2	6/1/2012	196.06	9/11/2013	421.27	225.21	L
MIDDLEBY CORP DELA	506278101	4	6/1/2012	392.12	9/20/2013	850.88	458.76	L
MIDDLEBY CORP DELA	506278101	11	1/14/2013	1,448.51	9/20/2013	2,339.91	891.40	S
MIDDLEBY CORP DELA	506278101	46	1/14/2013	6,057.42	9/23/2013	9,646.91	3,589.49	S
NATIXIS ASG MANAGED FUTURES STRATEGY FUND CLASS A	638727745	103,950.10	5/9/2012	1,000,005.25	1/10/2013	940,748.45	(59,256.80)	S
NATIXIS ASG MANAGED FUTURES STRATEGY FUND CLASS A	638727745	300.12	12/24/2012	2,713.10	1/10/2013	2,716.10	3.00	S
NEOGEN CORP	640491106	2	12/27/2010	83.93	1/8/2013	93.69	9.76	L
NEOGEN CORP	640491106	22	12/28/2010	915.28	1/8/2013	1,030.64	115.36	L
NEOGEN CORP	640491106	1	12/29/2010	41.81	1/8/2013	46.85	5.04	L
NEOGEN CORP	640491106	37	12/29/2010	1,547.00	1/9/2013	1,740.94	193.94	L
NEOGEN CORP	640491106	12	12/29/2010	501.73	1/10/2013	562.28	60.55	L
NEOGEN CORP	640491106	8	12/30/2010	335.17	1/10/2013	374.65	39.48	L
NEOGEN CORP	640491106	1	12/30/2010	41.90	1/11/2013	47.21	5.31	L
NEOGEN CORP	640491106	5.5	12/30/2010	153.62	11/14/2013	256.95	103.33	L
NEOGEN CORP	640491106	14	12/30/2010	391.03	11/13/2013	654.02	262.99	L
NEOGEN CORP	640491106	15	12/30/2010	418.96	11/12/2013	702.34	283.38	L
NEOGEN CORP	640491106	2.5	12/31/2010	69.78	11/14/2013	118.79	47.01	L

PART IV. CAPITAL GAINS & LOSSES

CAPITAL GAINS & LOSSES

NBF Realized Gain/(Loss)								
12/01/2012 to 11/30/2013								
DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Term
NEOGEN CORP	840491108	25	12/31/2010	697 76	11/15/2013	1 170 46	472 70	L
NEXEN INC CAD	65334H102	940	8/17/2011	19 446 63	3/1/2013	25,850 00	6,403 37	L
NEXEN INC CAD	65334H102	90	8/18/2011	1 802 70	3/1/2013	2 475 00	672 30	L
NEXEN INC CAD	65334H102	315	11/17/2011	5,065 01	3/1/2013	8,662 50	3 597 49	L
NEXEN INC CAD	65334H102	395	2/17/2012	7,990 42	3/1/2013	10 662 50	2,672 08	L
OMNICOM GROUP INC	681919106	445	4/27/2010	18 713 76	7/29/2013	29 130 35	10 416 59	L
OPPENHEIMER DEVELOPING MARKETS FUND CL A	683974109	14,088 48	12/8/2010	500,005 25	3/20/2013	494,925 57	(5,079 68)	L
OPPENHEIMER DEVELOPING MARKETS FUND CL A	683974109	14 156 28	12/14/2010	500,005 25	3/20/2013	497 307 68	(2 697 57)	L
OPPENHEIMER DEVELOPING MARKETS FUND CL A	683974109	38 98	12/22/2010	1 380 32	3/20/2013	1,369 40	(10 92)	L
OPPENHEIMER DEVELOPING MARKETS FUND CL A	683974109	182 11	1/26/2011	6,444 77	3/20/2013	6 397 35	(47 42)	L
OPPENHEIMER DEVELOPING MARKETS FUND CL A	683974109	28 074 46	1/26/2011	993 560 48	4/25/2013	997 199 72	3 639 24	L
OPPENHEIMER DEVELOPING MARKETS FUND CL A	683974109	78 84	10/27/2011	2 603 21	4/25/2013	2 800 28	197 07	L
OPPENHEIMER DEVELOPING MARKETS FUND CL A	683974109	39 291 24	10/27/2011	1,297 402 04	9/12/2013	1 426 662 50	129 260 46	L
OPPENHEIMER DEVELOPING MARKETS FUND CL A	683974109	1 798 00	12/12/2011	53 706 13	9/12/2013	65 285 23	11,489 10	L
OPPENHEIMER DEVELOPING MARKETS FUND CL A	683974109	41 532 77	1/23/2012	1 304 546 62	9/12/2013	1 508 052 27	203 505 65	L
PIMCO ALL ASSETS ALL AUTH-A	72200Q232	274 977 57	3/10/2011	2 939,510 18	5/24/2013	3 000 000 00	60 489 82	L
PIMCO ALL ASSETS ALL AUTH-A	72200Q232	43 078 69	3/10/2011	460,489 82	8/5/2013	441 965 68	(18 524 14)	L
PIMCO ALL ASSETS ALL AUTH-A	72200Q232	1 759 04	3/17/2011	18 663 43	8/5/2013	18 047 71	(615 72)	L
PIMCO ALL ASSETS ALL AUTH-A	72200Q232	3,104 38	6/16/2011	33 465 26	8/5/2013	31 850 90	(1 614 36)	L
PIMCO ALL ASSETS ALL AUTH-A	72200Q232	146 992 17	7/19/2011	1 600 744 74	8/5/2013	1,508,135 71	(92 609 03)	L
PIMCO ALL ASSETS ALL AUTH-A	72200Q232	177 589 32	7/19/2011	1,933 947 65	9/12/2013	1 806,081 90	(127 865 75)	L
PIMCO ALL ASSETS ALL AUTH-A	72200Q232	282 728 33	8/1/2011	3,121,320 76	9/12/2013	2,875 344 82	(245 975 94)	L
PIMCO ALL ASSETS ALL AUTH-A	72200Q232	46,685 34	9/12/2011	500 005 25	9/12/2013	474 789 54	(25 215 71)	L
PIMCO ALL ASSETS ALL AUTH-A	72200Q232	11,194 71	9/15/2011	116 216 11	9/12/2013	113,850 08	(4,366 03)	L
PIMCO ALL ASSETS ALL AUTH-A	72200Q232	58 176 74	12/28/2011	577 143 04	9/12/2013	591,687 50	14 544 46	L
PIMCO ALL ASSETS ALL AUTH-A	72200Q232	6 733 32	3/22/2012	91,874 49	9/12/2013	88 817 76	(3 056 73)	L
PIMCO ALL ASSETS ALL AUTH-A	72200Q232	4 785 02	6/21/2012	49 237 81	9/12/2013	48 663 56	(574 23)	L
PIMCO ALL ASSETS ALL AUTH-A	72200Q232	7 361 26	9/20/2012	81 709 95	9/12/2013	74 663 92	(6,846 03)	S
PIMCO ALL ASSETS ALL AUTH-A	72200Q232	30 632 67	12/27/2012	341 247 95	9/12/2013	311 534 02	(29 713 93)	S
PIMCO ALL ASSETS ALL AUTH-A	72200Q232	6 068 14	12/31/2012	67 174 35	9/12/2013	61 712 97	(5 461 38)	S
PIMCO ALL ASSETS ALL AUTH-A	72200Q232	6,256 60	3/21/2013	68 384 61	9/12/2013	63 629 54	(4,755 07)	S
PIMCO ALL ASSETS ALL AUTH-A	72200Q232	5,872 15	6/20/2013	60 072 10	9/12/2013	59 719 73	(352 37)	S
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	81 997 21	10/14/2009	647 781 39	4/2/2013	525 602 14	(122 179 25)	L
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	2 406 70	12/9/2009	19,133 25	4/2/2013	15 426 93	(3 706 32)	L
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	4 553 07	12/30/2009	37 380 67	4/2/2013	29 185 15	(8 195 52)	L
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	4 806 58	3/18/2010	37 610 95	4/2/2013	30 829 44	(6 781 51)	L
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	5 414 64	6/17/2010	40,176 66	4/2/2013	34 707 87	(5 468 79)	L
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	5,914 49	9/16/2010	46 369 63	4/2/2013	37 911 90	(8 457 73)	L
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	4 447 60	12/31/2010	40,740 00	4/2/2013	28 509 10	(12 230 90)	L
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	5,902 29	3/17/2011	54 301 03	4/2/2013	37 833 66	(16,467 37)	L
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	12 050 68	6/16/2011	105,081 89	4/2/2013	77,244 83	(27 837 06)	L
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	11 919 78	9/15/2011	99 053 40	4/2/2013	76 405 80	(22,647 60)	L
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	1 185 88	12/7/2011	8 685 80	4/2/2013	7,473 29	(1 212 51)	L
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	4,899 92	12/7/2011	36 504 42	4/2/2013	31,408 50	(5 095 92)	L
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	26 125 02	12/28/2011	167 461 39	4/2/2013	167 461 39	-	L
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	7,060 83	12/28/2011	45 259 94	9/12/2013	39 623 10	(5 436 84)	L
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	1 441 29	3/22/2012	9 483 66	9/12/2013	8 128 87	(1,354 81)	L
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	1 017 09	6/21/2012	6,051 66	9/12/2013	5,736 36	(315 30)	L
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	69 252 08	9/14/2012	500,000 00	9/12/2013	390 581 72	(106 418 28)	S
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	69 252 08	9/14/2012	500 005 25	9/12/2013	390 581 72	(106 423 53)	S
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	1,900 76	9/20/2012	13,096 21	9/12/2013	10 720 27	(2 375 94)	S
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	2,389 35	12/12/2012	15 865 30	9/12/2013	13 475 94	(2,389 36)	S

PART IV, CAPITAL GAINS & LOSSES

CAPITAL GAINS & LOSSES

NBF Realized Gain/(Loss)								
12/01/2012 to 11/30/2013								
DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Term
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	969 97	12/12/2012	8 440 59	9/12/2013	5 470 82	(969 97)	S
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	0 5	12/27/2012	3 25	9/12/2013	2 81	(0 44)	S
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	233 281 49	3/8/2013	1 500 005 25	9/12/2013	1 315 707 62	(184 297 63)	S
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	284 88	3/21/2013	1,847 55	9/12/2013	1,805 57	(241 98)	S
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	722005584	2,310 13	8/20/2013	13,029 11	9/12/2013	13 029 11	-	S
PIMCO SHORT TERM FUND CL A	693391211	40 486 36	2/24/2012	395 551 74	1/10/2013	400 000 00	4,448 26	S
PIMCO SHORT TERM FUND CL A	693391211	50 454 82	2/24/2012	492 941 61	5/23/2013	500 000 00	7 058 39	L
PIMCO SHORT TERM FUND CL A	693391211	6 753 02	2/24/2012	65 976 98	8/19/2013	66,246 63	269 65	L
PIMCO SHORT TERM FUND CL A	693391211	748 35	2/29/2012	7 318 82	8/19/2013	7 341 23	22 41	L
PIMCO SHORT TERM FUND CL A	693391211	644 56	3/30/2012	6 316 69	8/19/2013	6 323 08	6 39	L
PIMCO SHORT TERM FUND CL A	693391211	411 22	4/30/2012	4 034 06	8/19/2013	4 034 06	-	L
PIMCO SHORT TERM FUND CL A	693391211	360 14	5/31/2012	3 533 00	8/19/2013	3 533 00	-	L
PIMCO SHORT TERM FUND CL A	693391211	385 09	6/29/2012	3 777 69	8/19/2013	3,777 69	-	L
PIMCO SHORT TERM FUND CL A	693391211	333 6	7/31/2012	3,275 78	8/19/2013	3 272 61	(3 17)	L
PIMCO SHORT TERM FUND CL A	693391211	354 4	8/31/2012	3 497 94	8/19/2013	3,476 65	(21 29)	S
PIMCO SHORT TERM FUND CL A	693391211	203 18	9/28/2012	2,009 48	8/19/2013	1,993 21	(16 27)	S
PIMCO SHORT TERM FUND CL A	693391211	156 44	10/31/2012	1,547 19	8/19/2013	1 534 67	(12 52)	S
PIMCO SHORT TERM FUND CL A	693391211	66,103 13	11/15/2012	655 082 03	8/19/2013	648 467 17	(6 614 86)	S
PIMCO SHORT TERM FUND CL A	693391211	922 045 05	11/15/2012	9 137 468 48	9/10/2013	9 036 036 89	(101 429 59)	S
PIMCO SHORT TERM FUND CL A	693391211	488 56	11/30/2012	4 841 67	9/10/2013	4,787 92	(53 75)	S
PIMCO SHORT TERM FUND CL A	693391211	2 954 28	12/12/2012	29,188 26	9/10/2013	28 951 90	(236 36)	S
PIMCO SHORT TERM FUND CL A	693391211	232 33	12/12/2012	2,295 39	9/10/2013	2 276 81	(18 58)	S
PIMCO SHORT TERM FUND CL A	693391211	781 69	12/31/2012	7 723 10	9/10/2013	7 660 55	(62 55)	S
PIMCO SHORT TERM FUND CL A	693391211	761 69	1/31/2013	7 525 49	9/10/2013	7 464 55	(60 94)	S
PIMCO SHORT TERM FUND CL A	693391211	818 94	2/28/2013	8 099 36	9/10/2013	8,025 65	(73 71)	S
PIMCO SHORT TERM FUND CL A	693391211	736 07	3/28/2013	7,279 75	9/10/2013	7,213 50	(66 25)	S
PIMCO SHORT TERM FUND CL A	693391211	111 111 11	4/2/2013	1,100 000 00	9/10/2013	1 088 688 33	(11 111 67)	S
PIMCO SHORT TERM FUND CL A	693391211	816 25	4/30/2013	8 080 91	9/10/2013	7 999 29	(81 62)	S
PIMCO SHORT TERM FUND CL A	693391211	768 67	5/31/2013	7,898 88	9/10/2013	7,826 99	(71 89)	S
PIMCO SHORT TERM FUND CL A	693391211	711 04	6/28/2013	6,982 45	9/10/2013	6,968 22	(14 23)	S
PIMCO SHORT TERM FUND CL A	693391211	689 86	7/31/2013	6 781 33	9/10/2013	6 760 59	(20 74)	S
PIMCO SHORT TERM FUND CL A	693391211	694 63	8/30/2013	6 821 24	9/10/2013	6 807 41	(13 83)	S
PLANTRONICS INC NEW	727493108	30	8/4/2009	738 81	5/7/2013	1 367 37	628 56	L
PLANTRONICS INC NEW	727493108	45	8/4/2009	1 108 21	5/8/2013	2 039 42	931 21	L
PLANTRONICS INC NEW	727493108	25	8/4/2009	615 68	5/14/2013	1 145 40	529 72	L
PLANTRONICS INC NEW	727493108	92	8/4/2009	2,265 68	5/15/2013	4 177 43	1,911 75	L
PLANTRONICS INC NEW	727493108	6	8/6/2009	151 29	5/15/2013	272 44	121 15	L
POLYCOM INC	73172K104	241	6/6/2012	2 780 25	11/7/2013	2 594 63	(185 62)	L
POLYCOM INC	73172K104	400	6/7/2012	4,592 36	11/7/2013	4 306 45	(285 91)	L
POLYCOM INC	73172K104	24	6/15/2012	251 22	11/7/2013	258 39	7 17	L
POWER INTEGRATIONS INC	739276103	34	8/4/2009	1,039 57	10/1/2013	1,842 01	802 44	L
POWER INTEGRATIONS INC	739276103	46	8/4/2009	1 406 48	10/2/2013	2 476 99	1 072 51	L
POWER INTEGRATIONS INC	739276103	41	8/4/2009	1 253 60	10/3/2013	2,192 00	938 40	L
POWER INTEGRATIONS INC	739276103	46	8/4/2009	1 406 48	10/4/2013	2 499 24	1 092 76	L
PRINCIPAL INVESTORS PREFERRED SECURITIES FUND A	74254T252	96,339 11	8/27/2012	1,000 005 25	1/9/2013	1,028,901 74	28 896 49	S
PRINCIPAL INVESTORS PREFERRED SECURITIES FUND A	74254T252	420 32	8/31/2012	4,354 53	1/9/2013	4,489 03	134 50	S
PRINCIPAL INVESTORS PREFERRED SECURITIES FUND A	74254T252	491 21	9/28/2012	5,128 25	1/9/2013	5 246 14	117 89	S
PRINCIPAL INVESTORS PREFERRED SECURITIES FUND A	74254T252	478 14	10/31/2012	5 037 58	1/9/2013	5 085 20	47 62	S
PRINCIPAL INVESTORS PREFERRED SECURITIES FUND A	74254T252	485 85	11/30/2012	5,120 88	1/9/2013	5 188 90	68 02	S
PRINCIPAL INVESTORS PREFERRED SECURITIES FUND A	74254T252	560 42	12/19/2012	5 912 40	1/9/2013	5 985 25	72 85	S
PRINCIPAL INVESTORS PREFERRED SECURITIES FUND A	74254T252	481 18	12/27/2012	5 057 18	1/9/2013	5 138 98	81 80	S
PRINCIPAL INVESTORS SHORT TERM INCOME CLASS A	74254V562	86,251 85	1/9/2013	1,060 035 24	9/11/2013	1 050,542 32	(9 492 92)	S

PART IV, CAPITAL GAINS & LOSSES

CAPITAL GAINS & LOSSES

NBF Realized Gain/(Loss)								
12/01/2012 to 11/30/2013								
DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Term
PRINCIPAL INVESTORS SHORT TERM INCOME CLASS A	74254V562	84 37	1/31/2013	791 14	9/11/2013	784 06	(7 08)	S
PRINCIPAL INVESTORS SHORT TERM INCOME CLASS A	74254V562	80 57	2/28/2013	991 80	9/11/2013	981 33	(10 47)	S
PRINCIPAL INVESTORS SHORT TERM INCOME CLASS A	74254V562	88 49	3/28/2013	1 089 29	9/11/2013	1 077 78	(11 51)	S
PRINCIPAL INVESTORS SHORT TERM INCOME CLASS A	74254V562	83 02	4/30/2013	1,022 79	9/11/2013	1 011 16	(11 63)	S
PRINCIPAL INVESTORS SHORT TERM INCOME CLASS A	74254V562	93 54	5/31/2013	1 148 71	9/11/2013	1,139 35	(9 36)	S
PRINCIPAL INVESTORS SHORT TERM INCOME CLASS A	74254V562	79 07	6/28/2013	964 61	9/11/2013	963 02	(1 59)	S
PRINCIPAL INVESTORS SHORT TERM INCOME CLASS A	74254V562	89 03	7/31/2013	1,088 00	9/11/2013	1,084 43	(3 57)	S
PRINCIPAL INVESTORS SHORT TERM INCOME CLASS A	74254V562	91 26	8/30/2013	1 112 41	9/11/2013	1 111 49	(0 92)	S
PUTNAM SHORT DURATION INCOME FUND A	74676P755	49 801 32	4/2/2013	500 009 85	10/22/2013	500 000 00	(9 85)	S
PUTNAM SHORT DURATION INCOME FUND A	74676P755	4 979 56	4/2/2013	49,995 22	10/28/2013	49,994 57	(0 65)	S
PUTNAM SHORT DURATION INCOME FUND A	74676P755	144 423 36	4/29/2013	1 450 014 31	10/28/2013	1,450 005 43	(8 88)	S
PUTNAM SHORT DURATION INCOME FUND A	74676P755	29,851 27	4/29/2013	299,707 53	11/7/2013	300,000 00	292 47	S
PUTNAM SHORT DURATION INCOME FUND A	74676P755	24 676 14	4/29/2013	249 757 14	11/14/2013	250 000 00	242 86	S
QUAKER CHEMICAL CORP	747316107	9	8/4/2009	180 66	8/10/2013	582 31	401 65	L
QUAKER CHEMICAL CORP	747316107	6	8/4/2009	120 44	8/11/2013	388 11	267 67	L
QUAKER CHEMICAL CORP	747316107	16	8/4/2009	381 38	8/13/2013	1 232 29	850 91	L
QUAKER CHEMICAL CORP	747316107	8	8/4/2009	160 59	8/17/2013	518 27	357 68	L
QUAKER CHEMICAL CORP	747316107	19	8/4/2009	381 38	8/18/2013	1,228 24	848 86	L
QUALITY SYSTEMS INC	747582104	360	8/6/2009	9 379 65	7/2/2013	6,888 95	(2 490 70)	L
QUALITY SYSTEMS INC	747582104	37	10/15/2009	1,200 53	7/2/2013	708 03	(492 50)	L
QUALITY SYSTEMS INC	747582104	125	10/15/2009	4 055 84	7/3/2013	2 362 49	(1,693 35)	L
QUALITY SYSTEMS INC	747582104	126	7/13/2012	3 390 83	7/3/2013	2 381 38	(1 009 45)	S
QUALITY SYSTEMS INC	747582104	49	7/13/2012	1 318 65	7/5/2013	938 15	(380 50)	S
QUALITY SYSTEMS INC	747582104	127	7/16/2012	3,354 10	7/5/2013	2,431 54	(922 56)	S
QUALITY SYSTEMS INC	747582104	54	7/18/2012	1,426 15	7/8/2013	1,035 61	(390 54)	S
QUALITY SYSTEMS INC	747582104	89	1/14/2013	1 617 06	7/8/2013	1 706 84	89 78	S
QUALITY SYSTEMS INC	747582104	168	1/14/2013	3 052 44	7/9/2013	3 236 80	184 36	S
RPC INC	749660106	264	2/21/2012	2 912 13	11/8/2013	4 696 58	1 784 45	L
RPC INC	749660106	240	2/21/2012	2,647 39	11/7/2013	4 262 76	1 615 37	L
RPC INC	749660106	98	2/22/2012	1,091 43	11/8/2013	1 743 43	652 00	L
SCANA CORP NEW	80589M102	285	7/30/2009	10 325 55	5/20/2013	15 240 92	4 915 37	L
SCANA CORP NEW	80589M102	250	8/4/2009	8,675 00	5/20/2013	13 369 22	4,694 22	L
SCANA CORP NEW	80589M102	45	8/4/2009	1,561 50	10/17/2013	2,067 68	506 18	L
SCANA CORP NEW	80589M102	310	8/6/2009	10 521 40	10/17/2013	14 244 04	3 722 64	L
SCANA CORP NEW	80589M102	185	10/15/2009	8 502 01	10/17/2013	8,500 47	1 998 48	L
SCIENCE APPLICATIONS INTE	808625107	0 57	1/29/2013	14 32	9/30/2013	19 91	5 59	S
SELECT COMFORT CORP	81616X103	48	4/27/2011	789 26	7/29/2013	1,080 27	291 01	L
SELECT COMFORT CORP	81616X103	149	4/28/2011	2 424 62	7/29/2013	3 353 33	928 71	L
SELECT COMFORT CORP	81616X103	106	8/12/2011	1 534 35	7/29/2013	2 385 60	851 25	L
SELECT COMFORT CORP	81616X103	37	8/15/2011	556 89	11/18/2013	737 38	180 49	L
SELECT COMFORT CORP	81616X103	106	8/15/2011	1,595 41	7/29/2013	2 385 59	790 18	L
SELECT COMFORT CORP	81616X103	5	8/15/2011	75 25	7/30/2013	111 02	35 77	L
SELECT COMFORT CORP	81616X103	44	8/16/2011	652 23	11/18/2013	876 89	224 66	L
SELECT COMFORT CORP	81616X103	137	8/16/2011	2 030 79	11/19/2013	2 719 42	688 63	L
SELECT COMFORT CORP	81616X103	29	8/17/2011	424 58	11/20/2013	576 32	153 74	L
SELECT COMFORT CORP	81616X103	27	8/17/2011	395 29	11/19/2013	535 95	140 66	L
SELECT COMFORT CORP	81616X103	65	11/6/2012	1,827 10	11/20/2013	1 296 22	(530 88)	L
SELECT COMFORT CORP	81616X103	70	11/8/2012	1 870 67	11/20/2013	1 395 94	(475 03)	L
SELECT COMFORT CORP	81616X103	22	11/8/2012	588 02	11/21/2013	444 23	(143 79)	L
SELECT COMFORT CORP	81616X103	110	1/8/2013	2,934 62	11/21/2013	2,221 17	(713 45)	S
SELECT COMFORT CORP	81616X103	280	1/14/2013	7 518 58	11/21/2013	5 653 89	(1,864 69)	S
SEMPRA ENERGY	816851109	55	7/30/2009	2 879 25	11/21/2013	4,954 86	2,075 61	L

PART IV, CAPITAL GAINS & LOSSES

CAPITAL GAINS & LOSSES

NBF Realized Gain/(Loss)								
12/01/2012 to 11/30/2013								
DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Term
SEMPRA ENERGY	816851109	140	7/30/2009	7,329 00	7/10/2013	11 430 13	4 101 13	L
SEMPRA ENERGY	816851109	135	8/4/2009	7 057 40	11/21/2013	12 161 94	5 104 54	L
SIGNATURE BANK NEW YORK N Y	82669G104	28	8/6/2009	840 33	1/8/2013	2 055 56	1,215 23	L
SIGNATURE BANK NEW YORK N Y	82669G104	3	8/6/2009	90 03	1/9/2013	220 19	130 16	L
SIGNATURE BANK NEW YORK N Y	82669G104	5	10/15/2009	153 25	1/9/2013	366 97	213 72	L
SIGNATURE BANK NEW YORK N Y	82669G104	49	10/15/2009	1 501 85	1/29/2013	3 643 40	2 141 55	L
SIGNATURE BANK NEW YORK N Y	82669G104	2	11/3/2009	62 12	1/29/2013	148 71	86 59	L
SIGNATURE BANK NEW YORK N Y	82669G104	25	11/3/2009	776 43	1/30/2013	1 852 83	1 076 40	L
SIGNATURE BANK NEW YORK N Y	82669G104	70	11/3/2009	2,174 03	1/31/2013	5 178 38	3 004 35	L
SIGNATURE BANK NEW YORK N Y	82669G104	43	11/3/2009	1 335 48	2/7/2013	3 221 82	1 886 34	L
SIGNATURE BANK NEW YORK N Y	82669G104	22	3/3/2010	842 55	6/5/2013	1,673 06	830 51	L
SIGNATURE BANK NEW YORK N Y	82669G104	40	3/3/2010	1,531 92	6/6/2013	3 054 73	1 522 81	L
SIGNATURE BANK NEW YORK N Y	82669G104	15	3/3/2010	574 47	2/8/2013	1,126 28	551 81	L
SIGNATURE BANK NEW YORK N Y	82669G104	15	3/3/2010	574 47	2/7/2013	1 123 89	549 42	L
SIGNATURE BANK NEW YORK N Y	82669G104	57	11/17/2010	2,439 12	6/6/2013	4 352 96	1 913 86	L
SIGNATURE BANK NEW YORK N Y	82669G104	27	11/18/2010	1 190 12	6/6/2013	2 061 94	871 82	L
SIGNATURE BANK NEW YORK N Y	82669G104	23	11/18/2010	1 013 80	7/2/2013	1,957 12	943 32	L
SIGNATURE BANK NEW YORK N Y	82669G104	12	6/1/2012	707 04	7/2/2013	1,021 11	314 07	L
SIGNATURE BANK NEW YORK N Y	82669G104	61	1/14/2013	4 472 93	7/2/2013	5 190 63	717 70	S
SIGNATURE BANK NEW YORK N Y	82669G104	49	1/14/2013	3 593 02	7/3/2013	4 116 62	523 60	S
SIGNATURE BANK NEW YORK N Y	82669G104	8	1/14/2013	566 61	7/5/2013	663 39	96 78	S
SIMPSON MANUFACTURING CO INC DELA	829073105	5	8/4/2009	145 60	8/20/2013	158 94	13 34	L
SIMPSON MANUFACTURING CO INC DELA	829073105	82	8/6/2009	2 384 48	8/21/2013	2,583 52	199 04	L
SIMPSON MANUFACTURING CO INC DELA	829073105	13	8/6/2009	378 03	8/22/2013	411 69	33 66	L
SIMPSON MANUFACTURING CO INC DELA	829073105	20	8/6/2009	581 58	8/20/2013	635 74	54 16	L
SODA STREAM INTL LTD ILS	M9068E105	25	8/4/2011	1 729 16	4/2/2013	1,269 37	(459 79)	L
SODA STREAM INTL LTD ILS	M9068E105	20	8/4/2011	1 383 32	4/3/2013	987 87	(395 45)	L
SODA STREAM INTL LTD ILS	M9068E105	5	8/5/2011	339 46	4/3/2013	246 96	(92 50)	L
SODA STREAM INTL LTD ILS	M9068E105	108	8/19/2011	4,451 10	4/3/2013	5 334 49	883 39	L
SODA STREAM INTL LTD ILS	M9068E105	39	11/2/2011	1 281 88	4/3/2013	1,926 34	644 46	L
SODA STREAM INTL LTD ILS	M9068E105	12	11/2/2011	394 42	4/4/2013	579 49	185 07	L
SPDR GOLD TRUST	78463V107	165	7/30/2009	14,996 91	1/4/2013	26 332 47	11 335 56	L
SPDR GOLD TRUST	78463V107	155	8/4/2009	14,482 89	1/4/2013	24 736 57	10,253 68	L
SPDR GOLD TRUST	78463V107	160	8/6/2009	15 127 89	6/20/2013	20 012 98	4,885 09	L
SPDR GOLD TRUST	78463V107	65	10/14/2009	6,742 25	6/20/2013	8 130 27	1 388 02	L
SPDR GOLD TRUST	78463V107	90	10/15/2009	9 231 08	6/20/2013	11 257 30	2 026 22	L
SVB FINANCIAL GROUP	78486Q101	39	1/4/2012	1 909 00	6/18/2013	2,965 89	1,056 89	L
SVB FINANCIAL GROUP	78486Q101	10	1/4/2012	489 49	6/19/2013	753 16	263 67	L
SVB FINANCIAL GROUP	78486Q101	39	1/5/2012	1 980 16	6/19/2013	2,937 32	957 16	L
SVB FINANCIAL GROUP	78486Q101	9	1/5/2012	456 96	7/12/2013	783 00	326 04	L
SVB FINANCIAL GROUP	78486Q101	54	1/6/2012	2,763 29	7/12/2013	4 698 01	1,934 72	L
SVB FINANCIAL GROUP	78486Q101	44	2/7/2012	2,585 91	7/12/2013	3,828 01	1 242 10	L
SVB FINANCIAL GROUP	78486Q101	18	2/8/2012	1 062 51	7/12/2013	1 568 00	505 49	L
SVB FINANCIAL GROUP	78486Q101	59	2/8/2012	3 482 68	7/15/2013	5 125 72	1 643 04	L
SVB FINANCIAL GROUP	78486Q101	22	3/23/2012	1,451 81	7/15/2013	1 911 28	459 47	L
SVB FINANCIAL GROUP	78486Q101	26	3/23/2012	1 715 77	7/30/2013	2,261 68	565 91	L
SVB FINANCIAL GROUP	78486Q101	27	3/26/2012	1,806 77	7/30/2013	2 369 44	562 67	L
SVB FINANCIAL GROUP	78486Q101	4	3/26/2012	267 87	7/31/2013	352 00	84 33	L
SVB FINANCIAL GROUP	78486Q101	73	3/27/2012	4 893 53	7/31/2013	6,424 08	1 530 55	L
SVB FINANCIAL GROUP	78486Q101	53	1/8/2013	3,183 47	7/31/2013	4 664 06	1 480 59	S
SVB FINANCIAL GROUP	78486Q101	2	1/8/2013	120 13	8/1/2013	177 68	57 55	S
SVB FINANCIAL GROUP	78486Q101	19	1/9/2013	1 148 57	8/1/2013	1,687 96	539 39	S

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NBF Realized Gain/(Loss)								
12/01/2012 to 11/30/2013								
DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Term
SVB FINANCIAL GROUP	78486Q101	68	1/14/2013	4 082 87	8/1/2013	8 041 11	1,958 44	S
SVB FINANCIAL GROUP	78486Q101	7	1/14/2013	420 28	8/5/2013	619 45	199 17	S
SVB FINANCIAL GROUP	78486Q101	71	1/14/2013	4 262 79	8/2/2013	6 267 40	2,034 61	S
SVB FINANCIAL GROUP	78486Q101	52	1/28/2013	3,337 81	8/5/2013	4,601 64	1 263 83	S
SVB FINANCIAL GROUP	78486Q101	14	1/28/2013	898 64	8/6/2013	1 221 46	322 82	S
TEAM INC	878155100	25	12/29/2010	603 33	2/7/2013	1,119 05	515 72	L
TEAM INC	878155100	1	12/30/2010	24 55	2/7/2013	44 76	20 21	L
TEAM INC	878155100	53	12/30/2010	1 301 14	2/8/2013	2 367 69	1 066 55	L
TEAM INC	878155100	33	12/30/2010	810 14	2/11/2013	1 454 64	644 50	L
TEAM INC	878155100	10	12/31/2010	244 97	2/11/2013	440 80	195 83	L
TEAM INC	878155100	25	12/31/2010	612 43	2/12/2013	1 130 20	517 77	L
TEAM INC	878155100	17	12/31/2010	416 44	2/26/2013	740 53	324 09	L
TEAM INC	878155100	70	12/31/2010	1,714 79	2/27/2013	3 047 51	1 332 72	L
TEAM INC	878155100	8	12/31/2010	195 68	2/28/2013	350 87	154 89	L
TEAM INC	878155100	16	1/3/2011	395 42	2/28/2013	701 75	306 33	L
TECHNE CORP MINN	878377100	21	2/15/2012	1,454 52	10/24/2013	1 858 81	404 29	L
TECHNE CORP MINN	878377100	28	2/16/2012	1,065 45	10/25/2013	2 477 66	512 21	L
TECHNE CORP MINN	878377100	10	2/16/2012	701 95	10/24/2013	885 15	183 20	L
TECHNE CORP MINN	878377100	1	2/17/2012	70 55	10/25/2013	88 49	17 94	L
TECHNE CORP MINN	878377100	24	2/17/2012	1 893 08	10/28/2013	2 102 87	409 79	L
TECHNE CORP MINN	878377100	30	2/17/2012	2,116 35	10/29/2013	2 655 37	539 02	L
TECHNE CORP MINN	878377100	20	3/13/2012	1,399 79	10/29/2013	1 770 24	370 45	L
TECHNE CORP MINN	878377100	31	3/14/2012	2 176 01	10/30/2013	2 728 67	552 66	L
TESCO CORP CAD	88157K101	45	3/16/2011	819 29	12/4/2012	482 63	(336 66)	L
TESCO CORP CAD	88157K101	38	3/17/2011	703 12	12/4/2012	407 55	(295 57)	L
TESCO CORP CAD	88157K101	45	3/18/2011	876 30	12/4/2012	482 63	(393 67)	L
TESCO CORP CAD	88157K101	41	3/18/2011	798 40	12/5/2012	440 96	(357 44)	L
TESCO CORP CAD	88157K101	55	3/21/2011	1 167 91	12/5/2012	591 53	(576 38)	L
TESCO CORP CAD	88157K101	52	3/22/2011	1 089 68	12/5/2012	559 27	(530 41)	L
TESCO CORP CAD	88157K101	27	3/22/2011	565 79	12/6/2012	289 82	(275 97)	L
TESCO CORP CAD	88157K101	53	3/23/2011	1,097 03	12/6/2012	568 89	(528 14)	L
TESCO CORP CAD	88157K101	45	3/24/2011	923 92	12/6/2012	483 03	(440 89)	L
TESCO CORP CAD	88157K101	20	3/24/2011	410 84	12/7/2012	211 64	(199 00)	L
TESCO CORP CAD	88157K101	26	3/24/2011	533 82	12/10/2012	269 77	(264 05)	L
TESCO CORP CAD	88157K101	6	6/27/2011	106 88	12/10/2012	62 26	(44 62)	L
TESCO CORP CAD	88157K101	6	6/27/2011	106 88	12/11/2012	62 26	(44 62)	L
TESCO CORP CAD	88157K101	24	6/28/2011	451 71	12/11/2012	249 06	(202 65)	L
TESCO CORP CAD	88157K101	7	6/29/2011	132 96	12/11/2012	72 64	(60 32)	L
TESCO CORP CAD	88157K101	28	6/29/2011	531 82	12/13/2012	280 03	(251 79)	L
TESCO CORP CAD	88157K101	42	6/30/2011	810 59	12/13/2012	420 03	(390 56)	L
TESCO CORP CAD	88157K101	27	7/1/2011	517 75	12/13/2012	270 03	(247 72)	L
TESCO CORP CAD	88157K101	8	7/5/2011	154 36	12/13/2012	80 00	(74 36)	L
TESCO CORP CAD	88157K101	36	7/7/2011	743 70	12/13/2012	360 04	(383 66)	L
TESCO CORP CAD	88157K101	14	7/8/2011	288 52	12/13/2012	140 01	(148 51)	L
TEXAS CAPITAL BANCSHARES INC (DELA)	88224Q107	148	3/29/2011	3 755 16	10/29/2013	7,830 24	4,075 08	L
TEXAS CAPITAL BANCSHARES INC (DELA)	88224Q107	5	3/30/2011	127 35	10/29/2013	264 53	137 18	L
TEXAS CAPITAL BANCSHARES INC (DELA)	88224Q107	1	4/1/2011	26 36	10/29/2013	52 91	26 55	L
UBS AG TRIGGER YON MET 11/29/2013 10 61%	90268W305	16,485 00	5/25/2012	499,990 05	11/29/2013	499 990 05	-	L
UMPQUA HOLDINGS CORP OR	904214103	306	8/6/2009	3 168 04	4/1/2013	3 932 81	764 77	L
UMPQUA HOLDINGS CORP OR	904214103	7	8/6/2009	72 47	4/2/2013	88 82	16 35	L
UMPQUA HOLDINGS CORP OR	904214103	118	10/15/2009	1 213 75	4/2/2013	1,497 28	283 53	L
UMPQUA HOLDINGS CORP OR	904214103	45	10/15/2009	462 87	4/3/2013	559 98	97 11	L

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NBF Realized Gain/(Loss)								
12/01/2012 to 11/30/2013								
DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Term
UMPQUA HOLDINGS CORP OR	904214103	72	3/3/2010	910 48	4/3/2013	895 97	(14 51)	L
UMPQUA HOLDINGS CORP OR	904214103	89	3/3/2010	1,125 45	4/5/2013	1 106 13	(19 32)	L
UMPQUA HOLDINGS CORP OR	904214103	140	3/3/2010	1 770 39	4/4/2013	1,732 25	(38 14)	L
UMPQUA HOLDINGS CORP OR	904214103	10	3/3/2010	128 48	9/11/2013	109 97	43 51	L
UMPQUA HOLDINGS CORP OR	904214103	267	8/18/2010	3 083 64	9/11/2013	4 538 12	1 454 48	L
UMPQUA HOLDINGS CORP OR	904214103	27	8/18/2010	311 83	9/12/2013	446 12	134 29	L
UNTD NAT FOODS INC	911163103	43	8/6/2009	1 144 10	8/19/2013	2,609 58	1 465 48	L
UNTD NAT FOODS INC	911163103	47	8/6/2009	1 250 53	8/20/2013	2 823 99	1,573 46	L
VERIFONE SYSTEMS INC	92342Y109	550	1/24/2013	18 172 07	2/21/2013	10 013 29	(8 158 78)	S
VERIFONE SYSTEMS INC	92342Y109	65	1/29/2013	3,349 37	2/22/2013	1 215 47	(2,133 90)	S
VERIFONE SYSTEMS INC	92342Y109	485	1/29/2013	16 832 70	2/21/2013	8,829 91	(8 002 79)	S
WEST PHARMACEUTICAL SERVICES INC	955306105	25	8/4/2009	1 000 25	8/19/2013	1 701 32	701 07	L
WEST PHARMACEUTICAL SERVICES INC	955306105	7	8/4/2009	280 07	8/20/2013	487 30	187 23	L
WEST PHARMACEUTICAL SERVICES INC	955306105	73	8/4/2009	2 920 73	8/21/2013	4 866 95	1 946 22	L
WEST PHARMACEUTICAL SERVICES INC	955306105	25	8/6/2009	984 94	8/21/2013	1 666 76	681 82	L
WILEY JOHN & SONS INC CL A	968223206	65	8/8/2009	1 978 61	12/11/2012	2 433 47	454 86	L
WILEY JOHN & SONS INC CL A	968223206	37	8/8/2009	1 126 29	2/19/2013	1,468 14	341 85	L
WILEY JOHN & SONS INC CL A	968223206	30	8/8/2009	913 21	2/20/2013	1 188 22	275 01	L
WILEY JOHN & SONS INC CL A	968223206	17	8/8/2009	517 48	2/21/2013	647 16	129 68	L
WILEY JOHN & SONS INC CL A	968223206	24	10/15/2009	836 76	2/21/2013	913 63	76 87	L
WILEY JOHN & SONS INC CL A	968223206	42	10/15/2009	1 464 33	2/22/2013	1 600 77	136 44	L
WILEY JOHN & SONS INC CL A	968223206	11	10/15/2009	383 52	2/25/2013	416 29	32 77	L
WILEY JOHN & SONS INC CL A	968223206	20	10/15/2009	697 30	2/26/2013	751 63	54 33	L
WILEY JOHN & SONS INC CL A	968223206	12	10/15/2009	418 38	2/27/2013	447 53	29 15	L
WILEY JOHN & SONS INC CL A	968223206	19	5/11/2010	793 47	2/27/2013	708 60	(84 87)	L
WILEY JOHN & SONS INC CL A	968223206	87	5/11/2010	3,633 26	2/28/2013	3 203 59	(429 67)	L
WILEY JOHN & SONS INC CL A	968223206	44	5/11/2010	1,837 51	3/1/2013	1 599 25	(238 26)	L
WILEY JOHN & SONS INC CL A	968223206	45	12/8/2010	2 035 96	3/1/2013	1,635 60	(400 36)	L
WILEY JOHN & SONS INC CL A	968223206	5	12/8/2010	226 22	3/4/2013	180 09	(46 13)	L
WILEY JOHN & SONS INC CL A	968223206	22	12/9/2010	984 37	3/4/2013	792 41	(191 96)	L
WILEY JOHN & SONS INC CL A	968223206	11	6/1/2012	497 42	3/4/2013	396 21	(101 21)	S
WILEY JOHN & SONS INC CL A	968223206	57	1/14/2013	2,313 06	3/4/2013	2 053 06	(260 00)	S
WILEY JOHN & SONS INC CL A	968223206	25	1/14/2013	1 014 50	3/5/2013	912 02	(102 48)	S
WILEY JOHN & SONS INC CL A	968223206	45	1/14/2013	1,626 10	3/8/2013	1 649 68	(176 42)	S
WOLVERINE WORLD WIDE INC	978097103	33	9/16/2011	1 267 46	7/16/2013	1,918 76	651 30	L
WOLVERINE WORLD WIDE INC	978097103	18	9/19/2011	692 19	7/16/2013	1 046 59	354 40	L
WOLVERINE WORLD WIDE INC	978097103	77	9/19/2011	2,961 02	7/16/2013	4 458 80	1 497 78	L
XCEL ENERGY INC	98369B100	375	7/30/2009	7 500 00	1/23/2013	10,196 29	2 696 29	L
XCEL ENERGY INC	98369B100	120	8/4/2009	2,360 10	1/23/2013	3 262 81	902 71	L
				79 680 548 99			78 658,229 15	(1 022 319 84)

NEW BALANCE FOUNDATION
FORM 990-PF
TAX YEAR 12/01/12- 11/30/13

TIN: 04-6470644

STATEMENT 5

PART I, LINE 11

Other Income

DESCRIPTION	REVENUE & EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME
PROCEEDS -CLASS ACTION -VALUECLICK	495	495	NONE
REFUND - MASS UBIT 2012	<u>78</u>	<u>78</u>	NONE
	573	573	

NEW BALANCE FOUNDATION
FORM 990-PF
TAX YEAR 12/01/12 - 11/30/13

TIN: 04-6470644

STATEMENT 6

PART I, LINE 18 - TAXES

DESCRIPTION	REVENUE & EXPENSES PER BOOKS	CHARITABLE PURPOSES
EXCISE TAX	96,000	
MASS ANNUAL REPORT FEE		500

NEW BALANCE FOUNDATION
FORM 990-PF
TAX YEAR 12/01/12 - 11/30/13

TIN: 04-6470644

STATEMENT 7

PART I, LINE 23 - OTHER EXPENSES

DESCRIPTION	REVENUE & EXPENSES PER BOOKS	NET INVESTMENT INCOME
UBS FEES	<u>117,418</u>	<u>117,418</u>
	117,418	117,418

NEW BALANCE FOUNDATION**FORM 990-PF****TAX YEAR 12/01/12 - 11/30/13****TIN: 04-6470644****STATEMENT 8****PART XV - GRANTS AND CONTRIBUTIONS PAID**

	<u>AMOUNT</u>
Alzheimer's Association-Mass Chapter	25,000.00
American Red cross	250,000.00
American Red Cross of Eastern Mass	20,000.00
Associated Early Care and Education	250,000.00
Berklee College of Music	14,000.00
Beyond Soccer, Inc	20,000.00
Boston College Trustees	250,000.00
Boston Medical Center	50,000.00
Boston Symphony Orchestra	11,327.00
Boys & Girls Club & YMCA at Alford Youth Center	75,000.00
Boys and Girls Club of Dorchester	10,000.00
Camp Sunshine	50,000.00
Casa Myrna Vasquez	20,000.00
Charles River Watershed Association, Inc	5,000.00
Children's Hospital Boston	900,000.00
Children's Hospital Boston	500,000.00
Children's Hospital Boston	200,000.00
Class, Inc	25,000.00
Community Rowing	40,000.00
Cradles to Crayons	20,000.00
Dana Farber Cancer Institute	25,000.00
East Boston Neighborhodd Health Center	100,000.00
Essex Art Center	15,000.00
Family Nurturing Center of Massachusetts	25,000.00
Family Service, Inc	15,000.00
Good Shepard Food Bank	25,000.00
Goodsports, Inc	25,000.00
Greater Lawrence Community Boating Program	10,000.00
Greater Lawrence Family Health Center	100,000.00
Groundwork Lawrence	75,000.00
Haley House	15,000.00
Jobs for Maine Graduates	10,000.00
Joseph M. Smith Community Health Center	10,000.00
Kid2Kid Inc	375,000.00
Lawrence Boys & Girls Club	2,000.00
Lawrence Boys & Girls Club	164,000.00
Lawrence Boys & Girls Club	1,800.00
Lawrence Boys & Girls Club, Inc	1,900.00
Lawrence Boys & Girls Club, Inc	1,000.00
Lawrence Community Works, Inc	25,000.00
Lawrence General Hospital	10,000.00
Lazarus House, Inc	25,000.00
Main Street Skowhegan	5,000.00
Maine General Health	10,000.00
Merrimack Valley YMCA	25,000.00
MetroLacrosse Inc	200,000.00
Museum of Fine Arts	13,380.00

NEW BALANCE FOUNDATION**FORM 990-PF****TAX YEAR 12/01/12 - 11/30/13****TIN: 04-6470644****STATEMENT 8****PART XV - GRANTS AND CONTRIBUTIONS PAID**

	<u>AMOUNT</u>
New England Aquarium	28,880.00
North Elementary School	75,150.00
One Fund Boston, Inc	38,192.00
Perkins School for the Blind	10,000.00
Pine Street Inn	10,000.00
Playworks	650,000.00
Playworks Education Energized	600.00
Playworks Education Energized	500.00
Redington Fairview Hospital	250,000.00
Rosie's Place	40,000.00
Share Our Strength	25,000.00
South Lawrence East Little League	3,000.00
Special Olympics Massachusetts	25,000.00
Squashbusters	60,000.00
St. Francis House	10,000.00
Tenacity, Inc	150,000.00
The Barbara Bush Children's Hospital	500.00
The Barbara Bush Children's Hospital	200.00
The Barbara Bush Children's Hospital	1,500.00
The Barbara Bush Children's Hospital	75,000.00
The Barbara Bush Children's Hospital	1,600.00
The Fishing Academy	5,000.00
The Food Project	19,100.00
The Gerald & Dorothy Friedman School of Nutrition Science at Tufts University	200,000.00
The Greater Boston Food Bank	25,000.00
The Hyde Square Task Force, Inc	10,000.00
The Komen Massachusetts Chapter	500.00
The Maine Children's Home -Little Wanderer's	30,000.00
The Upham's Corner Community Center	20,000.00
Thompson Island Outward Bound	15,000.00
Town of Madison	12,500.00
Two/Ten International Footwear Foundation	150,000.00
West End House Boys & Girls Club	1,500.00
West End House Boys & Girls Club	600.00
West End House Boys & Girls Club	2,000.00
West End House Boys & Girls Club	200,000.00
West End House Boys & Girls Club	600.00
Western Maine Health	69,250.00
YMCA of Greater Boston-Oak Square Branch	50,000.00
Youth Enrichment Services	7,500.00
	6,318,079.00

NEW BALANCE FOUNDATION
FORM 990-~~9F~~
TAX YEAR 12/01/12 - 11/30/13

TIN: 04-6470644

STATEMENT 9

PART II, LINE 10b - INVESTMENTS

DESCRIPTION	ENDING BOOK VALUE	ENDING FAIR MARKET VALUE
UBS:		
Foundation Main	92,707,618	101,961,540
Anchor Mid Cap Value	1,998,249	2,780,618
Boston Trust Small Cap	2,076,579	2,728,402
Equity Income	<u>10,803,862</u>	<u>13,144,798</u>
	107,586,308	120,615,358

NEW BALANCE FOUNDATION
FORM 990-PF
TAX YEAR 12/01/12 - 11/30/13

TIN: 04-6470644

STATEMENT 9A

PART II, LINE 13 - INVESTMENTS - OTHER

DESCRIPTION	ENDING BOOK VALUE	ENDING FAIR MARKET VALUE
ADVEST	<u>314,462</u>	<u>298,692</u>
	314,462	298,692

PART VIII, LIST OF DIRECTORS & OFFICERS

NAME & ADDRESS	TITLE	TIME DEVOTED	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCOUNT & OTHER ALLOWANCES
ANNE M. DAVIS 20 GUEST STREET BOSTON, MA 02135	TRUSTEE	PART TIME = 3.0 hours per week	NONE	NONE	NONE
JAMES S. DAVIS 20 GUEST STREET BOSTON, MA 02135	TRUSTEE	PART TIME = 0.25 hours per week	NONE	NONE	NONE
PAUL R. GAURON 20 GUEST STREET BOSTON, MA 02135	TRUSTEE	PART TIME = 0.25 hours per week	NONE	NONE	NONE