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

OMB No 1545-0052

2012

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

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

For calendar year 2012 or tax year beginning 12/01, 2012, and ending 11/30, 2013

Name of foundation 31-C7B007575005 THE RICHARD AND SUSAN
BRADDOCK FAMILY FOUNDATION, INC.

A Employer identification number

06-1565971

B Telephone number (see instructions)

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

Room/suite

10 GRACIE SQUARE APT. 9F

City or town, state, and ZIP code

NEW YORK, NY 10028

G Check all that apply:

Initial return

Initial return of a former public charity

Final return

Amended return

Address change

Name change

H Check type of organization:

☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust☐ Other taxable private foundation

I Fair market value of all assets at end

of year (from Part II, col. (c), line

16) \$ 8,435,073.

J Accounting method: ☒ Cash ☐ Accrual☐ Other (specify) _____

(Part I, column (d) must be on cash basis.)

C If exemption application is pending, check here ☐D 1 Foreign organizations, check here ☐2 Foreign organizations meeting the 85% test, check here and attach computation ☐E If private foundation status was terminated under section 507(b)(1)(A), check here ☐F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐**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)				
2 Check ☒ if the foundation is not required to attach Sch. B				
3 Interest on savings and temporary cash investments				
4 Dividends and interest from securities	118,304.	113,718.		STMT 1
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	450,251.			
b Gross sales price for all assets on line 6a	3,356,585.			
7 Capital gain net income (from Part IV, line 2)		451,879.		
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)	91,694.	13,795.		STMT 2
12 Total Add lines 1 through 11	660,249.	579,392.		
13 Compensation of officers, directors, trustees, etc.	35,000.			35,000.
14 Other employee salaries and wages		NONE	NONE	
15 Pension plans, employee benefits		NONE	NONE	
16a Legal fees (attach schedule)				
b Accounting fees (attach schedule)				
c Other professional fees (attach schedule)	71,058.	71,058.		
17 Interest				
18 Taxes (attach schedule) (see instructions)	838.	1,407.		
19 Depreciation (attach schedule) and depletion				
20 Occupancy				
21 Travel, conferences, and meetings		NONE	NONE	
22 Printing and publications		NONE	NONE	
23 Other expenses (attach schedule)	670.	12,097.		385.
24 Total operating and administrative expenses. Add lines 13 through 23	107,566.	84,562.	NONE	35,385.
25 Contributions, gifts, grants paid	1,296,100.			1,296,100.
26 Total expenses and disbursements Add lines 24 and 25	1,403,666.	84,562.	NONE	1,331,485.
27 Subtract line 26 from line 12	-743,417.			
a Excess of revenue over expenses and disbursements		494,830.		
b Net investment income (if negative, enter -0-)				
c Adjusted net income (if negative, enter -0-)				

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)		Beginning of year	End of year	
				(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing				
	2	Savings and temporary cash investments		1,003,706.	1,136,768.	1,136,768.
	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	NONE			
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges				
	10 a	Investments - U S and state government obligations (attach schedule)	STMT 6	1,743,226.		
	b	Investments - corporate stock (attach schedule)	STMT 7	1,661,618.		
	c	Investments - corporate bonds (attach schedule)	STMT 8	237,617.		
	11	Investments - land, buildings, and equipment basis				
	Less: accumulated depreciation (attach schedule)					
12	Investments - mortgage loans					
13	Investments - other (attach schedule)	STMT 9	3,365,488.	6,236,196.	7,298,305.	
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)		8,011,655.	7,372,964.	8,435,073.	
Liabilities	17	Accounts payable and accrued expenses				
	18	Grants payable				
	19	Deferred revenue				
	20	Loans from officers, directors, trustees, and other disqualified persons				
	21	Mortgages and other notes payable (attach schedule)				
	22	Other liabilities (describe)				
	23	Total liabilities (add lines 17 through 22)				NONE
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ☐					
	and complete lines 24 through 26 and lines 30 and 31.					
	24	Unrestricted				
	25	Temporarily restricted				
	26	Permanently restricted				
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ☒					
	27	Capital stock, trust principal, or current funds		8,011,655.	7,372,964.	
	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)		8,011,655.	7,372,964.		
31	Total liabilities and net assets/fund balances (see instructions)		8,011,655.	7,372,964.		

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	8,011,655.
2	Enter amount from Part I, line 27a	2	-743,417.
3	Other increases not included in line 2 (itemize) SEE STATEMENT 10	3	109,421.
4	Add lines 1, 2, and 3	4	7,377,659.
5	Decreases not included in line 2 (itemize) SEE STATEMENT 11	5	4,695.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	7,372,964.

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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 PUBLICLY TRADED SECURITIES					
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 3,356,585.		2,904,706.	451,879.		
b					
c					
d					
e					
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69					
(i) FMV 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			451,879.		
b					
c					
d					
e					
2 Capital gain net income or (net capital loss)			2	451,879.	
{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7					
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):			3		
If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8					

Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income.)

If section 4940(d)(2) applies, leave this part blank.

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes ☒ No

If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

1 Enter the appropriate amount in each column for each year; see the instructions before making any entries.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2011	1,767,588.	8,645,598.	0.204449
2010	776,000.	10,073,200.	0.077036
2009	2,120,793.	8,452,439.	0.250909
2008	1,684,775.	7,913,994.	0.212886
2007	1,063,655.	11,885,378.	0.089493
2 Total of line 1, column (d)			2 0.834773
3 Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years			3 0.166955
4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5			4 7,970,850.
5 Multiply line 4 by line 3			5 1,330,773.
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 4,948.
7 Add lines 5 and 6			7 1,335,721.
8 Enter qualifying distributions from Part XII, line 4			8 1,331,485.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1			
Date of ruling or determination letter _____ (attach copy of letter if necessary - see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b		1	9,897.
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	9,897.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	NONE
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	9,897.
6 Credits/Payments			
a 2012 estimated tax payments and 2011 overpayment credited to 2012	6a	15,830.	
b Exempt foreign organizations - tax withheld at source	6b	NONE	
c Tax paid with application for extension of time to file (Form 8868)	6c	NONE	
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	15,830.	
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	5,933.	
11 Enter the amount of line 10 to be Credited to 2013 estimated tax ☐ 5,933. 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?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)?		X
If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.		
c Did the foundation file Form 1120-POL for this year?		X
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?		X
If "Yes," attach a detailed description of the activities		
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		N/A
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?		X
If "Yes," attach the statement required by General Instruction T		
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ☐ NY		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

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11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address N/A	13	X	
14	The books are in care of SEE STATEMENT 12 Telephone no Located at ZIP+4 			
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? See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country 	16	Yes No	X

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

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5a** During the year did the foundation pay or incur any amount to:

- (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No
- (2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No
- (3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No
- (4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ Yes ☒ No
- (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

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

5b N/A

Organizations relying on a current notice regarding disaster assistance check here ☐**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?N/A ☐ Yes ☐ No

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

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

6b X

If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?☐ Yes ☒ No**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

7b N/A

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**1** List all officers, directors, trustees, foundation managers and their compensation (see instructions).

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SUSAN BRADDOCK TWO COURT SQUARE 8TH FLOOR, LONG ISLAND CITY, NY 1112	DIRECTOR 2		- 0 -	- 0 -
JENNIFER BRADDOCK GERBER TWO COURT SQUARE 8TH FLOOR, LONG ISLAND CITY, NY 1112	PRESIDENT 20	35,000.		
RICHARD BRADDOCK TWO COURT SQUARE 8TH FLOOR, LONG ISLAND CITY, NY 1112	DIRECTOR 2			

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

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

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
NONE		NONE
Total number of others receiving over \$50,000 for professional services		NONE

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 NONE	
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 NONE	
2	
All other program-related investments See instructions	
3 NONE	
Total. Add lines 1 through 3	

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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	7,591,819.
b	Average of monthly cash balances	1b	500,414.
c	Fair market value of all other assets (see instructions)	1c	NONE
d	Total (add lines 1a, b, and c)	1d	8,092,233.
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	NONE
3	Subtract line 2 from line 1d	3	8,092,233.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	121,383.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	7,970,850.
6	Minimum investment return. Enter 5% of line 5	6	398,543.

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	398,543.
2a	Tax on investment income for 2012 from Part VI, line 5	2a	9,897.
b	Income tax for 2012. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	9,897.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	388,646.
4	Recoveries of amounts treated as qualifying distributions	4	NONE
5	Add lines 3 and 4	5	388,646.
6	Deduction from distributable amount (see instructions)	6	NONE
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	388,646.

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	1,331,485.
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	NONE
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	NONE
b	Cash distribution test (attach the required schedule)	3b	NONE
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	1,331,485.
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	N/A
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	1,331,485.

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				388,646.
2 Undistributed income, if any, as of the end of 2012				
a Enter amount for 2011 only			NONE	
b Total for prior years 20 <u>10</u> , 20 <u>20</u> , 20 <u>20</u>		NONE		
3 Excess distributions carryover, if any, to 2012:				
a From 2007	112,374.			
b From 2008	1,294,655.			
c From 2009	1,712,253.			
d From 2010	289,832.			
e From 2011	1,338,632.			
f Total of lines 3a through e	4,747,746.			
4 Qualifying distributions for 2012 from Part XII, line 4: ► \$ <u>1,331,485.</u>				
a Applied to 2011, but not more than line 2a			NONE	
b Applied to undistributed income of prior years (Election required - see instructions)		NONE		
c Treated as distributions out of corpus (Election required - see instructions)	NONE			
d Applied to 2012 distributable amount				388,646.
e Remaining amount distributed out of corpus	942,839.			
5 Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a))	NONE			NONE
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	5,690,585.			
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		NONE		
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			NONE	
f Undistributed income for 2012 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2013				NONE
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)	NONE			
8 Excess distributions carryover from 2007 not applied on line 5 or line 7 (see instructions)	112,374.			
9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a	5,578,211.			
10 Analysis of line 9				
a Excess from 2008	1,294,655.			
b Excess from 2009	1,712,253.			
c Excess from 2010	289,832.			
d Excess from 2011	1,338,632.			
e Excess from 2012	942,839.			

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

NOT APPLICABLE

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 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).)

SEE STATEMENT 13

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

NONE

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

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

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

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

c Any submission deadlines:

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

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year SEE ATTACHED STATEMENT	NONE	N/A	UNRESTRICTED GIFT	1,296,100.
Total			▶ 3a	1,296,100.
b Approved for future payment				
Total			▶ 3b	

		Yes	No
1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?		
a	Transfers from the reporting foundation to a noncharitable exempt organization of:		
	(1) Cash	1a(1)	X
	(2) Other assets	1a(2)	X
b	Other transactions:		
	(1) Sales of assets to a noncharitable exempt organization	1b(1)	X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)	X
	(3) Rental of facilities, equipment, or other assets	1b(3)	X
	(4) Reimbursement arrangements	1b(4)	X
	(5) Loans or loan guarantees	1b(5)	X
	(6) Performance of services or membership or fundraising solicitations	1b(6)	X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c	X
d	If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received		

[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
N/A		

**Sign
Here**

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

Signature of officer or trustee

Date _____

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

JEFFREY E. KUHLIN

Preparer's signature

Jeffrey E. Kuhlman

Date

10/01/2014

Check ☐ if self-employed

PTIN

P00353001

Firm's name ► KPMG LLP

Firm's EIN ► 13-5565207

Firm's address ► 100 WESTMINSTER ST 6TH FL STE A

PROVIDENCE, RI

02903-2321

Phone no 800-770-8444

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

=====

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
DIVIDENDS AND INTEREST	118,304.	113,718.
TOTAL	118,304.	113,718.
	=====	=====

FORM 990PF, PART I - OTHER INCOME

=====

DESCRIPTION -----	REVENUE AND EXPENSES PER BOOKS -----	NET INVESTMENT INCOME -----
PARTNERSHIP INCOME	91,694.	13,795.
	-----	-----
TOTALS	91,694.	13,795.
	=====	=====

FORM 990PF, PART I - OTHER PROFESSIONAL FEES
=====

DESCRIPTION -----	REVENUE AND EXPENSES PER BOOKS -----	NET INVESTMENT INCOME -----
INVESTMENT MGMT-MSSB	6,001.	6,001.
INVESTMENT MGMT-CITIBANK	65,057.	65,057.
	-----	-----
TOTALS	71,058.	71,058.
	=====	=====

FORM 990PF, PART I - TAXES
=====

DESCRIPTION -----	REVENUE AND EXPENSES PER BOOKS -----	NET INVESTMENT INCOME -----
FOREIGN TAXES	838.	1,407.
TOTALS	838.	1,407.
	=====	=====

FORM 990PF, PART I - OTHER EXPENSES
=====

DESCRIPTION -----	REVENUE AND EXPENSES PER BOOKS -----	NET INVESTMENT INCOME -----	CHARITABLE PURPOSES -----
ADR FOREIGN FEES	285.	285.	
NY LAW JOURNAL	135.		135.
NY AG FILING FEE	250.		250.
PARTNERSHIP EXPENSES		11,812.	
	-----	-----	-----
TOTALS	670.	12,097.	385.
	=====	=====	=====

FORM 990PF, PART II - U.S. AND STATE OBLIGATIONS
=====

DESCRIPTION -----	BEGINNING BOOK VALUE -----
----------------------	----------------------------------

SEE ATTACHED STATEMENT

	1,743,226.

TOTALS	1,743,226.
	=====

31-C7B007575005 THE RICHARD AND SUSAN
FORM 990PF, PART II - CORPORATE STOCK
=====

06-1565971

DESCRIPTION

BEGINNING
BOOK VALUE

SEE ATTACHED STATEMENT

1,661,618.

TOTALS

1,661,618.

=====

31-C7B007575005 THE RICHARD AND SUSAN
FORM 990PF, PART II - CORPORATE BONDS
=====

06-1565971

BEGINNING
BOOK VALUE

DESCRIPTION

SEE ATTACHED STATEMENT

237,617.

TOTALS

237,617.

=====

FORM 990PF, PART II - OTHER INVESTMENTS
=====

DESCRIPTION	COST/ FMV C OR F	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
GMAC G STAR	C	750,000.	750,000.	
SEE ATTACHED SCH-CITI	C	2,615,488.	4,476,186.	6,048,305.
SEE ATTACHED SCH-CREDIT SUISSE	C		1,010,010.	1,250,000.
TOTALS		3,365,488.	6,236,196.	7,298,305.
		=====	=====	=====

FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCES
=====DESCRIPTION
-----AMOUNT

ACCRUED MARKET DISCOUNT CODE 224	1.
TC ADJUSTMENT TO CARRYING VALUES	2,676.
TC ADJUSTMENT FOR ASML HOLDINGS	4,018.
TC ADJUSTMENT FOR ALEXION PHARMACETICALS	4,074.
SALES REVERSED ON 2/14/14	30,469.
TC ADJUSTMENT FOR FACTSET RESH	18.
TC ADJUSTMENT FOR QUALCOMM	2.
TC ADJUSTMENT FOR BEG. MORGAN STANLEY VALUE	4,859.
TC ADJUSTMENT FOR ALTERNATIVE FUNDS	63,304.

TOTAL

109,421.
=====

FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCES
=====DESCRIPTION
-----AMOUNT

TC ADJUSMENT FOR ASML HOLDINGS	4,466.
OID INCOME ON USGI	149.
TC ADJUSTMENT FOR ADT	16.
TC ADJUSTMENT FOR SOUTHERN	64.

TOTAL	4,695.
	=====

FORM 990PF, PART VII-A, LINE 14 - BOOKS ARE IN THE CARE OF
=====

NAME: CITIBANK, N.A.

ADDRESS: ONE COURT SQUARE, 19TH FLOOR
LONG ISLAND CITY, NY 11120

TELEPHONE NUMBER: (800) 770-8444

FORM 990PF, PART XV - INFORMATION REGARDING FOUNDATION MANAGERS

=====

RICHARD S. BRADDOCK
SUSAN BRADDOCK
JENNIFER BRADDOCK GERBER

FEDERAL FOOTNOTES

=====

NOTICE 2006-16 ACKNOWLEDGEMENT : PLEASE BE ADVISED THAT SOLELY AS A RESULT OF ITS DIRECT (AND/OR INDIRECT) INVESTMENTS IN THE FOLLOWING PARTNERSHIP(S), HEDGE FORUM ARTHA EMERGING MARKETS , LLC (THE "FUND") WOULD BE CONSIDERED TO HAVE PARTICIPATED IN ONE OR MORE TRANSACTIONS THAT MAY BE CONSIDERED THE SAME AS OR SUBSTANTIALLY SIMILAR TO THE TRANSACTION DESCRIBED IN NOTICE 2002 - 35 . THE PARTNERSHIPS HAVE ADVISED US THAT THEY EITHER HAVE OR WILL COMPLY WITH THE FEDERAL DISCLOSURE REQUIREMENTS DESCRIBED IN REG . SEC. 1.6011- 4 RELATED TO THESE TRANSACTIONS AS WELL AS ANY RELATED STATE DISCLOSURE OBLIGATIONS. BASED ON THAT REPRESENTATION AND EXCEPT FOR ITS INVESTMENT IN THE PARTNERSHIP(S) LISTED BELOW, THE FUND HAS NOT OTHERWISE PARTICIPATED IN SUCH TRANSACTIONS . THEREFORE , PURSUANT TO NOTICE 2006 - 16 , THE FUND IS NOT REQUIRED TO FILE A DISCLOSURE STATEMENT WITH RESPECT TO THIS TRANSACTION . PLEASE CONSULT YOUR TAX ADVISOR. ARTHA MASTER FUND, LTD (EIN:66-0610887) .

**SCHEDULE D
(Form 1041)**

Department of the Treasury
Internal Revenue Service

Capital Gains and Losses

► Attach to Form 1041, Form 5227, or Form 990-T.

► Information about Schedule D (Form 1041) and its separate instructions is at
www.irs.gov/form1041.

OMB No 1545-0092

2012

Name of estate or trust

Employer identification number

31-C7B007575005 THE RICHARD AND SUSAN

06-1565971

Note: Form 5227 filers need to complete **only** Parts I and II.

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 shares 7% preferred of "Z" Co)	(b) Date acquired (mo , day, yr)	(c) Date sold (mo , day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) for the entire year Subtract (e) from (d)
1a					

b Enter the short-term gain or (loss), if any, from Schedule D-1, line 1b	1b	47,047.
2 Short-term capital gain or (loss) from Forms 4684, 6252, 6781, and 8824	2	
3 Net short-term gain or (loss) from partnerships, S corporations, and other estates or trusts	3	
4 Short-term capital loss carryover. Enter the amount, if any, from line 9 of the 2011 Capital Loss Carryover Worksheet	4	()
5 Net short-term gain or (loss). Combine lines 1a through 4 in column (f). Enter here and on line 13, column (3) on the back ►	5	47,047.

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

(a) Description of property (Example 100 shares 7% preferred of "Z" Co)	(b) Date acquired (mo , day, yr)	(c) Date sold (mo , day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) for the entire year Subtract (e) from (d)
6a LONG-TERM CAPITAL GAIN DIVIDENDS					10,404.

b Enter the long-term gain or (loss), if any, from Schedule D-1, line 6b	6b	394,365.
7 Long-term capital gain or (loss) from Forms 2439, 4684, 6252, 6781, and 8824	7	
8 Net long-term gain or (loss) from partnerships, S corporations, and other estates or trusts	8	
9 Capital gain distributions	9	63.
10 Gain from Form 4797, Part I	10	
11 Long-term capital loss carryover. Enter the amount, if any, from line 14 of the 2011 Capital Loss Carryover Worksheet	11	()
12 Net long-term gain or (loss). Combine lines 6a through 11 in column (f). Enter here and on line 14a, column (3) on the back ►	12	404,832.

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D (Form 1041) 2012

Part III Summary of Parts I and II**Caution:** Read the instructions before completing this part.

		(1) Beneficiaries' (see instr)	(2) Estate's or trust's	(3) Total
13	Net short-term gain or (loss)	13		47,047.
14	Net long-term gain or (loss):			
a	Total for year	14a		404,832.
b	Unrecaptured section 1250 gain (see line 18 of the wrksht.)	14b		63.
c	28% rate gain	14c		
15	Total net gain or (loss). Combine lines 13 and 14 ▶	15		451,879.

Note: If line 15, column (3), is a net gain, enter the gain on Form 1041, line 4 (or Form 990-T, Part I, line 4a). If lines 14a and 15, column (2), are net gains, go to Part V, and **do not** complete Part IV. If line 15, column (3), is a net loss, complete Part IV and the **Capital Loss Carryover Worksheet**, as necessary.

Part IV Capital Loss Limitation

16	Enter here and enter as a (loss) on Form 1041, line 4 (or Form 990-T, Part I, line 4c, if a trust), the smaller of: a The loss on line 15, column (3) or b \$3,000	16	()
-----------	--	-----------	-----

Note: If the loss on line 15, column (3), is more than \$3,000, or if Form 1041, page 1, line 22 (or Form 990-T, line 34), is a loss, complete the **Capital Loss Carryover Worksheet** in the instructions to figure your capital loss carryover.

Part V Tax Computation Using Maximum Capital Gains Rates

Form 1041 filers. Complete this part **only** if both lines 14a and 15 in column (2) are gains, or an amount is entered in Part I or Part II and there is an entry on Form 1041, line 2b(2), and Form 1041, line 22, is more than zero.

Caution: Skip this part and complete the **Schedule D Tax Worksheet** in the instructions if:

- Either line 14b, col. (2) or line 14c, col. (2) is more than zero, or
- Both Form 1041, line 2b(1), and Form 4952, line 4g are more than zero.

Form 990-T trusts. Complete this part **only** if both lines 14a and 15 are gains, or qualified dividends are included in income in Part I of Form 990-T, and Form 990-T, line 34, is more than zero. Skip this part and complete the **Schedule D Tax Worksheet** in the instructions if either line 14b, col. (2) or line 14c, col. (2) is more than zero.

17	Enter taxable income from Form 1041, line 22 (or Form 990-T, line 34)	17	
18	Enter the smaller of line 14a or 15 in column (2) but not less than zero	18	
19	Enter the estate's or trust's qualified dividends from Form 1041, line 2b(2) (or enter the qualified dividends included in income in Part I of Form 990-T)	19	
20	Add lines 18 and 19	20	
21	If the estate or trust is filing Form 4952, enter the amount from line 4g; otherwise, enter -0- . . . ▶	21	
22	Subtract line 21 from line 20. If zero or less, enter -0-	22	
23	Subtract line 22 from line 17. If zero or less, enter -0-	23	
24	Enter the smaller of the amount on line 17 or \$2,400	24	
25	Is the amount on line 23 equal to or more than the amount on line 24? ☐ Yes. Skip lines 25 and 26; go to line 27 and check the "No" box. ☐ No. Enter the amount from line 23	25	
26	Subtract line 25 from line 24	26	
27	Are the amounts on lines 22 and 26 the same? ☐ Yes. Skip lines 27 thru 30, go to line 31 ☐ No. Enter the smaller of line 17 or line 22	27	
28	Enter the amount from line 26 (If line 26 is blank, enter -0-)	28	
29	Subtract line 28 from line 27	29	
30	Multiply line 29 by 15% (.15)	30	
31	Figure the tax on the amount on line 23. Use the 2012 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041)	31	
32	Add lines 30 and 31	32	
33	Figure the tax on the amount on line 17. Use the 2012 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041)	33	
34	Tax on all taxable income. Enter the smaller of line 32 or line 33 here and on Form 1041, Schedule G, line 1a (or Form 990-T, line 36)	34	

Schedule D (Form 1041) 2012

SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D
(Form 1041)

OMB No 1545-0092

2012

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

▶ Information about Schedule D (Form 1041) and its separate instructions is at www.irs.gov/form1041

Name of estate or trust

31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number

06-1565971

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 81. THE ADT CORPORATION	11/28/2012	04/02/2013	3,769.00	3,518.00	251.00
24. THE ADT CORPORATION	12/27/2012	11/20/2013	1,049.00	1,105.00	-56.00
16. AFLAC INC	09/21/2012	03/11/2013	418.00	396.00	22.00
67. AIA GROUP LTD	07/30/2013	11/19/2013	1,373.00	1,199.00	174.00
172. ABBOTT LABS	10/18/2013	11/20/2013	6,550.00	6,196.00	354.00
48. ABERCROMBIE & FITCH CO	10/18/2013	11/07/2013	1,598.00	2,261.00	-663.00
1. ACXIOM CORPORATION	06/10/2013	06/13/2013	23.00	22.00	1.00
23. ACXIOM CORPORATION	07/01/2013	10/22/2013	741.00	532.00	209.00
16. ACXIOM CORPORATION	06/10/2013	10/30/2013	527.00	352.00	175.00
4. ACXIOM CORPORATION	05/16/2013	10/31/2013	134.00	82.00	52.00
5. ACXIOM CORPORATION	04/10/2013	11/01/2013	166.00	101.00	65.00
10. ACXIOM CORPORATION	04/03/2013	11/04/2013	331.00	199.00	132.00
13. ACXIOM CORPORATION	04/03/2013	11/05/2013	436.00	259.00	177.00
1. AEGON N V PFD 6.5%	04/10/2012	03/11/2013	25.00	23.00	2.00
14. AEGON N V PFD 6.5%	04/10/2012	04/09/2013	352.00	327.00	25.00
60. AEGON N V 8.00%	04/12/2012	03/11/2013	1,716.00	1,563.00	153.00
10. AFFILIATED MANAGERS GR	01/17/2013	03/11/2013	255.00	253.00	2.00
12. AFFILIATED MANAGERS GR	09/12/2012	03/11/2013	312.00	308.00	4.00
69. AGRUM INC	02/22/2013	04/02/2013	6,563.00	7,561.00	-998.00
11. AIRGAS INC	08/07/2012	03/11/2013	1,123.00	909.00	214.00
9. AIRGAS INC	10/08/2013	11/19/2013	983.00	955.00	28.00
16. ALEXANDRIA REAL ESTATE	03/16/2012	03/11/2013	427.00	394.00	33.00
14. ALLEGHENY TECHNOLOGIES	11/06/2013	11/20/2013	471.00	472.00	-1.00
10. ALLERGAN INC	10/17/2012	01/15/2013	1,042.00	953.00	89.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b

For Paperwork Reduction Act Notice, see the Instructions for Form 1041

Schedule D-1 (Form 1041) 2012

SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D
(Form 1041)

OMB No 1545-0092

2012

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

▶ Information about Schedule D (Form 1041) and its separate instructions is at www.irs.gov/form1041

Name of estate or trust

31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number

06-1565971

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 3. ALLERGAN INC	04/02/2013	10/18/2013	271.00	344.00	-73.00
61. ALLERGAN INC	04/02/2013	11/20/2013	6,003.00	6,992.00	-989.00
389.711 ALLIANZ GL INV FXD	04/02/2013	06/13/2013	5,125.00	5,265.00	-140.00
1749.08 ALLIANZ GL INV FXD	11/08/2013	11/20/2013	19,013.00	18,779.00	234.00
7. ALLSTATE CORP	01/16/2013	03/11/2013	182.00	177.00	5.00
13. AMADEUS IT HLDG S A	07/31/2013	11/19/2013	479.00	441.00	38.00
25. AMAZON COM INC	03/09/2012	01/07/2013	6,738.00	4,624.00	2,114.00
5. AMAZON COM INC	06/06/2012	02/05/2013	1,324.00	1,073.00	251.00
3. AMERICAN EXPRESS CO	01/17/2013	06/25/2013	220.00	182.00	38.00
3. AMERICAN EXPRESS CO	01/17/2013	10/17/2013	238.00	182.00	56.00
14. AMERICAN FINANCIAL GRO	06/11/2012	03/11/2013	368.00	347.00	21.00
9. AMERICAN FINL GROUP	08/23/2012	03/11/2013	232.00	226.00	6.00
26. AMERICAN INTL GROUP IN	10/09/2012	03/07/2013	1,016.00	921.00	95.00
177. AMERICAN INTL GROUP I	10/09/2012	04/02/2013	6,909.00	6,168.00	741.00
2. AMPHENOL CORP NEW	01/07/2013	05/02/2013	152.00	134.00	18.00
7. AMPHENOL CORP NEW	01/07/2013	05/03/2013	539.00	469.00	70.00
4. AMPHENOL CORP NEW	01/07/2013	05/06/2013	309.00	268.00	41.00
16. ANGIES LIST INC	06/13/2013	07/24/2013	424.00	409.00	15.00
33. ANGIES LIST INC	08/12/2013	10/08/2013	503.00	822.00	-319.00
39. ANGIES LIST INC	08/22/2013	10/10/2013	585.00	847.00	-262.00
80. ANHEUSER BUSCH INBEV S	10/15/2012	04/02/2013	8,028.00	6,780.00	1,248.00
8. ANHEUSER BUSCH INBEV SA	10/24/2013	11/19/2013	837.00	825.00	12.00
11. ANSYS INC COM	04/03/2013	06/13/2013	813.00	873.00	-60.00
2. ANSYS INC COM	04/03/2013	06/19/2013	152.00	159.00	-7.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2012

JSA
2F1221 2 000

DNX201 5880 10/01/2014 15:04:58

31-C7B007575005

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**SCHEDULE D-1
(Form 1041)**

Department of the Treasury
Internal Revenue Service

**Continuation Sheet for Schedule D
(Form 1041)**

OMB No 1545-0092

2012

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

▶ Information about Schedule D (Form 1041) and its separate instructions is at www.irs.gov/form1041

Name of estate or trust

31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number

06-1565971

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 4. ANSYS INC COM	04/03/2013	07/24/2013	320.00	317.00	3.00
1. ANSYS INC COM	01/07/2013	09/10/2013	88.00	70.00	18.00
1. ANSYS INC COM	01/07/2013	09/11/2013	88.00	70.00	18.00
1. ANSYS INC COM	01/07/2013	09/12/2013	88.00	70.00	18.00
1. ANSYS INC COM	01/07/2013	09/18/2013	87.00	70.00	17.00
1. ANSYS INC COM	01/07/2013	10/29/2013	88.00	70.00	18.00
3. ANSYS INC COM	01/07/2013	10/30/2013	264.00	211.00	53.00
1. APPLE COMPUTER INC	01/23/2013	10/07/2013	491.00	509.00	-18.00
1. APPLE COMPUTER INC	01/22/2013	10/08/2013	485.00	501.00	-16.00
9. APPLIED MATERIALS INC	08/16/2013	09/24/2013	153.00	141.00	12.00
39. APPLIED MATERIALS INC	08/16/2013	11/20/2013	659.00	601.00	58.00
29. ARTISAN PARTNERS ASSET	05/07/2013	05/14/2013	1,340.00	1,131.00	209.00
10. ARTISAN PARTNERS ASSET	04/24/2013	05/15/2013	469.00	376.00	93.00
55. ARTISAN PARTNERS ASSET	04/24/2013	06/13/2013	2,950.00	2,065.00	885.00
35. ATHENAHEALTH INC	03/14/2012	01/07/2013	2,738.00	2,625.00	113.00
91. AUTOMATIC DATA PROCESS	03/07/2013	04/02/2013	5,942.00	5,730.00	212.00
2. AUTOMATIC DATA PROCESS	09/10/2013	10/18/2013	148.00	148.00	
35. AUTOMATIC DATA PROCESS	09/10/2013	11/20/2013	2,778.00	2,589.00	189.00
19. BB&T CORP	05/01/2012	03/11/2013	497.00	475.00	22.00
60. BB&T CORP 5.625% USD25	09/11/2012	03/11/2013	1,537.00	1,523.00	14.00
6. ADR BAIDU INC REG	11/02/2012	10/30/2013	993.00	872.00	121.00
2. ADR BAIDU INC REG	11/28/2012	11/19/2013	327.00	267.00	60.00
41. BANCO BILBAO VIZCAYA A	10/21/2013	11/19/2013	464.00	523.00	-59.00
1. BK OF AMERICA CORP DEP REP1/1200	04/12/2012	03/11/2013	25.00	24.00	1.00

1b Total. Combine the amounts in column (f) Enter here and on Schedule D, line 1b

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2012

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**SCHEDULE D-1
(Form 1041)**

Department of the Treasury
Internal Revenue Service

**Continuation Sheet for Schedule D
(Form 1041)**

OMB No 1545-0092

2012

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

▶ Information about Schedule D (Form 1041) and its separate instructions is at www.irs.gov/form1041

Name of estate or trust

31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number

06-1565971

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 70. BANK NEW YORK MELLON C	01/14/2013	03/11/2013	1,754.00	1,760.00	-6.00
24. BERRY PLASTICS GROUP I	04/03/2013	06/13/2013	554.00	456.00	98.00
16. BERRY PLASTICS GROUP I	07/18/2013	09/13/2013	392.00	357.00	35.00
80. BIOMARIN PHARMACEUTICA	11/01/2012	01/07/2013	4,169.00	2,961.00	1,208.00
5. BLUE NILE INC	04/03/2013	04/11/2013	167.00	166.00	1.00
17. BLUE NILE INC	04/03/2013	04/12/2013	569.00	565.00	4.00
7. BLUE NILE INC	04/03/2013	04/15/2013	217.00	232.00	-15.00
31. BLUE NILE INC	04/03/2013	04/18/2013	986.00	1,030.00	-44.00
26. BLUE NILE INC	04/03/2013	04/22/2013	808.00	863.00	-55.00
26. BLUE NILE INC	04/03/2013	04/23/2013	826.00	863.00	-37.00
23. BOEING CO	01/10/2013	04/02/2013	1,937.00	1,768.00	169.00
58. BRISTOL MYERS SQUIBB C	09/24/2012	01/08/2013	1,946.00	1,927.00	19.00
164. BRISTOL MYERS SQUIBB	08/28/2012	04/02/2013	6,842.00	5,415.00	1,427.00
16. BURBERRY GROUP PLC	11/29/2012	09/13/2013	815.00	667.00	148.00
12. BURBERRY GROUP PLC	10/17/2013	11/19/2013	571.00	581.00	-10.00 *
16. CBRE GROUP INC	04/03/2013	04/18/2013	376.00	383.00	-7.00
43. CBRE GROUP INC	05/07/2013	05/14/2013	1,049.00	1,032.00	17.00
52. CBRE GROUP INC	04/03/2013	05/15/2013	1,295.00	1,246.00	49.00
9. CBRE GROUP INC	04/03/2013	05/16/2013	226.00	216.00	10.00
105. CBRE GROUP INC	04/03/2013	06/13/2013	2,398.00	2,516.00	-118.00
39. C H ROBINSON WORLDWIDE	10/18/2013	11/20/2013	2,260.00	2,291.00	-31.00
2. CIGNA CORP	04/18/2013	06/25/2013	142.00	128.00	14.00
9. CIGNA CORP	08/08/2013	11/20/2013	771.00	663.00	108.00
19. CME GROUP INC	06/28/2013	11/07/2013	1,427.00	1,459.00	-32.00

1b Total. Combine the amounts in column (f) Enter here and on Schedule D, line 1b

For Paperwork Reduction Act Notice, see the Instructions for Form 1041

Schedule D-1 (Form 1041) 2012

**SCHEDULE D-1
(Form 1041)**

Department of the Treasury
Internal Revenue Service

**Continuation Sheet for Schedule D
(Form 1041)**

OMB No 1545-0092

2012

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

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Name of estate or trust

31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number

06-1565971

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 20. CME GROUP INC	07/24/2013	11/08/2013	1,517.00	1,517.00	
3. CNOOC LTD SPND ADR 00	12/06/2012	05/21/2013	556.00	713.00	-157.00
20. CA, INC	09/12/2012	12/20/2012	452.00	528.00	-76.00
59. CAMERON INTL CORP	01/31/2013	04/02/2013	3,811.00	3,500.00	311.00
6. CANADIAN NATL RAILWAY C	12/06/2012	11/19/2013	667.00	538.00	129.00
83. CAPITAL ONE FINANCIAL	10/19/2012	03/11/2013	2,086.00	2,080.00	6.00
6. CARBO CERAMICS INC	04/03/2013	06/13/2013	401.00	522.00	-121.00
2. CARBO CERAMICS INC	04/03/2013	06/21/2013	132.00	174.00	-42.00
10. CARBO CERAMICS INC	04/03/2013	07/24/2013	723.00	871.00	-148.00
2. CARBO CERAMICS INC	04/03/2013	11/05/2013	247.00	174.00	73.00
16. CARMAX INC	04/03/2013	04/11/2013	718.00	661.00	57.00
85. CERNER CORP 00	09/26/2012	01/07/2013	7,049.00	6,386.00	663.00
9. CERNER CORP 00	04/30/2012	01/14/2013	737.00	713.00	24.00
14. CHINA MOBILE HONG KONG ADR	09/06/2013	11/19/2013	742.00	777.00	-35.00
18. CHIPOTLE MEXICAN GRILL	11/15/2012	01/07/2013	5,387.00	4,664.00	723.00
5. CHIPOTLE MEXICAN GRILL	01/16/2013	03/13/2013	1,604.00	1,407.00	197.00
14. CHIPOTLE MEXICAN GRILL	01/16/2013	04/02/2013	4,516.00	3,939.00	577.00
46. CISCO SYS INC	10/16/2013	11/20/2013	983.00	971.00	12.00
14. CITRIX SYS INC	01/07/2013	10/09/2013	936.00	954.00	-18.00
30. CITRIX SYS INC	01/07/2013	10/10/2013	1,766.00	2,044.00	-278.00
11. CITRIX SYS INC	01/07/2013	10/11/2013	651.00	750.00	-99.00
15. CITRIX SYS INC	01/07/2013	10/14/2013	880.00	1,022.00	-142.00
13. CITRIX SYS INC	05/30/2013	10/15/2013	754.00	834.00	-80.00
39. CLARCOR INC	05/02/2012	03/11/2013	2,066.00	1,888.00	178.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2012

**SCHEDULE D-1
(Form 1041)**

Department of the Treasury
Internal Revenue Service

**Continuation Sheet for Schedule D
(Form 1041)**

OMB No 1545-0092

2012

► Attach to Schedule D to list additional transactions for lines 1a and 6a
► Information about Schedule D (Form 1041) and its separate instructions is at www.irs.gov/form1041

Name of estate or trust

31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number

06-1565971

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 3. CLIFFS NATURAL RESOURCE	02/16/2012	12/04/2012	87.00	206.00	-119.00
8. CLIFFS NATURAL RESOURCE	10/25/2012	12/17/2012	272.00	351.00	-79.00
10. CLIFFS NATURAL RESOURCE	10/25/2012	12/19/2012	362.00	385.00	-23.00
4. COACH INC	06/29/2012	02/01/2013	202.00	233.00	-31.00
19. COACH INC	06/29/2012	02/01/2013	948.00	1,109.00	-161.00
14. COACH INC	06/29/2012	02/04/2013	682.00	817.00	-135.00
4. COACH INC	06/29/2012	02/05/2013	196.00	233.00	-37.00
7. COACH INC	06/29/2012	02/06/2013	342.00	408.00	-66.00
12. COACH INC	06/29/2012	02/14/2013	579.00	700.00	-121.00
8. COACH INC	06/29/2012	02/15/2013	388.00	467.00	-79.00
15. COACH INC	01/07/2013	02/21/2013	712.00	867.00	-155.00
6. COACH INC	01/07/2013	02/22/2013	281.00	334.00	-53.00
3. COACH INC	01/07/2013	02/25/2013	141.00	167.00	-26.00
6. COACH INC	01/07/2013	02/26/2013	279.00	334.00	-55.00
10. COACH INC	01/07/2013	02/27/2013	481.00	556.00	-75.00
22. COCA COLA COMPANY	06/26/2012	04/02/2013	893.00	825.00	68.00
6. COGNIZANT TECHNOLOGY SO	01/07/2013	01/22/2013	467.00	454.00	13.00
2. COGNIZANT TECHNOLOGY SO	01/07/2013	01/22/2013	156.00	151.00	5.00
2. COGNIZANT TECHNOLOGY SO	01/07/2013	01/23/2013	156.00	151.00	5.00
6. COGNIZANT TECHNOLOGY SO	01/07/2013	01/23/2013	466.00	454.00	12.00
172. COGNIZANT TECHNOLOGY CORP	04/02/2013	04/23/2013	11,249.00	13,166.00	-1,917.00
13. COGNIZANT TECHNOLOGY S CORP	01/07/2013	04/25/2013	810.00	983.00	-173.00
1. COGNIZANT TECHNOLOGY SO	01/07/2013	05/10/2013	65.00	76.00	-11.00
173. COGNIZANT TECHNOLOGY CORP	04/02/2013	05/13/2013	11,109.00	13,243.00	-2,134.00

1b Total. Combine the amounts in column (f) Enter here and on Schedule D, line 1b

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Schedule D-1 (Form 1041) 2012

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SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D
(Form 1041)

OMB No 1545-0092

2012

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a

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Name of estate or trust

31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number

06-1565971

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 5. COGNIZANT TECHNOLOGY SO	01/07/2013	05/13/2013	317.00	378.00	-61.00
5. COGNIZANT TECHNOLOGY SO	01/07/2013	05/14/2013	313.00	378.00	-65.00
11. COGNIZANT TECHNOLOGY S CORP	01/07/2013	05/15/2013	701.00	832.00	-131.00
16. COMCAST CORP NEW CL A	08/08/2013	11/20/2013	754.00	713.00	41.00
16. COMCAST CORP NEW	12/06/2012	03/11/2013	404.00	404.00	
1. COMMONWEALTH REIT	04/12/2012	03/11/2013	26.00	26.00	
15. COMMONWEALTH REIT	07/23/2012	03/11/2013	360.00	363.00	-3.00
14. COMMONWEALTH REIT	07/23/2012	06/27/2013	309.00	338.00	-29.00
12. COMMONWEALTH REIT	07/23/2012	07/02/2013	266.00	290.00	-24.00
64. COMPASS GROUP PLC SPND	07/05/2013	11/19/2013	939.00	849.00	90.00
34. COPART INC	10/08/2013	11/19/2013	1,108.00	1,088.00	20.00
70. CORNING INC	07/30/2013	11/20/2013	1,192.00	1,030.00	162.00
4. COSTAR GROUP INC	06/13/2013	07/23/2013	548.00	436.00	112.00
3. COSTAR GROUP INC	04/03/2013	10/24/2013	525.00	321.00	204.00
4. COSTAR GROUP INC	04/03/2013	10/24/2013	679.00	428.00	251.00
2. COSTAR GROUP INC	04/03/2013	10/29/2013	362.00	214.00	148.00
32. COUNTRYWIDE CAPITAL V	09/13/2012	02/19/2013	805.00	804.00	1.00
1. COVANCE INC	01/07/2013	02/20/2013	68.00	60.00	8.00
1. COVANCE INC	01/07/2013	02/21/2013	67.00	60.00	7.00
1. COVANCE INC	01/07/2013	02/22/2013	67.00	60.00	7.00
2. COVANCE INC	01/07/2013	02/25/2013	133.00	119.00	14.00
1. COVANCE INC	01/07/2013	02/26/2013	66.00	60.00	6.00
5. COVANCE INC	01/07/2013	03/01/2013	332.00	298.00	34.00
3. COVANCE INC	01/07/2013	03/01/2013	200.00	179.00	21.00

1b Total. Combine the amounts in column (f) Enter here and on Schedule D, line 1b

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Schedule D-1 (Form 1041) 2012

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SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D
(Form 1041)

OMB No 1545-0092

2012

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

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Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 1. COVANCE INC	01/07/2013	03/04/2013	67.00	60.00	7.00
1. COVANCE INC	01/07/2013	03/04/2013	67.00	60.00	7.00
1. COVANCE INC	01/07/2013	03/05/2013	68.00	60.00	8.00
1. COVANCE INC	01/07/2013	03/05/2013	68.00	60.00	8.00
1. COVANCE INC	01/07/2013	03/06/2013	68.00	60.00	8.00
1. COVANCE INC	01/07/2013	03/06/2013	67.00	60.00	7.00
1. COVANCE INC	01/07/2013	07/15/2013	79.00	60.00	19.00
2. COVANCE INC	01/07/2013	07/17/2013	158.00	119.00	39.00
17. CROWN CASTLE INTL CORP	05/01/2012	01/18/2013	1,260.00	963.00	297.00
126. CROWN CASTLE INTL COR	02/22/2013	04/02/2013	8,897.00	7,361.00	1,536.00
9. DTE ENERGY CO. 5.25%	09/26/2012	03/11/2013	229.00	225.00	4.00
4. DANA HLDG CORP	04/18/2013	11/20/2013	76.00	63.00	13.00
39. DANAHER CORP	05/09/2012	04/02/2013	2,405.00	2,114.00	291.00
3. DASSAULT SYS S A SPD AD	01/29/2013	10/15/2013	337.00	340.00	-3.00
7. DASSAULT SYS S A SPD AD	01/29/2013	10/16/2013	782.00	793.00	-11.00
2. DAVITA INC	03/04/2013	04/19/2013	245.00	241.00	4.00
2. DAVITA INC	03/01/2013	04/22/2013	245.00	240.00	5.00
16. DIGITAL RLTY TR INC	04/04/2012	03/11/2013	424.00	398.00	26.00
66. DISCOVERY COMMUNICATNS	06/26/2012	04/02/2013	5,191.00	3,491.00	1,700.00
9. DISCOVERY COMMUNICATNS	04/03/2013	04/16/2013	643.00	628.00	15.00
4. DISCOVERY COMMUNICATNS	05/07/2013	07/15/2013	307.00	280.00	27.00
5. DISCOVERY COMMUNICATNS	07/31/2013	09/12/2013	361.00	361.00	
28. DONALDSON INC	10/01/2013	11/19/2013	1,103.00	1,063.00	40.00
5. DONALDSON INC	04/17/2013	11/27/2013	210.00	174.00	36.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b

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Schedule D-1 (Form 1041) 2012

SCHEDULE D-1
(Form 1041)

Continuation Sheet for Schedule D
(Form 1041)

OMB No 1545-0092

2012

Department of the Treasury
Internal Revenue Service

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.
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(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 1. DUKE REALTY CORP	04/12/2012	01/18/2013	25.00	26.00	-1.00
27. DUKE ENERGY CORP NEW	01/16/2013	03/11/2013	679.00	679.00	
112. E M C CORP MASS	08/10/2012	04/02/2013	2,666.00	2,965.00	-299.00
23. EOG RESOURCES INC	11/16/2012	02/22/2013	2,868.00	2,690.00	178.00
4. EBAY INC	07/18/2013	10/18/2013	204.00	214.00	-10.00
95. EBAY INC	07/22/2013	11/20/2013	4,789.00	5,064.00	-275.00
98. EDWARDS LIFESCIENCES C	02/19/2013	04/02/2013	8,159.00	8,624.00	-465.00
28. EDWARDS LIFESCIENCES C	04/03/2013	04/24/2013	1,797.00	2,338.00	-541.00
52. ELEKTA AB	12/12/2012	07/24/2013	904.00	818.00	86.00
26. ELEKTA AB	12/12/2012	07/25/2013	445.00	408.00	37.00
9. ELEKTA AB	12/11/2012	07/26/2013	153.00	141.00	12.00
17. ELEKTA AB	12/11/2012	07/29/2013	290.00	260.00	30.00
15. ELEKTA AB	12/07/2012	10/30/2013	224.00	229.00	-5.00
56. ELEKTA AB	12/10/2012	10/31/2013	827.00	854.00	-27.00
8. ELEKTA AB	12/10/2012	11/01/2013	117.00	122.00	-5.00
32. ELEKTA AB	12/10/2012	11/04/2013	466.00	487.00	-21.00
4. ELEKTA AB	01/30/2013	11/05/2013	58.00	61.00	-3.00
118. ELEKTA AB	03/07/2013	11/06/2013	1,707.00	1,776.00	-69.00
21. ELEKTA AB	03/07/2013	11/07/2013	306.00	307.00	-1.00
10. ENTERGY ARK INC	02/28/2013	03/11/2013	250.00	252.00	-2.00
2. ENTERGY ARK INC	04/12/2012	03/11/2013	54.00	55.00	-1.00
8. EQUINIX INC	05/07/2013	06/07/2013	1,530.00	1,723.00	-193.00
5. EXONE CO	06/13/2013	06/21/2013	253.00	261.00	-8.00
6. EXONE CO	06/13/2013	06/26/2013	333.00	313.00	20.00

1b Total. Combine the amounts in column (f) Enter here and on Schedule D, line 1b

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2012

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**SCHEDULE D-1
(Form 1041)**

**Continuation Sheet for Schedule D
(Form 1041)**

OMB No 1545-0092

2012

Department of the Treasury
Internal Revenue Service

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.
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Name of estate or trust

31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number

06-1565971

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 4. EXONE CO	06/13/2013	06/27/2013	235.00	209.00	26.00
3. EXONE CO	06/13/2013	06/28/2013	192.00	157.00	35.00
4. EXONE CO	06/13/2013	06/28/2013	248.00	209.00	39.00
1. EXONE CO	06/13/2013	06/28/2013	64.00	52.00	12.00
1. EXONE CO	06/13/2013	07/08/2013	69.00	52.00	17.00
3. EXONE CO	06/13/2013	07/09/2013	219.00	157.00	62.00
1. EXONE CO	06/13/2013	07/17/2013	62.00	52.00	10.00
3. EXONE CO	06/13/2013	07/17/2013	179.00	157.00	22.00
1. EXONE CO	06/13/2013	07/17/2013	62.00	52.00	10.00
3. EXONE CO	06/13/2013	07/22/2013	196.00	157.00	39.00
3. EXONE CO	06/13/2013	07/23/2013	190.00	157.00	33.00
3. EXONE CO	06/13/2013	08/12/2013	210.00	157.00	53.00
39. EXONE CO	06/13/2013	08/16/2013	2,591.00	2,038.00	553.00
62. EXPRESS SCRIPTS INC	11/06/2012	04/02/2013	3,621.00	3,725.00	-104.00
6. EXPRESS SCRIPTS INC	01/07/2013	04/19/2013	332.00	327.00	5.00
10. EXPRESS SCRIPTS INC	01/07/2013	07/09/2013	640.00	544.00	96.00
8. FMC TECHNOLOGIES INC	01/07/2013	04/16/2013	398.00	349.00	49.00
155. FACEBOOK INC CL A	07/31/2012	01/07/2013	4,597.00	4,266.00	331.00
78. FACEBOOK INC CL A	11/19/2012	04/02/2013	1,976.00	2,898.00	-922.00
9. FACEBOOK INC CL A	07/30/2013	10/18/2013	488.00	321.00	167.00
47. FACEBOOK INC CL A	07/30/2013	11/20/2013	2,193.00	1,676.00	517.00
44. FACTSET RESH SYS INC	04/02/2013	04/03/2013	3,993.00	4,033.00	-40.00
5. FACTSET RESH SYS INC	04/03/2013	04/16/2013	455.00	455.00	
3. FACTSET RESH SYS INC	04/03/2013	04/18/2013	270.00	273.00	-3.00

1b Total. Combine the amounts in column (f) Enter here and on Schedule D, line 1b

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Schedule D-1 (Form 1041) 2012

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SCHEDULE D-1
(Form 1041)

Continuation Sheet for Schedule D
(Form 1041)

OMB No 1545-0092

2012

Department of the Treasury
Internal Revenue Service

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1a 3. FACTSET RESH SYS INC	04/03/2013	06/17/2013	312.00	273.00	39.00
1. FACTSET RESH SYS INC	04/02/2013	10/18/2013	110.00	92.00	18.00
31. FACTSET RESH SYS INC	04/02/2013	11/20/2013	3,498.00	2,859.00	639.00
1. FAMILY DLR STORES INC	05/09/2012	04/02/2013	58.00	68.00	-10.00
8. FASTENAL CO	04/02/2013	10/18/2013	392.00	398.00	-6.00
34. FASTENAL CO	04/02/2013	11/20/2013	1,580.00	1,690.00	-110.00
9009.58 FNMA POOL #AJ4052 10/01/41	04/23/2012	12/07/2012	9,652.00	9,540.00	112.00
435.46 FNMA POOL #AJ4052 10/01/41	04/23/2012	12/25/2012	435.00	461.00	-26.00
22.58 FNMA POOL #AK9445 03/01/42	03/13/2013	04/25/2013	23.00	24.00	-1.00
23.63 FNMA POOL #AK9445 03/01/42	03/13/2013	05/25/2013	24.00	25.00	-1.00
21.81 FNMA POOL #AK9445 03/01/42	03/13/2013	06/25/2013	22.00	23.00	-1.00
19.66 FNMA POOL #AK9445 03/01/42	03/13/2013	07/25/2013	20.00	21.00	-1.00
9.58 FNMA POOL #AK9445 03/01/42	03/13/2013	08/25/2013	10.00	10.00	
7.01 FNMA POOL #AK9445 03/01/42	03/13/2013	09/25/2013	7.00	7.00	
6.55 FNMA POOL #AK9445 03/01/42	03/13/2013	10/25/2013	7.00	7.00	
8.21 FNMA POOL #AK9445 03/01/42	03/13/2013	11/25/2013	8.00	9.00	-1.00
525.84 FNMA POOL #AL0069 11/01/40	04/12/2013	05/25/2013	526.00	570.00	-44.00
386.12 FNMA POOL #AL0069 11/01/40	04/12/2013	06/25/2013	386.00	419.00	-33.00
344.07 FNMA POOL #AL0069 11/01/40	04/12/2013	07/25/2013	344.00	373.00	-29.00
7542.49 FNMA POOL #AL0069 11/01/40	04/12/2013	08/20/2013	8,086.00	8,179.00	-93.00
438.58 FNMA POOL #AL0069 11/01/40	04/12/2013	08/25/2013	439.00	476.00	-37.00
512.37 FNMA POOL #AL0527 2/01/38	03/18/2013	04/25/2013	512.00	555.00	-43.00
535.27 FNMA POOL #AL0527 2/01/38	03/18/2013	05/25/2013	535.00	580.00	-45.00
500.43 FNMA POOL #AL0527 2/01/38	03/18/2013	06/25/2013	500.00	542.00	-42.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b

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Schedule D-1 (Form 1041) 2012

**SCHEDULE D-1
(Form 1041)**

Department of the Treasury
Internal Revenue Service

**Continuation Sheet for Schedule D
(Form 1041)**

OMB No 1545-0092

2012

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Name of estate or trust

31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number

06-1565971

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1a 484.02 FNMA POOL #AL0527 2/01/38	03/18/2013	07/25/2013	484.00	524.00	-40.00
3642.8008 FNMA POOL #AL052 2/01/38	03/18/2013	08/20/2013	3,905.00	3,947.00	-42.00
407.17 FNMA POOL #AL0527 2/01/38	03/18/2013	08/25/2013	407.00	441.00	-34.00
4735.64 FNMA POOL #AL0527 2/01/38	03/18/2013	08/27/2013	5,089.00	5,131.00	-42.00
37.62 FNMA POOL #AL1700 09/01/41	04/26/2013	05/25/2013	38.00	40.00	-2.00
45.64 FNMA POOL #AL1700 09/01/41	04/26/2013	06/25/2013	46.00	49.00	-3.00
56.17 FNMA POOL #AL1700 09/01/41	04/26/2013	07/25/2013	56.00	60.00	-4.00
27.78 FNMA POOL #AL1700 09/01/41	04/26/2013	08/25/2013	28.00	30.00	-2.00
28.15 FNMA POOL #AL1700 09/01/41	04/26/2013	09/25/2013	28.00	30.00	-2.00
15.37 FNMA POOL #AL1700 09/01/41	04/26/2013	10/25/2013	15.00	16.00	-1.00
13.46 FNMA POOL #AL1700 09/01/41	04/26/2013	11/25/2013	13.00	14.00	-1.00
303.34 FNMA POOL #AL1948 01/01/42	08/07/2012	12/25/2012	303.00	332.00	-29.00
418.33 FNMA POOL #AL1948 01/01/42	08/07/2012	12/31/2012	418.00	457.00	-39.00
427.03 FNMA POOL #AL1948 01/01/42	08/07/2012	01/31/2013	427.00	467.00	-40.00
554.02 FNMA POOL #AL1948 01/01/42	08/07/2012	03/25/2013	554.00	606.00	-52.00
370.03 FNMA POOL #AL1948 01/01/42	08/07/2012	04/25/2013	370.00	405.00	-35.00
245.59 FNMA POOL #AL1948 01/01/42	08/07/2012	05/25/2013	246.00	269.00	-23.00
374.12 FNMA POOL #AL1948 01/01/42	08/07/2012	06/25/2013	374.00	409.00	-35.00
404. FNMA POOL #AL1948 01/01/42	08/07/2012	07/25/2013	404.00	442.00	-38.00
28.42 FNMA POOL #AL3423 5/01/40	06/14/2013	07/25/2013	28.00	31.00	-3.00
789.56 FNMA POOL #AL3423 5/01/40	06/14/2013	08/20/2013	846.00	853.00	-7.00
34.74 FNMA POOL #AL3423 5/01/40	06/14/2013	08/25/2013	35.00	38.00	-3.00
11.59 FNMA POOL #AL3424 01/01/43	07/10/2013	08/25/2013	12.00	12.00	
10.28 FNMA POOL #AL3424 01/01/43	07/10/2013	09/25/2013	10.00	11.00	-1.00

1b Total. Combine the amounts in column (f) Enter here and on Schedule D, line 1b

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Schedule D-1 (Form 1041) 2012

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SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D
(Form 1041)

OMB No 1545-0092

2012

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1a 7.66 FNMA POOL #AL3424 01/01/43	07/10/2013	10/25/2013	8.00	8.00	
7.14 FNMA POOL #AL3424 01/01/43	07/10/2013	11/25/2013	7.00	7.00	
4.69 FNMA POOL #AP3839 09/01/42	07/10/2013	08/25/2013	5.00	5.00	
4.76 FNMA POOL #AP3839 09/01/42	07/10/2013	09/25/2013	5.00	5.00	
45.89 FNMA POOL #AP3839 09/01/42	07/10/2013	10/25/2013	46.00	46.00	
5. FNMA POOL #AP3839 3. 09/01/42	07/10/2013	11/25/2013	5.00	5.00	
3.39 FNMA POOL #AR2583 3. 02/01/43	02/13/2013	03/25/2013	3.00	4.00	-1.00
10.07 FNMA POOL #AR2583 3 02/01/43	02/13/2013	04/25/2013	10.00	11.00	-1.00
7.32 FNMA POOL #AR2583 3. 02/01/43	02/13/2013	05/25/2013	7.00	8.00	-1.00
5.67 FNMA POOL #AR2583 3. 02/01/43	02/13/2013	06/25/2013	6.00	6.00	
21.26 FNMA POOL #AR2583 3 02/01/43	02/13/2013	07/25/2013	21.00	22.00	-1.00
20.23 FNMA POOL #AR2583 3 02/01/43	02/13/2013	08/25/2013	20.00	21.00	-1.00
13.48 FNMA POOL #AR2583 3 02/01/43	02/13/2013	09/25/2013	13.00	14.00	-1.00
13.55 FNMA POOL #AR2583 3 02/01/43	02/13/2013	10/25/2013	14.00	14.00	
12.59 FNMA POOL #AR2583 3 02/01/43	02/13/2013	11/25/2013	13.00	13.00	
2.28 FNMA POOL #AU2933 09/01/43	09/16/2013	10/25/2013	2.00	2.00	
1.8 FNMA POOL #AU2933 3 09/01/43	09/16/2013	11/25/2013	2.00	2.00	
5885.83 FNMA POOL #AU3751 08/01/43	10/11/2013	11/20/2013	6,134.00	6,172.00	-38.00
37.62 FNMA POOL #AU3751 08/01/43	10/11/2013	11/25/2013	38.00	39.00	-1.00
9.61 FNMA POOL #AU7258 10/01/43	10/11/2013	11/25/2013	10.00	10.00	
1805.17 FNMA POOL #735402 4/01/35	07/18/2013	08/20/2013	1,935.00	1,945.00	-10.00
83.99 FNMA POOL #735402 4/01/35	07/18/2013	08/25/2013	84.00	90.00	-6.00
9.68 FNMA POOL #745580 06/01/36	09/27/2013	10/25/2013	10.00	10.00	
262.05 FNMA POOL #745580 06/01/36	09/27/2013	11/20/2013	246.00	284.00	-38.00

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Schedule D-1 (Form 1041) 2012

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SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D
(Form 1041)

OMB No 1545-0092

2012

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1a 7.54 FNMA POOL #745580 06/01/36	09/27/2013	11/25/2013	8.00	8.00	
298.28 FNMA POOL #AA7681 6/01/39	07/09/2012	12/25/2012	298.00	322.00	-24.00
337.79 FNMA POOL #AA7681 6/01/39	07/09/2012	12/31/2012	338.00	365.00	-27.00
286.55 FNMA POOL #AA7681 6/01/39	07/09/2012	01/31/2013	287.00	309.00	-22.00
274.71 FNMA POOL #AA7681 6/01/39	07/09/2012	03/25/2013	275.00	297.00	-22.00
234.89 FNMA POOL #AA7681 6/01/39	07/09/2012	04/25/2013	235.00	254.00	-19.00
249.21 FNMA POOL #AA7681 6/01/39	07/09/2012	05/25/2013	249.00	269.00	-20.00
211.89 FNMA POOL #AA7681 6/01/39	07/09/2012	06/25/2013	212.00	229.00	-17.00
708.01 FNMA POOL #AB4115 12/01/41	04/09/2012	12/07/2012	758.00	749.00	9.00
1149.7 FNMA POOL #AB4115 12/01/41	04/09/2012	12/25/2012	1,150.00	1,215.00	-65.00
1458.25 FNMA POOL #AB4115 12/01/41	04/09/2012	12/31/2012	1,458.00	1,542.00	-84.00
1593.15 FNMA POOL #AB4115 12/01/41	04/09/2012	01/31/2013	1,593.00	1,684.00	-91.00
658.27 FNMA POOL #AB4115 12/01/41	04/09/2012	03/25/2013	658.00	696.00	-38.00
8348.76 FNMA POOL #AB4297 1/01/42	01/10/2012	12/04/2012	8,924.00	8,608.00	316.00
1173.22 FNMA POOL #AB4297 1/01/42	01/10/2012	12/25/2012	1,173.00	1,210.00	-37.00
16198.3 FNMA POOL #AB4297 1/01/42	01/10/2012	01/09/2013	17,206.00	16,702.00	504.00
1332.42 FNMA POOL #AB5468 6/01/42	06/07/2012	12/25/2012	1,332.00	1,399.00	-67.00
777.5 FNMA POOL #AB5468 6/01/42	06/07/2012	12/31/2012	778.00	816.00	-38.00
26359.85 FNMA POOL #AB5468 6/01/42	06/07/2012	01/09/2013	27,999.00	27,670.00	329.00
489.53 FNMA POOL #AB5670 07/01/42	10/05/2012	12/25/2012	490.00	525.00	-35.00
951.96 FNMA POOL #AB5670 07/01/42	10/05/2012	12/31/2012	952.00	1,020.00	-68.00
2837.45 FNMA POOL #AB5670 07/01/42	10/05/2012	01/09/2013	3,017.00	3,041.00	-24.00
1448.09 FNMA POOL #AB5670 07/01/42	10/05/2012	01/31/2013	1,448.00	1,552.00	-104.00
760.53 FNMA POOL #AB5670 07/01/42	10/05/2012	03/25/2013	761.00	815.00	-54.00

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Schedule D-1 (Form 1041) 2012

**SCHEDULE D-1
(Form 1041)**

**Continuation Sheet for Schedule D
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OMB No 1545-0092

2012

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Internal Revenue Service

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1a 632.98 FNMA POOL #AB5670 07/01/42	10/05/2012	04/25/2013	633.00	678.00	-45.00
655.68 FNMA POOL #AB5670 07/01/42	10/05/2012	05/25/2013	656.00	703.00	-47.00
1254.76 FNMA POOL #AB5670 07/01/42	10/05/2012	06/25/2013	1,255.00	1,345.00	-90.00
520.13 FNMA POOL #AB5670 07/01/42	10/05/2012	07/25/2013	520.00	558.00	-38.00
639.54 FNMA POOL #AB5670 07/01/42	10/05/2012	08/25/2013	640.00	686.00	-46.00
196.26 FNMA POOL #AB5670 07/01/42	10/05/2012	09/25/2013	196.00	210.00	-14.00
68.54 FNMA POOL #AB7079 11/01/42	11/07/2012	12/25/2012	69.00	72.00	-3.00
57.1 FNMA POOL #AB7079 11/01/42	11/07/2012	12/31/2012	57.00	60.00	-3.00
54.92 FNMA POOL #AB7079 11/01/42	11/07/2012	01/31/2013	55.00	58.00	-3.00
82.15 FNMA POOL #AB7079 11/01/42	11/07/2012	03/25/2013	82.00	87.00	-5.00
71.78 FNMA POOL #AB7079 11/01/42	11/07/2012	04/25/2013	72.00	76.00	-4.00
53.35 FNMA POOL #AB7079 11/01/42	11/07/2012	05/25/2013	53.00	56.00	-3.00
204.6 FNMA POOL #AB7079 11/01/42	11/07/2012	06/25/2013	205.00	216.00	-11.00
177.21 FNMA POOL #AB7079 11/01/42	11/07/2012	07/25/2013	177.00	187.00	-10.00
246.39 FNMA POOL #AB7079 11/01/42	11/07/2012	08/25/2013	246.00	260.00	-14.00
145.76 FNMA POOL #AB7079 11/01/42	11/07/2012	09/25/2013	146.00	154.00	-8.00
77.14 FNMA POOL #AB7079 11/01/42	11/07/2012	10/25/2013	77.00	81.00	-4.00
7.61 FNMA POOL #AB7316 12/01/42	04/26/2013	05/25/2013	8.00	8.00	
1.66 FNMA POOL #AB7316 12/01/42	04/26/2013	06/25/2013	2.00	2.00	
16.29 FNMA POOL #AB7316 12/01/42	04/26/2013	07/25/2013	16.00	17.00	-1.00
2.65 FNMA POOL #AB7316 12/01/42	04/26/2013	08/25/2013	3.00	3.00	
1.64 FNMA POOL #AB7316 12/01/42	04/26/2013	09/25/2013	2.00	2.00	
1.7 FNMA POOL #AB7316 3 12/01/42	04/26/2013	10/25/2013	2.00	2.00	
1.66 FNMA POOL #AB7316 12/01/42	04/26/2013	11/25/2013	2.00	2.00	

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b

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Schedule D-1 (Form 1041) 2012

**SCHEDULE D-1
(Form 1041)**

Department of the Treasury
Internal Revenue Service

**Continuation Sheet for Schedule D
(Form 1041)**

OMB No 1545-0092

2012

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06-1565971

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 20.97 FNMA POOL #AE0949 02/01/41	02/13/2013	03/25/2013	21.00	22.00	-1.00
19.89 FNMA POOL #AE0949 02/01/41	02/13/2013	04/25/2013	20.00	21.00	-1.00
16.2 FNMA POOL #AE0949 02/01/41	02/13/2013	05/25/2013	16.00	17.00	-1.00
17.37 FNMA POOL #AE0949 02/01/41	02/13/2013	06/25/2013	17.00	18.00	-1.00
16.71 FNMA POOL #AE0949 02/01/41	02/13/2013	07/25/2013	17.00	18.00	-1.00
12.98 FNMA POOL #AE0949 02/01/41	02/13/2013	08/25/2013	13.00	14.00	-1.00
9.88 FNMA POOL #AE0949 02/01/41	02/13/2013	09/25/2013	10.00	11.00	-1.00
6.17 FNMA POOL #AE0949 02/01/41	02/13/2013	10/25/2013	6.00	7.00	-1.00
5.6 FNMA POOL #AE0949 4 02/01/41	02/13/2013	11/25/2013	6.00	6.00	
25. F5 NETWORKS INC 00	11/13/2012	01/07/2013	2,402.00	2,220.00	182.00
2. FIRST NIAGARA FIN GROUP	04/12/2012	03/11/2013	59.00	56.00	3.00
4. FLUOR CORP NEW	03/06/2013	05/24/2013	254.00	250.00	4.00
3. FLUOR CORP NEW	03/06/2013	05/28/2013	193.00	185.00	8.00
2. FLUOR CORP NEW	03/05/2013	05/29/2013	127.00	123.00	4.00
3. FLUOR CORP NEW	03/05/2013	05/30/2013	191.00	182.00	9.00
4. FORTINET INC	04/10/2013	06/13/2013	72.00	90.00	-18.00
14. FORTINET INC	04/10/2013	06/28/2013	236.00	314.00	-78.00
18. FORTINET INC	04/03/2013	09/12/2013	369.00	402.00	-33.00
36. FORTINET INC	04/03/2013	10/22/2013	743.00	805.00	-62.00
61. FORTINET INC	04/03/2013	11/06/2013	1,223.00	1,364.00	-141.00
78. FORTINET INC	05/07/2013	11/07/2013	1,513.00	1,568.00	-55.00
3. FOSSIL INC	01/07/2013	08/06/2013	379.00	288.00	91.00
2. FOSSIL INC	01/07/2013	08/07/2013	244.00	192.00	52.00
2. FOSSIL INC	01/07/2013	08/08/2013	244.00	192.00	52.00

1b Total. Combine the amounts in column (f) Enter here and on Schedule D, line 1b

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2012

SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D
(Form 1041)

OMB No 1545-0092

2012

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

▶ Information about Schedule D (Form 1041) and its separate instructions is at www.irs.gov/form1041

Name of estate or trust

31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number

06-1565971

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 18. FRESENIUS MEDICAL CARE	12/06/2012	11/19/2013	587.00	697.00	-110.00
12. GAP INC. DEL	05/08/2013	11/11/2013	495.00	460.00	35.00
3. GAP INC. DEL	04/22/2013	11/20/2013	125.00	109.00	16.00
8. GARTNER GROUP INC NEW C	04/03/2013	04/11/2013	459.00	437.00	22.00
27. GARTNER GROUP INC NEW	04/03/2013	04/30/2013	1,568.00	1,473.00	95.00
7. GARTNER GROUP INC NEW C	06/13/2013	07/23/2013	426.00	388.00	38.00
4. GARTNER GROUP INC NEW C	04/03/2013	07/24/2013	242.00	218.00	24.00
1. GARTNER GROUP INC NEW C	04/10/2013	10/18/2013	60.00	56.00	4.00
20. GARTNER GROUP INC NEW	04/23/2013	11/19/2013	1,290.00	1,140.00	150.00
33. GARTNER GROUP INC NEW	04/10/2013	11/20/2013	2,119.00	1,836.00	283.00
2. GARTNER GROUP INC NEW C	04/23/2013	11/27/2013	131.00	114.00	17.00
246. GENERAL ELEC CO.	11/02/2012	04/02/2013	5,732.00	5,257.00	475.00
67. GENERAL ELEC CO.	07/26/2013	11/20/2013	1,815.00	1,565.00	250.00
67. GENERAL ELEC CAP CORP	01/28/2013	03/11/2013	1,684.00	1,679.00	5.00
74. GENERAL ELEC CAP CORP	11/14/2012	03/11/2013	1,875.00	1,846.00	29.00
90. GILEAD SCIENCES INC	11/13/2012	04/02/2013	4,337.00	3,285.00	1,052.00
38. GOLDMAN SACHS GROUP IN	01/18/2013	04/02/2013	5,570.00	5,409.00	161.00
1. GOLDMAN SACHS GROUP INC	04/12/2012	03/11/2013	27.00	26.00	1.00
46. GOLDMAN SACHS GROUP IN	11/02/2012	03/11/2013	1,155.00	1,153.00	2.00
1. GOLDMAN SACHS GROUP INC	04/12/2012	03/11/2013	27.00	25.00	2.00
1. GOOGLE INC CL A	04/02/2013	10/18/2013	1,001.00	813.00	188.00
8. GOOGLE INC CL A	04/02/2013	11/20/2013	8,206.00	6,503.00	1,703.00
14. GRAINGER W W INC	10/18/2013	11/20/2013	3,574.00	3,631.00	-57.00
9. GUIDEWIRE SOFTWARE INC	04/03/2013	04/22/2013	348.00	331.00	17.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b

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Schedule D-1 (Form 1041) 2012

**SCHEDULE D-1
(Form 1041)**

Department of the Treasury
Internal Revenue Service

**Continuation Sheet for Schedule D
(Form 1041)**

OMB No 1545-0092

2012

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Name of estate or trust

31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number

06-1565971

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 10. GUIDEWIRE SOFTWARE INC	04/03/2013	06/13/2013	404.00	368.00	36.00
19. HSBC HOLDINGS PLC-SPON	12/14/2012	11/19/2013	1,064.00	987.00	77.00
1. HSBC HOLDINGS PLC 8.125	04/12/2012	01/18/2013	26.00	26.00	
33. HSBC HLDGS PERP SUB CA PR	10/25/2012	03/11/2013	922.00	932.00	-10.00
1. HALCON RES CORP	04/03/2013	06/13/2013	5.00	8.00	-3.00
52. HALCON RES CORP	04/03/2013	07/31/2013	284.00	396.00	-112.00
24. HALCON RES CORP	04/03/2013	09/13/2013	114.00	183.00	-69.00
124. HALCON RES CORP	04/09/2013	09/16/2013	584.00	941.00	-357.00
62. HALCON RES CORP	04/09/2013	09/17/2013	293.00	462.00	-169.00
62. HALCON RES CORP	04/08/2013	09/18/2013	298.00	454.00	-156.00
123. HALCON RES CORP	07/17/2013	09/23/2013	579.00	751.00	-172.00
42. HARTFORD FINL SVCS GRO	08/08/2013	11/20/2013	1,472.00	1,259.00	213.00
29. HARTFORD FINL SVCS GRO	04/11/2012	03/11/2013	869.00	747.00	122.00
1. HEALTH CARE REIT 6.5%	04/12/2012	03/11/2013	27.00	25.00	2.00
10. HELMERICH & PAYNE INC	04/08/2013	05/14/2013	618.00	610.00	8.00
1. HELMERICH & PAYNE INC	04/08/2013	05/16/2013	63.00	61.00	2.00
43. HELMERICH & PAYNE INC	04/25/2013	05/24/2013	2,698.00	2,607.00	91.00
3. HOMEAWAY INC	04/03/2013	06/13/2013	90.00	91.00	-1.00
5. HOMEAWAY INC	04/03/2013	06/20/2013	149.00	152.00	-3.00
3. HOMEAWAY INC	04/03/2013	06/21/2013	90.00	91.00	-1.00
5. HOMEAWAY INC	04/03/2013	06/25/2013	156.00	152.00	4.00
7. HOMEAWAY INC	04/03/2013	06/26/2013	227.00	213.00	14.00
24. HOMEAWAY INC	04/03/2013	07/23/2013	766.00	731.00	35.00
32. HOMEAWAY INC	04/03/2013	07/26/2013	995.00	975.00	20.00

1b Total Combine the amounts in column (f). Enter here and on Schedule D, line 1b

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Schedule D-1 (Form 1041) 2012

**SCHEDULE D-1
(Form 1041)**

Department of the Treasury
Internal Revenue Service

**Continuation Sheet for Schedule D
(Form 1041)**

OMB No 1545-0092

2012

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Name of estate or trust

31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number

06-1565971

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 5. HOMEAWAY INC	04/03/2013	07/31/2013	150.00	152.00	-2.00
36. HOMEAWAY INC	04/03/2013	08/08/2013	1,073.00	1,097.00	-24.00
4. HOMEAWAY INC	04/03/2013	08/09/2013	122.00	122.00	
5. HOMEAWAY INC	04/03/2013	08/30/2013	158.00	152.00	6.00
7. HOMEAWAY INC	04/03/2013	11/15/2013	268.00	213.00	55.00
3. HONEYWELL INTERNATIONAL	10/19/2012	04/12/2013	222.00	187.00	35.00
2. HOSPITALITY PPTYS RDMBL	04/12/2012	03/11/2013	54.00	51.00	3.00
1. IDEXX LABS INC	01/07/2013	11/12/2013	107.00	95.00	12.00
1. IDEXX LABS INC	01/07/2013	11/13/2013	106.00	95.00	11.00
3. IDEXX LABS INC	01/07/2013	11/13/2013	317.00	286.00	31.00
2. IDEXX LABS INC	01/07/2013	11/14/2013	214.00	191.00	23.00
5. IDEXX LABS INC	01/07/2013	11/15/2013	536.00	477.00	59.00
1. IDEXX LABS INC	01/07/2013	11/18/2013	106.00	95.00	11.00
12. IDEXX LABS INC	10/02/2013	11/19/2013	1,285.00	1,160.00	125.00
2. IDEXX LABS INC	01/07/2013	11/20/2013	214.00	191.00	23.00
2. IDEXX LABS INC	01/07/2013	11/21/2013	214.00	191.00	23.00
3. IDEXX LABS INC	01/07/2013	11/22/2013	318.00	286.00	32.00
1. IDEXX LABS INC	01/07/2013	11/26/2013	105.00	95.00	10.00
14. IHS INC	07/08/2013	10/22/2013	1,586.00	1,462.00	124.00
6. IHS INC	04/03/2013	10/25/2013	659.00	610.00	49.00
7. IHS INC	04/03/2013	11/07/2013	764.00	712.00	52.00
6. IHS INC	04/03/2013	11/11/2013	656.00	610.00	46.00
9. ILLUMINA INC	04/18/2012	02/13/2013	455.00	380.00	75.00
73. ILLUMINA INC	04/18/2012	04/02/2013	3,989.00	3,085.00	904.00

1b Total. Combine the amounts in column (f) Enter here and on Schedule D, line 1b

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Schedule D-1 (Form 1041) 2012

SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D
(Form 1041)

OMB No 1545-0092

2012

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Name of estate or trust

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Employer identification number

06-1565971

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 5. ILLUMINA INC	06/10/2013	07/24/2013	408.00	347.00	61.00
11. ILLUMINA INC	06/14/2013	11/13/2013	1,049.00	752.00	297.00
7. IMPERVA INC	06/13/2013	07/15/2013	338.00	272.00	66.00
4. IMPERVA INC	04/10/2013	07/17/2013	190.00	155.00	35.00
4. IMPERVA INC	06/14/2013	07/19/2013	193.00	155.00	38.00
72. ING GROEP N.V.	11/07/2013	11/19/2013	926.00	938.00	-12.00
21. ING GROEP N V 6.2% PFD	04/12/2012	03/11/2013	525.00	447.00	78.00
35. INTERNATIONAL BUSINESS	03/07/2013	04/02/2013	7,485.00	6,907.00	578.00
34. INTESA SAN PAOLO-SPON	10/21/2013	11/19/2013	476.00	507.00	-31.00
167. INTUIT	04/02/2013	10/03/2013	10,958.00	10,915.00	43.00
2. INTUIT	04/02/2013	10/18/2013	137.00	131.00	6.00
34. INTUIT	04/02/2013	11/20/2013	2,488.00	2,222.00	266.00
84. INTUIT	04/02/2013	11/22/2013	6,034.00	5,490.00	544.00
28. INTUIT	04/02/2013	11/25/2013	2,031.00	1,830.00	201.00
26. INTUITIVE SURGICAL INC	04/02/2013	07/09/2013	10,817.00	12,770.00	-1,953.00
.2 ITAU UNIBANCO HOLDING S	12/06/2012	05/31/2013	3.00	4.00	-1.00
39.8 ITAU UNIBANCO HOLDING	12/06/2012	07/05/2013	458.00	824.00	-366.00
1. ITC HLDGS CORP	04/03/2013	06/13/2013	87.00	89.00	-2.00
30. ITC HLDGS CORP	04/03/2013	08/14/2013	2,647.00	2,680.00	-33.00
39. JPMORGAN CHASE & CO	02/05/2013	03/11/2013	971.00	968.00	3.00
113. JOHNSON & JOHNSON	01/30/2013	04/02/2013	9,324.00	8,265.00	1,059.00
37. JOY GLOBAL INC-WI	05/18/2012	04/02/2013	2,117.00	2,240.00	-123.00
72. JPMORGAN CHASE & CO	10/19/2012	03/11/2013	1,806.00	1,818.00	-12.00
57. JULIUS BAER GROUP LTD	10/30/2013	11/19/2013	522.00	564.00	-42.00

1b Total. Combine the amounts in column (f) Enter here and on Schedule D, line 1b

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Schedule D-1 (Form 1041) 2012

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**SCHEDULE D-1
(Form 1041)**

Department of the Treasury
Internal Revenue Service

**Continuation Sheet for Schedule D
(Form 1041)**

OMB No 1545-0092

2012

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Name of estate or trust

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Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 16. KIMCO RLTY CORP	12/18/2012	03/11/2013	406.00	396.00	10.00
16. KIMCO REALTY CORP 5.50	07/17/2012	03/11/2013	405.00	400.00	5.00
1. KIMCO RLTY CORP	04/12/2012	03/11/2013	27.00	27.00	
222. KINDER MORGAN INC DEL	02/07/2013	04/02/2013	8,637.00	8,078.00	559.00
11. KONE OYJ	09/25/2013	11/19/2013	502.00	497.00	5.00
99. KRAFT FOODS GROUP INC	10/10/2012	04/02/2013	5,192.00	4,247.00	945.00
7. KUBOTA LTD ADR	04/12/2013	11/19/2013	586.00	519.00	67.00
13. LKQ CORP	03/20/2013	05/31/2013	323.00	273.00	50.00
45. LKQ CORP	10/18/2013	11/19/2013	1,468.00	1,484.00	-16.00
66. LI & FUNG LTD	07/25/2012	01/03/2013	243.00	233.00	10.00
256. LI & FUNG LTD	07/25/2012	01/15/2013	738.00	905.00	-167.00
17. LVMH MOET HENNESSY LOU	12/06/2012	12/07/2012	606.00	608.00	-2.00
4. LAM RESH CORP	08/05/2013	11/20/2013	202.00	198.00	4.00
50. LAS VEGAS SANDS CORP	07/31/2012	01/07/2013	2,549.00	1,835.00	714.00
8. LAUDER ESTEE COS INC CL	01/28/2013	04/15/2013	540.00	506.00	34.00
4. LAUDER ESTEE COS INC CL	01/28/2013	05/01/2013	279.00	253.00	26.00
10. LAUDER ESTEE COS INC C	02/01/2013	05/02/2013	702.00	623.00	79.00
5. LENNAR CORP	08/16/2013	09/24/2013	184.00	168.00	16.00
1. LENNAR CORP	08/16/2013	11/20/2013	35.00	34.00	1.00
5. LIBERTY MEDIA CORP	07/11/2013	09/12/2013	726.00	653.00	73.00
10. LIBERTY MEDIA CORP	06/13/2013	11/21/2013	1,449.00	1,248.00	201.00
64. LIFELOCK INC	09/27/2013	10/24/2013	915.00	952.00	-37.00
98. LIFELOCK INC	09/12/2013	10/29/2013	1,347.00	1,364.00	-17.00
7. LINKEDIN CORP	05/16/2012	02/21/2013	1,094.00	786.00	308.00

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Schedule D-1 (Form 1041) 2012

**SCHEDULE D-1
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Department of the Treasury
Internal Revenue Service

**Continuation Sheet for Schedule D
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OMB No 1545-0092

2012

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

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1a 5. LINKEDIN CORP	05/16/2012	03/07/2013	864.00	562.00	302.00
28. LINKEDIN CORP	07/13/2012	04/02/2013	4,846.00	2,873.00	1,973.00
21. LIVEPERSON INC	04/03/2013	05/02/2013	263.00	281.00	-18.00
201. LIVEPERSON INC	04/03/2013	05/09/2013	1,667.00	2,685.00	-1,018.00
36. LLOYDS BANKING GROUP P 7.750%	03/26/2012	03/11/2013	1,003.00	951.00	52.00
5. LULULEMON ATHLETICA INC	05/07/2013	06/13/2013	333.00	373.00	-40.00
17. LULULEMON ATHLETICA IN	04/10/2013	11/15/2013	1,142.00	1,108.00	34.00
5. LULULEMON ATHLETICA INC	11/06/2013	11/19/2013	334.00	350.00	-16.00 *
6. LULULEMON ATHLETICA INC	11/06/2013	11/19/2013	401.00	419.00	-18.00
4. MARKEL CORP	01/22/2013	03/11/2013	1,990.00	1,866.00	124.00
2. MARKEL CORP	10/18/2013	11/19/2013	1,085.00	1,040.00	45.00
9. MASIMO CORP	05/07/2013	06/13/2013	199.00	195.00	4.00
25. MASIMO CORP	05/07/2013	10/29/2013	704.00	524.00	180.00
4. MASIMO CORP	04/03/2013	11/01/2013	103.00	80.00	23.00
1. MASTERCARD INC	01/07/2013	08/21/2013	622.00	521.00	101.00
1. MASTERCARD INC	01/07/2013	08/22/2013	620.00	521.00	99.00
1. MASTERCARD INC	01/07/2013	08/23/2013	623.00	521.00	102.00
1. MASTERCARD INC	01/07/2013	08/26/2013	619.00	521.00	98.00
2. MASTERCARD INC	01/07/2013	08/27/2013	1,217.00	1,041.00	176.00
4. MASTERCARD INC	01/07/2013	08/28/2013	2,441.00	2,083.00	358.00
4. MASTERCARD INC	01/07/2013	08/29/2013	2,458.00	2,083.00	375.00
3. MASTERCARD INC	01/07/2013	08/30/2013	1,823.00	1,562.00	261.00
3. MASTERCARD INC	09/03/2013	11/20/2013	2,247.00	1,867.00	380.00
3. MEAD JOHNSON NUTRITION	01/07/2013	05/03/2013	242.00	209.00	33.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b

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Schedule D-1 (Form 1041) 2012

SCHEDULE D-1
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Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D
(Form 1041)

OMB No 1545-0092

2012

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a

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Name of estate or trust

31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number

06-1565971

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 2. MEAD JOHNSON NUTRITION	01/07/2013	05/06/2013	160.00	139.00	21.00
5. MEAD JOHNSON NUTRITION	01/07/2013	05/07/2013	401.00	349.00	52.00
11. MEDTRONIC INC	12/27/2012	09/18/2013	587.00	470.00	117.00
2. MEDTRONIC INC	12/27/2012	09/30/2013	107.00	83.00	24.00
7. MEDTRONIC INC	12/27/2012	11/19/2013	406.00	289.00	117.00
5. MEDTRONIC INC	12/27/2012	11/20/2013	286.00	206.00	80.00
4. MERCADOLIBRE INC	11/28/2012	05/01/2013	393.00	283.00	110.00
1. MERCADOLIBRE INC	11/28/2012	05/08/2013	118.00	71.00	47.00
2. MERCADOLIBRE INC	11/28/2012	05/09/2013	242.00	141.00	101.00
3. MERCADOLIBRE INC	11/06/2013	11/19/2013	324.00	367.00	-43.00
14. MERCK & CO INC NEW	11/19/2013	11/20/2013	675.00	673.00	2.00
36. MICHELIN COMPAGNIE GEN	03/13/2012	12/07/2012	659.00	520.00	139.00
77. MICROSOFT CORP	08/01/2012	01/30/2013	2,147.00	2,292.00	-145.00
52. MICROSOFT CORP	08/01/2012	02/05/2013	1,434.00	1,500.00	-66.00
29. MICROSOFT CORP	09/17/2013	11/20/2013	1,084.00	970.00	114.00
1. MIDDLEBY CORP	04/03/2013	06/13/2013	167.00	149.00	18.00
1. MIDDLEBY CORP	04/03/2013	11/05/2013	226.00	149.00	77.00
156. MITSUBISHI UFJ FINL G	04/12/2013	07/29/2013	958.00	1,048.00	-90.00
153. MITSUBISHI UFJ FINL G	03/28/2013	11/19/2013	1,013.00	907.00	106.00
173. MONDELEZ INTL INC	06/20/2012	04/02/2013	5,313.00	4,458.00	855.00
49. MONDELEZ INTL INC	11/04/2013	11/20/2013	1,660.00	1,652.00	8.00
18. MORNINGSTAR INC	10/18/2013	11/19/2013	1,524.00	1,333.00	191.00
5. MYLAN LABORATORIES INCO	02/28/2012	12/19/2012	139.00	115.00	24.00
15. MYLAN LABORATORIES INC	04/17/2013	08/05/2013	546.00	418.00	128.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2012

SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D
(Form 1041)

OMB No 1545-0092

2012

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1a 4. MYLAN LABORATORIES INCO	04/17/2013	08/13/2013	149.00	111.00	38.00
182. MYRIAD GENETICS INC	06/13/2013	06/14/2013	5,285.00	4,793.00	492.00
13. NESTLE S A SPONSORED A REG SH	08/06/2013	11/19/2013	962.00	886.00	76.00
23. NETAPP INC	01/07/2013	08/20/2013	958.00	766.00	192.00
8. NETAPP INC	01/07/2013	08/21/2013	333.00	266.00	67.00
23. NEXEN INC PREF 7.35%	04/12/2012	12/26/2012	584.00	581.00	3.00
64. NEXTERA ENERGY INC	10/17/2012	01/23/2013	4,578.00	4,578.00	
15. NEXTERA ENERGY CAP 5.7 SERIES	03/21/2012	03/11/2013	399.00	374.00	25.00
15. NEXTERA ENERGY CAP HLD	06/13/2012	03/11/2013	397.00	371.00	26.00
31. NEXTERA ENERGY CAPITAL	11/16/2012	03/11/2013	771.00	765.00	6.00
13. NEXTERA ENERGY CAPITAL	01/16/2013	03/11/2013	319.00	321.00	-2.00
114. NIKE INC CL B	04/02/2013	10/02/2013	8,202.00	6,729.00	1,473.00
84. NIKE INC CL B	10/18/2013	11/20/2013	6,574.00	4,974.00	1,600.00
10. NOVARTIS AG-ADR	12/06/2012	10/31/2013	777.00	636.00	141.00
4. NOVO NORDISK A S ADR	12/06/2012	11/19/2013	697.00	641.00	56.00
82. NUCOR CORP	03/13/2013	04/02/2013	3,604.00	3,831.00	-227.00
20. O REILLY AUTOMOTIVE IN	07/16/2012	02/07/2013	2,000.00	1,815.00	185.00
2. O REILLY AUTOMOTIVE INC	09/19/2012	03/11/2013	209.00	165.00	44.00
37. O REILLY AUTOMOTIVE IN	07/16/2012	04/02/2013	3,862.00	3,359.00	503.00
46. OIL STATES INTERNATION	04/03/2013	04/08/2013	3,535.00	3,554.00	-19.00
1. OPENTABLE INC	05/24/2013	06/13/2013	67.00	67.00	
24. OPENTABLE INC	05/24/2013	07/23/2013	1,494.00	1,609.00	-115.00
13. ORACLE CORP	10/02/2013	10/18/2013	427.00	437.00	-10.00
169. ORACLE CORP	10/04/2013	11/20/2013	5,890.00	5,622.00	268.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b

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Schedule D-1 (Form 1041) 2012

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SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D
(Form 1041)

OMB No 1545-0092

2012

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1a 137. PNC FINANCIAL SERVICE	03/07/2013	03/11/2013	3,790.00	3,771.00	19.00
9. PS BUSINESS PARKS INC	09/06/2012	03/11/2013	224.00	225.00	-1.00
47. PS BUSINESS PARKS	05/03/2012	03/11/2013	1,207.00	1,171.00	36.00
1. PS BUSINESS PARKS INC	04/12/2012	03/11/2013	26.00	25.00	1.00
32. PACIFIC RUBIALES ENERG	06/04/2013	11/19/2013	597.00	701.00	-104.00
17. PEPSICO INC	11/04/2013	11/20/2013	1,462.00	1,428.00	34.00
68. PFIZER INC.	07/12/2012	01/08/2013	1,776.00	1,543.00	233.00
156. PFIZER INC.	07/12/2012	04/02/2013	4,555.00	3,540.00	1,015.00
7. PFIZER INC.	06/19/2013	07/30/2013	208.00	207.00	1.00
20. PHILIP MORRIS INTL INC	02/09/2012	12/05/2012	1,787.00	1,609.00	178.00
40. PHILIP MORRIS INTL INC	02/09/2012	12/06/2012	3,565.00	3,217.00	348.00
7. POLYPORE INTL INC	04/03/2013	04/18/2013	262.00	274.00	-12.00
7. POLYPORE INTL INC	04/03/2013	05/02/2013	283.00	274.00	9.00
31. POLYPORE INTL INC	06/13/2013	11/05/2013	1,163.00	1,217.00	-54.00
13. T ROWE PRICE GROUP M I	04/02/2013	10/18/2013	1,002.00	974.00	28.00
78. T ROWE PRICE GROUP M I	04/02/2013	11/20/2013	6,254.00	5,843.00	411.00
74. PROCTOR & GAMBLE CO	01/29/2013	04/02/2013	5,821.00	5,055.00	766.00
27. PROTECTIVE LIFE CORP 6	05/16/2012	03/11/2013	697.00	668.00	29.00
1. PUBLIC STORAGE PFD SHS	04/12/2012	03/11/2013	27.00	27.00	
2. PUBLIC STORAGE 5.9% PFD	04/12/2012	03/11/2013	52.00	51.00	1.00
15. PUBLIC STORAGE	06/07/2012	03/11/2013	385.00	372.00	13.00
16. PUBLIC STORAGE	09/12/2012	03/11/2013	403.00	395.00	8.00
65. PUBLICIS S A NEW SPND	08/07/2013	11/19/2013	1,394.00	1,213.00	181.00
10. QUALCOMM INC	03/26/2012	03/07/2013	667.00	674.00	-7.00

1b Total. Combine the amounts in column (f) Enter here and on Schedule D, line 1b

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Schedule D-1 (Form 1041) 2012

**SCHEDULE D-1
(Form 1041)**

Department of the Treasury
Internal Revenue Service

**Continuation Sheet for Schedule D
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OMB No 1545-0092

2012

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1a 3. QUALCOMM INC	04/02/2013	10/18/2013	206.00	198.00	8.00
94. QUALCOMM INC	04/02/2013	11/20/2013	6,744.00	6,214.00	530.00
24. QWEST CORP 7.375%	05/24/2012	03/11/2013	639.00	624.00	15.00
2. QWEST CORP	04/12/2012	03/11/2013	54.00	52.00	2.00
32. QWEST CORP	03/22/2012	03/11/2013	850.00	799.00	51.00
15. QWEST CORP	06/15/2012	03/11/2013	399.00	374.00	25.00
10. RANGE RES CORP	04/20/2012	03/07/2013	794.00	578.00	216.00
13. RANGE RES CORP	04/20/2012	03/11/2013	1,014.00	752.00	262.00
50. RANGE RES CORP	04/20/2012	04/02/2013	3,957.00	2,857.00	1,100.00
137. REALPAGE INC	04/10/2013	06/05/2013	2,435.00	2,755.00	-320.00
15. REALTY INCOME CORP	03/15/2012	03/11/2013	398.00	380.00	18.00
52. RECKITT BENCKISER GROU	12/06/2012	12/07/2012	658.00	662.00	-4.00
2. RED HAT INC 00	04/03/2013	05/02/2013	96.00	96.00	
2. RED HAT INC 00	04/03/2013	06/13/2013	91.00	96.00	-5.00
39. RED HAT INC 00	07/17/2013	10/09/2013	1,684.00	1,886.00	-202.00
11. REGENCY CTRS CORP	08/16/2012	03/11/2013	280.00	273.00	7.00
13. ROCHE HOLDINGS LTD-SPO	07/25/2013	11/19/2013	907.00	819.00	88.00
74. ROYAL BANK OF SCOT-SPO	12/20/2012	06/28/2013	617.00	764.00	-147.00
146. ROYAL BANK OF SCOT-SP	12/21/2012	07/01/2013	1,237.00	1,459.00	-222.00
71. ROYAL BANK OF SCOT-SPO	12/17/2012	07/02/2013	591.00	693.00	-102.00
31. ROYAL BANK OF SCOT-SPO	04/05/2013	07/03/2013	254.00	300.00	-46.00
89. ROYAL BANK OF SCOT-SPO	04/05/2013	07/03/2013	730.00	743.00	-13.00
38. ROYAL BK SCOTLAND GRP PFD	01/23/2013	03/11/2013	903.00	866.00	37.00
18. ROYAL BK SCOTLAND GROU PREF	07/19/2012	03/11/2013	414.00	358.00	56.00

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Schedule D-1 (Form 1041) 2012

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(Form 1041)**

Department of the Treasury
Internal Revenue Service

**Continuation Sheet for Schedule D
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1a 40. ROYAL BK SCOTLAND GROU	03/26/2012	03/11/2013	928.00	768.00	160.00
43. ROYAL BK SCOTLAND GROU	07/18/2012	03/11/2013	998.00	837.00	161.00
9. RYANAIR HOLDINGS PLC SP	04/03/2013	06/13/2013	446.00	379.00	67.00
12. RYANAIR HOLDINGS PLC S	08/12/2013	11/13/2013	540.00	589.00	-49.00
52. RYANAIR HOLDINGS PLC S	04/03/2013	11/15/2013	2,288.00	2,188.00	100.00
28. SEI CORP	07/17/2013	11/19/2013	950.00	854.00	96.00
7. SLM CORP	11/08/2012	02/25/2013	133.00	118.00	15.00
63. SLM CORP	09/09/2013	11/20/2013	1,640.00	1,322.00	318.00
12. SABMILLER PLC SPD ADR	09/06/2013	11/19/2013	627.00	578.00	49.00
2. SALESFORCE COM INC	04/03/2013	04/11/2013	333.00	343.00	-10.00
13. SALESFORCE COM INC	04/03/2013	09/12/2013	652.00	558.00	94.00
7. SALESFORCE COM INC	04/03/2013	10/24/2013	377.00	301.00	76.00
4. SALESFORCE COM INC	04/03/2013	11/15/2013	229.00	172.00	57.00
68. SALLY BEAUTY HLDGS INC	09/16/2013	11/19/2013	1,888.00	1,788.00	100.00
8. SAP AG-SPONSORED ADR	12/06/2012	07/03/2013	568.00	632.00	-64.00
1. SCANA CORP NEW JR SB NT	04/12/2012	03/11/2013	27.00	29.00	-2.00
10. SCHLUMBERGER LTD	12/06/2012	05/20/2013	772.00	852.00	-80.00
19. SCHWAB CHARLES CORP NE	01/07/2013	05/13/2013	345.00	289.00	56.00
9. SCHWAB CHARLES CORP NEW	01/07/2013	05/14/2013	167.00	137.00	30.00
5. SCHWAB CHARLES CORP NEW	01/07/2013	05/16/2013	95.00	76.00	19.00
4. SCHWAB CHARLES CORP NEW	01/07/2013	05/17/2013	77.00	61.00	16.00
10. SCHWAB CHARLES CORP NE	01/07/2013	06/04/2013	198.00	152.00	46.00
6. SCHWAB CHARLES CORP NEW	01/07/2013	06/05/2013	114.00	91.00	23.00
17. SCHWAB CHARLES CORP NE	01/07/2013	06/06/2013	329.00	259.00	70.00

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1a 6. SCHWAB CHARLES CORP NEW	01/07/2013	06/07/2013	119.00	91.00	28.00
41. SCHWAB CHARLES CORP NE	01/07/2013	06/27/2013	861.00	625.00	236.00
37. SCHWAB CHARLES CORP NE	06/05/2012	03/11/2013	977.00	916.00	61.00
63. SEALED AIR CORP	09/30/2013	11/20/2013	1,984.00	1,521.00	463.00
35. SENIOR HOUSING PROP TR	07/18/2012	03/11/2013	870.00	865.00	5.00
26. SHERWIN WILLIAMS CO	08/08/2012	04/02/2013	4,353.00	3,666.00	687.00
2. SHUTTERFLY INC	04/03/2013	04/11/2013	90.00	84.00	6.00
5. SHUTTERFLY INC	04/03/2013	05/15/2013	242.00	210.00	32.00
9. SHUTTERSTOCK INC	06/13/2013	06/20/2013	440.00	399.00	41.00
23. SHUTTERSTOCK INC	06/13/2013	06/28/2013	1,286.00	908.00	378.00
7. SIEMENS AG-ADR	07/26/2012	07/09/2013	728.00	574.00	154.00
14. SOUTHERN COPPER CORP D	03/04/2013	11/19/2013	366.00	523.00	-157.00
35. STANLEY BLACK & DECKER	07/23/2012	03/11/2013	923.00	884.00	39.00
7. STARBUCKS CORP	01/07/2013	05/14/2013	443.00	390.00	53.00
80. STARBUCKS CORP	04/02/2013	06/24/2013	5,109.00	4,640.00	469.00
4. STARBUCKS CORP	01/07/2013	07/09/2013	272.00	223.00	49.00
9. STARBUCKS CORP	01/07/2013	07/10/2013	610.00	502.00	108.00
5. STARBUCKS CORP	01/07/2013	09/30/2013	384.00	279.00	105.00
3. STARBUCKS CORP	01/07/2013	10/01/2013	231.00	167.00	64.00
3. STARBUCKS CORP	01/07/2013	10/02/2013	231.00	167.00	64.00
6. STARBUCKS CORP	04/02/2013	10/18/2013	477.00	348.00	129.00
76. STARBUCKS CORP	04/02/2013	11/20/2013	6,056.00	4,408.00	1,648.00
8. STARWOOD HOTELS & RESOR	04/03/2013	04/18/2013	483.00	489.00	-6.00
58. STARWOOD HOTELS & RESO WORLDWIDE	05/07/2013	05/14/2013	3,935.00	3,595.00	340.00

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1a 16. STATE STREET CORP	08/15/2012	03/11/2013	404.00	398.00	6.00
152. SUMITOMO MITSUI TR HL	05/13/2013	11/19/2013	762.00	877.00	-115.00
9. SYNGENTA AG-ADR	01/24/2013	11/15/2013	712.00	774.00	-62.00
9. SYNGENTA AG-ADR	07/26/2013	11/18/2013	710.00	764.00	-54.00
10. SYNGENTA AG-ADR	07/26/2013	11/19/2013	795.00	796.00	-1.00
26. TCF FINL CORP DEL	07/11/2012	03/11/2013	695.00	680.00	15.00
24. TAIWAN SEMICONDUCTOR-S	07/27/2012	06/06/2013	446.00	320.00	126.00
63. TAIWAN SEMICONDUCTOR-S	07/26/2012	06/07/2013	1,177.00	839.00	338.00
45. TAIWAN SEMICONDUCTOR-S	07/26/2012	06/12/2013	824.00	599.00	225.00
78. TAIWAN SEMICONDUCTOR-S	07/26/2012	06/13/2013	1,417.00	1,039.00	378.00
35. TAIWAN SEMICONDUCTOR-S	10/24/2013	11/19/2013	615.00	655.00	-40.00
19. TATA MTRS LTD SPD AD	04/16/2013	11/19/2013	585.00	486.00	99.00
1. TELEPHONE & DATA SYSTEM	04/12/2012	03/11/2013	27.00	27.00	
1. TELEPH & DATA SYST 6.87	04/12/2012	03/11/2013	26.00	27.00	-1.00
18. TENCENT HLDGS LTD	12/06/2012	07/19/2013	766.00	587.00	179.00
54. TERADATA CORP DEL	07/13/2012	04/02/2013	3,081.00	3,654.00	-573.00
6. TESLA MTRS INC	04/03/2013	04/22/2013	299.00	247.00	52.00
3. TESLA MTRS INC	04/03/2013	04/29/2013	163.00	123.00	40.00
4. TESLA MTRS INC	04/03/2013	04/30/2013	227.00	165.00	62.00
5. TESLA MTRS INC	04/03/2013	05/07/2013	311.00	206.00	105.00
26. TESLA MTRS INC	04/03/2013	05/07/2013	1,494.00	1,069.00	425.00
1. TESLA MTRS INC	04/03/2013	05/10/2013	78.00	41.00	37.00
15. TESLA MTRS INC	04/03/2013	05/13/2013	1,209.00	617.00	592.00
9. TESORO LOGISTICS LP COM	04/09/2013	04/30/2013	535.00	478.00	57.00

1b Total. Combine the amounts in column (f) Enter here and on Schedule D, line 1b

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2012

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**SCHEDULE D-1
(Form 1041)**

Department of the Treasury
Internal Revenue Service

**Continuation Sheet for Schedule D
(Form 1041)**

OMB No 1545-0092

2012

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

▶ Information about Schedule D (Form 1041) and its separate instructions is at www.irs.gov/form1041

Name of estate or trust

31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number

06-1565971

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 2. TESORO LOGISTICS LP COM	04/09/2013	05/01/2013	120.00	106.00	14.00
22. TESORO LOGISTICS LP CO	04/03/2013	05/03/2013	1,411.00	1,161.00	250.00
6. TESORO LOGISTICS LP COM	04/03/2013	06/13/2013	347.00	317.00	30.00
3. TESORO LOGISTICS LP COM	04/03/2013	06/21/2013	160.00	158.00	2.00
4. TESORO LOGISTICS LP COM	04/03/2013	07/01/2013	244.00	211.00	33.00
48. TESORO LOGISTICS LP CO	04/03/2013	07/23/2013	2,592.00	2,533.00	59.00
15. TEVA PHARMACEUTICAL IN	12/06/2012	06/12/2013	586.00	769.00	-183.00
112. TETRA TECHNOLOGIES IN	04/03/2013	04/09/2013	2,962.00	3,251.00	-289.00
30. TEXTRON INC	04/17/2013	11/20/2013	921.00	764.00	157.00
5. THERMO ELECTRON CORP	11/07/2012	07/24/2013	455.00	306.00	149.00
9. TORCHMARK CORP JR SUB D	09/18/2012	03/11/2013	232.00	225.00	7.00
9. TRANSDIGM GROUP INC	10/01/2013	11/19/2013	1,304.00	1,262.00	42.00
40. TULLOW OIL PLC	12/14/2012	10/23/2013	314.00	389.00	-75.00
45. TULLOW OIL PLC	12/14/2012	10/24/2013	350.00	438.00	-88.00
48. TULLOW OIL PLC	12/14/2012	10/24/2013	373.00	467.00	-94.00
27. TULLOW OIL PLC	12/14/2012	10/31/2013	205.00	263.00	-58.00
26. TULLOW OIL PLC	12/14/2012	10/31/2013	197.00	253.00	-56.00
119. TULLOW OIL PLC	12/14/2012	11/01/2013	898.00	1,157.00	-259.00
34. TULLOW OIL PLC	05/21/2013	11/04/2013	256.00	326.00	-70.00
27. TULLOW OIL PLC	05/21/2013	11/05/2013	203.00	219.00	-16.00
25. TULLOW OIL PLC	05/21/2013	11/06/2013	187.00	203.00	-16.00
6. TULLOW OIL PLC	05/21/2013	11/07/2013	45.00	49.00	-4.00
60. TULLOW OIL PLC	05/21/2013	11/12/2013	424.00	487.00	-63.00
17. TUMI HLDGS INC COM USD	06/13/2013	06/20/2013	402.00	388.00	14.00

1b Total. Combine the amounts in column (f) Enter here and on Schedule D, line 1b

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2012

SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D
(Form 1041)

OMB No 1545-0092

2012

▶ **Attach to Schedule D to list additional transactions for lines 1a and 6a.**
▶ **Information about Schedule D (Form 1041) and its separate instructions is at www.irs.gov/form1041**

Name of estate or trust

31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number

06-1565971

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 3. TUMI HLDGS INC COM USD0	04/03/2013	06/21/2013	69.00	65.00	4.00
20. TUMI HLDGS INC COM USD	04/03/2013	10/08/2013	377.00	431.00	-54.00
14. TUMI HLDGS INC COM USD	04/03/2013	10/09/2013	262.00	302.00	-40.00
46. TUMI HLDGS INC COM USD	04/03/2013	10/09/2013	867.00	992.00	-125.00
31. TUMI HLDGS INC COM USD	04/03/2013	10/10/2013	589.00	669.00	-80.00
21. US BANCORP 6.00%	04/18/2012	03/11/2013	575.00	534.00	41.00
25. US BANCORP DEL DEP SHS	06/25/2012	03/11/2013	739.00	697.00	42.00
4. UNDER ARMOUR INC	06/13/2013	10/22/2013	331.00	238.00	93.00
139. UNILEVER N V NY SHS N	01/31/2013	04/02/2013	5,776.00	5,327.00	449.00
5. UNION PAC CORP	07/30/2012	04/02/2013	706.00	617.00	89.00
4451.48 U.S. TSY INFL IDX 1/15/28	01/22/2013	08/09/2013	5,051.00	5,690.00	-639.00
49000. U S TREAS NTS 11/15/21	02/16/2012	12/07/2012	51,335.00	49,207.00	2,128.00
8000. U S TREAS NTS 11/15/21	05/07/2013	11/20/2013	7,813.00	8,294.00	-481.00
3000. U S TREAS NTS 2/28/19	07/09/2013	08/09/2013	2,971.00	2,950.00	21.00
7124.67 U.S. TSY INFL IDX 07/15/22	12/07/2012	11/20/2013	6,973.00	7,783.00	-810.00
25000. U S TREAS NTS 10/31/17	11/21/2012	03/01/2013	25,078.00	25,083.00	-5.00
28000. U S TREAS NTS 10/31/17	11/21/2012	03/04/2013	28,081.00	28,093.00	-12.00
14000. U S TREAS NTS 10/31/17	12/18/2012	11/20/2013	13,864.00	14,014.00	-150.00
11000. U S TREAS NTS 12/31/19	01/09/2013	11/20/2013	10,567.00	10,901.00	-334.00
23000. U S TREAS NTS 2/15/23	04/02/2013	08/27/2013	21,655.00	23,291.00	-1,636.00
7000. U S TREAS NTS 2/15/23	04/02/2013	11/20/2013	6,646.00	7,085.00	-439.00
82. VARIAN MEDICAL SYSTEMS	04/02/2013	06/21/2013	5,555.00	5,904.00	-349.00
9. VARIAN MEDICAL SYSTEMS	04/02/2013	09/03/2013	639.00	648.00	-9.00
12. VARIAN MEDICAL SYSTEMS	04/02/2013	09/04/2013	861.00	864.00	-3.00

1b Total. Combine the amounts in column (f) Enter here and on Schedule D, line 1b

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2012

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**SCHEDULE D-1
(Form 1041)**

Department of the Treasury
Internal Revenue Service

**Continuation Sheet for Schedule D
(Form 1041)**

OMB No 1545-0092

2012

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.
▶ Information about Schedule D (Form 1041) and its separate instructions is at www.irs.gov/form1041

Name of estate or trust **31-C7B007575005 THE RICHARD AND SUSAN** Employer identification number **06-1565971**

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 25. VARIAN MEDICAL SYSTEMS	04/02/2013	09/05/2013	1,794.00	1,800.00	-6.00
20. VARIAN MEDICAL SYSTEMS	04/02/2013	09/06/2013	1,438.00	1,440.00	-2.00
36. VARIAN MEDICAL SYSTEMS	04/02/2013	09/09/2013	2,603.00	2,592.00	11.00
42. VARIAN MEDICAL SYSTEMS	04/02/2013	09/10/2013	3,084.00	3,024.00	60.00
20. VARIAN MEDICAL SYSTEMS	04/02/2013	09/11/2013	1,487.00	1,440.00	47.00
10. VENTAS RLTY LTD PARTNE	03/05/2013	03/11/2013	252.00	252.00	
296. VERIZON COMMUNICATION	06/11/2012	04/02/2013	14,635.00	12,065.00	2,570.00
8. VERISK ANALYTICS I CL A	04/03/2013	04/11/2013	488.00	486.00	2.00
4. VERISK ANALYTICS I CL A	04/03/2013	04/18/2013	237.00	243.00	-6.00
8. VERISK ANALYTICS I CL A	04/03/2013	04/18/2013	474.00	486.00	-12.00
11. VERISK ANALYTICS I CL	04/03/2013	10/22/2013	752.00	669.00	83.00
10. VERISK ANALYTICS I CL	04/03/2013	11/01/2013	678.00	608.00	70.00
154. VERTEX PHARMACEUTICAL	11/02/2012	04/02/2013	8,357.00	8,567.00	-210.00
3. VISA INC-CLASS A SHARES	06/20/2013	10/18/2013	595.00	543.00	52.00
35. VISA INC-CLASS A SHARE	06/20/2013	11/20/2013	6,980.00	6,312.00	668.00
17. VORNADO RLTY TR	01/18/2013	03/11/2013	421.00	420.00	1.00
22. VORNADO REALTY TRUST	07/13/2012	03/11/2013	565.00	554.00	11.00
12. WACHOVIA PFD 7.250%	03/20/2012	03/06/2013	334.00	309.00	25.00
28. WACHOVIA PFD 7.250%	03/20/2012	03/11/2013	778.00	721.00	57.00
23. WEINGARTEN RLTY INVS	04/25/2012	03/18/2013	575.00	577.00	-2.00
11. WELLPOINT INC	07/17/2013	11/20/2013	1,024.00	904.00	120.00
15. WELLS FARGO & COMPANY	06/17/2013	10/30/2013	324.00	363.00	-39.00
13. WESTERN DIGITAL CORP	03/22/2013	11/20/2013	962.00	617.00	345.00
73. WESTERN GAS EQUITY PAR	04/03/2013	04/09/2013	2,445.00	2,471.00	-26.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2012

**SCHEDULE D-1
(Form 1041)**

Department of the Treasury
Internal Revenue Service

**Continuation Sheet for Schedule D
(Form 1041)**

OMB No 1545-0092

2012

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

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Name of estate or trust

31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number

06-1565971

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 51. WHOLE FOODS MKT INC	06/13/2013	07/31/2013	2,825.00	2,159.00	666.00
20. XOOM CORP	06/13/2013	07/09/2013	560.00	420.00	140.00
12. XOOM CORP	06/13/2013	07/15/2013	312.00	252.00	60.00
12. XOOM CORP	06/13/2013	07/31/2013	402.00	252.00	150.00
12. XOOM CORP	06/13/2013	08/07/2013	354.00	252.00	102.00
11. YUM BRANDS INC	07/16/2013	11/19/2013	812.00	787.00	25.00
4. ZILLOW INC COM USD0.000	05/21/2013	07/24/2013	291.00	237.00	54.00
1. ZILLOW INC COM USD0.000	05/21/2013	07/30/2013	71.00	59.00	12.00
5. ZILLOW INC COM USD0.000	05/21/2013	08/07/2013	414.00	296.00	118.00
3. ZILLOW INC COM USD0.000	05/16/2013	08/08/2013	262.00	176.00	86.00
1. ZILLOW INC COM USD0.000	05/16/2013	08/13/2013	94.00	59.00	35.00
2. ZILLOW INC COM USD0.000	05/16/2013	09/03/2013	197.00	117.00	80.00
1. ZILLOW INC COM USD0.000	05/16/2013	09/11/2013	99.00	59.00	40.00
16. DEUTSCHE BANK AG NAMEN	02/01/2013	11/19/2013	730.00	845.00	-115.00
46. ARCH CAP GROUP LTD PFD	03/27/2012	03/11/2013	1,283.00	1,151.00	132.00
26. ASPEN INSURANCE HOLDIN	05/09/2012	03/11/2013	712.00	649.00	63.00
54. AXIS CAPITAL HLDGS LTD	11/27/2012	03/11/2013	1,499.00	1,394.00	105.00
2. ACCENTURE PLC	01/07/2013	05/02/2013	160.00	138.00	22.00
5. ACCENTURE PLC	01/07/2013	05/06/2013	395.00	344.00	51.00
3. ACCENTURE PLC	01/07/2013	05/07/2013	237.00	207.00	30.00
13. ACCENTURE PLC	04/29/2013	06/28/2013	933.00	1,037.00	-104.00
12. ACCENTURE PLC	01/28/2013	09/24/2013	902.00	843.00	59.00
9. ACCENTURE PLC	12/20/2012	11/19/2013	707.00	609.00	98.00
62. ACCENTURE PLC	04/02/2013	11/20/2013	4,855.00	4,760.00	95.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2012

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SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D
(Form 1041)

OMB No 1545-0092

2012

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

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Name of estate or trust

31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number

06-1565971

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 127. EATON CORP PLC	02/26/2013	04/02/2013	7,746.00	7,435.00	311.00
1. PARTNERRE LTD PFD C 6.7	04/12/2012	03/19/2013	25.00	25.00	
22. PARTNERRE LTD PFD 5.87	02/12/2013	03/11/2013	546.00	549.00	-3.00
1. PARTNERRE LTD	04/12/2012	03/11/2013	27.00	26.00	1.00
25. PRUDENTIAL PLC	04/12/2012	12/26/2012	625.00	642.00	-17.00
1. RENAISSANCE HLDGS PFD	04/12/2012	03/11/2013	25.00	25.00	
5. SINA CORP ORD	05/17/2013	11/19/2013	398.00	297.00	101.00
45. GOLAR LNG LTD BERMUDA	04/03/2013	04/18/2013	1,490.00	1,589.00	-99.00
18. PENTAIR LTD REGISTERED	07/02/2013	11/20/2013	1,257.00	962.00	295.00
56. TYCO INTERNATIONAL COM	07/12/2013	11/20/2013	2,107.00	1,837.00	270.00
129. CAESARSTONE SDOT-YAM	06/13/2013	07/23/2013	4,446.00	2,909.00	1,537.00
7. CAESARSTONE SDOT-YAM LT	08/01/2013	11/05/2013	292.00	231.00	61.00
7. CAESARSTONE SDOT-YAM LT	08/01/2013	11/12/2013	304.00	231.00	73.00
7. CHECK POINT SOFTWARE TE 00	05/24/2012	04/26/2013	316.00	369.00	-53.00
14. CHECK POINT SOFTWARE T 00	05/24/2012	04/29/2013	637.00	738.00	-101.00
23. MELLANOX TECHNOLOGIES	07/19/2013	09/19/2013	829.00	1,232.00	-403.00
39. RADWARE LTD	04/03/2013	09/12/2013	576.00	737.00	-161.00
71. RADWARE LTD	04/03/2013	09/13/2013	1,047.00	1,341.00	-294.00
62. RADWARE LTD	04/03/2013	09/19/2013	917.00	1,171.00	-254.00
31. RADWARE LTD	07/24/2013	09/20/2013	461.00	560.00	-99.00
31. RADWARE LTD	07/25/2013	09/23/2013	442.00	456.00	-14.00
1. AEGON N.V. 6.875% PFD	04/12/2012	12/26/2012	25.00	24.00	1.00
1. AEGON NV 7.250% PFD	04/12/2012	04/09/2013	25.00	25.00	
.05 ASML HOLDING N V	10/12/2012	12/04/2012	3.00	3.00	

1b Total. Combine the amounts in column (f) Enter here and on Schedule D, line 1b

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2012

Department of the Treasury
Internal Revenue Service

OMB No. 1545-0092

2012

▶ **Attach to Schedule D to list additional transactions for lines 1a and 6a**

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Name of estate or trust

Employer identification number

31-C7B007575005 THE RICHARD AND SUSAN

06-1565971

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

1b Total. Combine the amounts in column (f) Enter here and on Schedule D, line 1b	47,047.00
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For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2012

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* INDICATES WASH SALE

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Name of estate or trust as shown on Form 1041 Do not enter name and employer identification number if shown on the other side

Employer identification number

31-C7B007575005 THE RICHARD AND SUSAN

06-1565971

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
6a 99. AES CORP	02/28/2012	11/20/2013	1,454.00	1,250.00	204.00
9. AT&T INC	04/26/2012	06/24/2013	309.00	286.00	23.00
49. AT&T INC	05/20/2011	11/20/2013	1,754.00	1,536.00	218.00
29. AARONS INC	05/20/2011	03/11/2013	832.00	798.00	34.00
32. AARONS INC	05/20/2011	11/19/2013	955.00	881.00	74.00
27. ACUITY BRANDS INC	05/20/2011	03/11/2013	1,949.00	1,616.00	333.00
27. ACUITY BRANDS INC	05/20/2011	11/19/2013	2,787.00	1,616.00	1,171.00
2. ACUITY BRANDS INC	05/20/2011	11/27/2013	206.00	120.00	86.00
11. ADIDAS AG ADR	05/20/2011	12/07/2012	479.00	407.00	72.00
20. ADIDAS AG ADR	05/20/2011	11/19/2013	1,195.00	740.00	455.00
126. AEGON N V PERP CAP SE	05/20/2011	03/11/2013	3,339.00	3,082.00	257.00
34. AEGON N V PFD 6.5%	05/20/2011	03/11/2013	853.00	816.00	37.00
9. AEGON N V PFD 6.5%	04/10/2012	05/24/2013	229.00	210.00	19.00
70. AEGON N V PERP CAP SEC PF	05/20/2011	03/11/2013	1,728.00	1,642.00	86.00
23. AEGON N V PERP CAP SEC PF	05/20/2011	04/30/2013	570.00	540.00	30.00
12. AEGON N V PERP CAP SEC PF	05/20/2011	05/31/2013	302.00	282.00	20.00
26. AFFILIATED MANAGERS GR	05/20/2011	03/11/2013	3,900.00	2,738.00	1,162.00
5. AFFILIATED MANAGERS GRO	05/20/2011	07/17/2013	876.00	527.00	349.00
20. AFFILIATED MANAGERS GR	05/20/2011	11/19/2013	3,970.00	2,106.00	1,864.00
2. AFFILIATED MANAGERS GRO	05/20/2011	11/27/2013	401.00	211.00	190.00
1. AIRGAS INC	08/07/2012	11/19/2013	109.00	83.00	26.00
85. ALEXION PHARMACEUTICAL	05/20/2011	01/07/2013	8,260.00	4,074.00	4,186.00
110. ALLERGAN INC	05/20/2011	01/07/2013	10,842.00	9,198.00	1,644.00
468.981 ALLIANZ GL INV FXD	05/20/2011	06/13/2013	6,167.00	6,242.00	-75.00
3582.046 ALLIANZ GL INV FX	05/20/2011	11/20/2013	46,996.00	47,677.00	-681.00

6b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 6b

Schedule D-1 (Form 1041) 2012

Name of estate or trust as shown on Form 1041 Do not enter name and employer identification number if shown on the other side

Employer identification number

31-C7B007575005 THE RICHARD AND SUSAN

06-1565971

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
6a 2225.902 ALLIANZ GL INV FX	05/20/2011	06/13/2013	24,440.00	23,661.00	779.00
2264.92 ALLIANZ GL INV FXD	05/20/2011	11/20/2013	24,620.00	24,076.00	544.00
45. AMAZON COM INC	05/20/2011	01/07/2013	12,129.00	8,953.00	3,176.00
45. AMAZON COM INC	03/26/2012	04/02/2013	11,867.00	8,851.00	3,016.00
40. AMERICAN ELEC PWR INC	05/20/2011	11/20/2013	1,925.00	1,544.00	381.00
2. AMERICAN EXPRESS CO	10/11/2012	10/17/2013	158.00	117.00	41.00
35. AMERICAN EXPRESS CO	10/11/2012	11/20/2013	2,906.00	1,825.00	1,081.00
7. AMERIPRISE FINANCIAL IN	05/20/2011	04/23/2013	514.00	436.00	78.00
4. AMERIPRISE FINANCIAL IN	05/20/2011	10/07/2013	369.00	249.00	120.00
30. AMERIPRISE FINANCIAL I	05/20/2011	11/20/2013	3,173.00	1,869.00	1,304.00
48. AMERIPRISE FINL 7.75%	05/20/2011	03/11/2013	1,337.00	1,355.00	-18.00
56. AMETEK INC NEW	05/20/2011	03/11/2013	2,376.00	1,599.00	777.00
62. AMETEK INC NEW	05/20/2011	04/16/2013	2,497.00	1,771.00	726.00
27. AMETEK INC NEW	05/20/2011	11/19/2013	1,314.00	771.00	543.00
2. AMETEK INC NEW	05/20/2011	11/27/2013	99.00	57.00	42.00
43. ANSYS INC COM	05/20/2011	03/11/2013	3,438.00	2,458.00	980.00
19. ANSYS INC COM	05/20/2011	11/19/2013	1,596.00	1,086.00	510.00
1. ANSYS INC COM	05/20/2011	11/27/2013	87.00	57.00	30.00
14. APPLE COMPUTER INC	05/20/2011	01/07/2013	7,346.00	4,728.00	2,618.00
13. APPLE COMPUTER INC	05/20/2011	04/02/2013	5,576.00	4,390.00	1,186.00
1. APPLE COMPUTER INC	05/20/2011	10/18/2013	509.00	338.00	171.00
7. APPLE COMPUTER INC	05/20/2011	11/20/2013	3,619.00	2,364.00	1,255.00
35. APPLIED MATERIALS INC	09/10/2012	11/20/2013	591.00	414.00	177.00
34. APTAR GROUP INC	05/20/2011	03/11/2013	1,877.00	1,787.00	90.00
31. APTAR GROUP INC	05/20/2011	11/19/2013	2,004.00	1,629.00	375.00

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31-C7B007575005 THE RICHARD AND SUSAN

06-1565971

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
6a 1. APTAR GROUP INC	05/20/2011	11/27/2013	65.00	53.00	12.00
12. ARM HOLDINGS PLC-SPONS	05/20/2011	01/02/2013	466.00	337.00	129.00
15. ARM HOLDINGS PLC-SPONS	05/20/2011	05/01/2013	714.00	422.00	292.00
10. ARM HOLDINGS PLC-SPONS	05/20/2011	11/19/2013	458.00	281.00	177.00
18. ASSA ABLOY AB ADR	05/20/2011	07/19/2013	401.00	253.00	148.00
18. ASSA ABLOY AB ADR	05/20/2011	07/22/2013	401.00	253.00	148.00
16. ASSA ABLOY AB ADR	05/20/2011	09/25/2013	373.00	225.00	148.00
31. ASSA ABLOY AB ADR	05/20/2011	09/26/2013	716.00	436.00	280.00
23. ASSA ABLOY AB ADR	05/20/2011	09/27/2013	526.00	324.00	202.00
7. ASSA ABLOY AB ADR	05/20/2011	09/27/2013	160.00	99.00	61.00
30. ASSA ABLOY AB ADR	05/20/2011	11/19/2013	745.00	422.00	323.00
63. BG GROUP PLC - SPONS A	05/20/2011	01/02/2013	1,047.00	1,425.00	-378.00
170. BG GROUP PLC - SPONS	05/20/2011	01/03/2013	2,797.00	3,846.00	-1,049.00
2. ADR BAIDU INC REG	11/02/2012	11/19/2013	327.00	291.00	36.00
46. BAKER HUGHES INC	09/08/2011	11/20/2013	2,631.00	3,255.00	-624.00
28. BK OF AMERICA CORP DEP REP1/1200	05/20/2011	03/11/2013	706.00	657.00	49.00
40. BANK AMER CORP	05/20/2011	03/11/2013	1,096.00	1,000.00	96.00
19. BANK OF AMERICA CORP 8	02/15/2012	03/11/2013	485.00	475.00	10.00
32. BANK OF AMERICA CORP 8	02/15/2012	05/01/2013	800.00	794.00	6.00
54. BANK AMER CORP	05/20/2011	03/11/2013	1,358.00	1,307.00	51.00
63. BARCLAYS BK PLC ADR SE 6.625%	05/20/2011	03/11/2013	1,589.00	1,573.00	16.00
62. BARCLAYS BANK PLC 8.12	05/20/2011	03/11/2013	1,582.00	1,665.00	-83.00
4. BARCLAYS BANK PLC 8.125	05/20/2011	04/25/2013	102.00	107.00	-5.00
21. BARCLAYS BANK PLC 8.12	05/20/2011	07/17/2013	534.00	564.00	-30.00
15. BARCLAYS BANK PLC 8.12	05/20/2011	10/30/2013	383.00	403.00	-20.00

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(a) Description of property (Example: 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
6a 17. BARCLAYS BANK PLC 8.12	05/20/2011	11/20/2013	437.00	457.00	-20.00
14. BARCLAYS BANK PLC 8.12	05/20/2011	11/27/2013	356.00	376.00	-20.00
37. BARCLAYS BANK PLC 7.75	05/20/2011	03/11/2013	942.00	972.00	-30.00
94. BARCLAYS BK PLC 7.10%	05/20/2011	03/11/2013	2,385.00	2,412.00	-27.00
79. BERKLEY W R CAP TR II 6.75%	05/20/2011	03/11/2013	2,011.00	1,994.00	17.00
21. BERKLEY W R CAP TR II 6.75%	05/20/2011	04/09/2013	535.00	530.00	5.00
107. BERKLEY W R CAP TR II 6.75%	05/20/2011	05/26/2013	2,675.00	2,701.00	-26.00
24. BIO RAD LABS INC	05/20/2011	03/11/2013	2,953.00	2,984.00	-31.00
10. BIO RAD LABS INC	05/20/2011	11/19/2013	1,216.00	1,243.00	-27.00
29. BIOGEN IDEC INC	11/23/2011	04/02/2013	5,727.00	3,254.00	2,473.00
112. BLACKBAUD INC	05/20/2011	03/11/2013	3,309.00	3,152.00	157.00
29. BLACKBAUD INC	05/20/2011	10/18/2013	1,164.00	816.00	348.00
34. BLACKBAUD INC	05/20/2011	11/19/2013	1,219.00	957.00	262.00
1. BLACKBAUD INC	05/20/2011	11/27/2013	36.00	28.00	8.00
53. BOEING CO	12/06/2011	04/02/2013	4,465.00	3,925.00	540.00
45. BORG WARNER INC. 00	12/01/2011	02/05/2013	3,341.00	3,062.00	279.00
8. CIGNA CORP	08/28/2012	11/20/2013	686.00	358.00	328.00
2. CIGNA CORP	08/28/2012	11/27/2013	176.00	89.00	87.00
3. CNOOC LTD SPND ADR 00	05/20/2011	12/17/2012	641.00	699.00	-58.00
2. CNOOC LTD SPND ADR 00	05/20/2011	12/18/2012	429.00	466.00	-37.00
4. CNOOC LTD SPND ADR 00	05/20/2011	05/21/2013	742.00	932.00	-190.00
6. CNOOC LTD SPND ADR 00	05/20/2011	07/15/2013	1,052.00	1,398.00	-346.00
4. CNOOC LTD SPND ADR 00	05/20/2011	07/30/2013	722.00	932.00	-210.00
2. CNOOC LTD SPND ADR 00	08/09/2011	08/22/2013	400.00	418.00	-18.00
3. CNOOC LTD SPND ADR 00	08/09/2011	08/23/2013	604.00	555.00	49.00

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6a 2. CNOOC LTD SPND ADR 00	08/09/2011	08/26/2013	402.00	370.00	32.00
3. CNOOC LTD SPND ADR 00	08/09/2011	08/27/2013	588.00	555.00	33.00
.1111 CST BRANDS INC	05/20/2011	05/08/2013	3.00	2.00	1.00
14. CST BRANDS INC	01/13/2012	05/15/2013	457.00	280.00	177.00
2. CA, INC	05/20/2011	12/20/2012	45.00	47.00	-2.00
37. CA, INC	05/20/2011	03/21/2013	926.00	860.00	66.00
11. CA, INC	05/20/2011	03/22/2013	278.00	256.00	22.00
29. CA, INC	05/20/2011	03/26/2013	729.00	674.00	55.00
27. CA, INC	12/14/2011	03/28/2013	677.00	578.00	99.00
8. CANADIAN NATL RAILWAY C	05/20/2011	11/19/2013	889.00	617.00	272.00
43. CARLISLE COMPANIES INC	05/20/2011	03/11/2013	3,003.00	2,069.00	934.00
20. CARLISLE COMPANIES INC	05/20/2011	11/19/2013	1,451.00	962.00	489.00
4. CARLISLE COMPANIES INC	08/15/2011	11/27/2013	294.00	149.00	145.00
40. CARMAX INC	05/20/2011	03/11/2013	1,659.00	1,188.00	471.00
31. CARMAX INC	05/20/2011	11/19/2013	1,514.00	921.00	593.00
34. CARNIVAL CORP PAIRED C CARNI	05/20/2011	02/13/2013	1,271.00	1,353.00	-82.00
33. CARNIVAL CORP PAIRED C CARNI	05/20/2011	09/25/2013	1,080.00	1,313.00	-233.00
22. CARNIVAL CORP PAIRED C CARNI	05/20/2011	11/19/2013	784.00	876.00	-92.00
35. CERNER CORP 00	11/22/2011	01/14/2013	2,866.00	1,998.00	868.00
6. CHEVRONTExACO CORP	05/20/2011	02/14/2013	696.00	618.00	78.00
25. CHEVRONTExACO CORP	05/20/2011	11/20/2013	3,056.00	2,576.00	480.00
29. CHURCH & DWIGHT INC	05/20/2011	03/11/2013	1,771.00	1,200.00	571.00
19. CHURCH & DWIGHT INC	05/20/2011	11/19/2013	1,234.00	786.00	448.00
54. CISCO SYS INC	05/11/2012	11/20/2013	1,153.00	1,016.00	137.00
44. CITY NATL CORP COM 00	05/20/2011	03/11/2013	2,516.00	2,455.00	61.00

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6a 37. CITY NATL CORP COM 00	05/20/2011	11/19/2013	2,750.00	2,065.00	685.00
2. CITY NATL CORP COM 00	05/20/2011	11/27/2013	153.00	112.00	41.00
29. CLARCOR INC	03/22/2012	11/19/2013	1,721.00	1,393.00	328.00
3. CLARCOR INC	08/10/2011	11/27/2013	182.00	122.00	60.00
8. CLIFFS NATURAL RESOURCE	10/21/2011	12/04/2012	233.00	479.00	-246.00
8. CLIFFS NATURAL RESOURCE	10/21/2011	12/11/2012	251.00	479.00	-228.00
14. CLIFFS NATURAL RESOURC	10/21/2011	12/13/2012	453.00	837.00	-384.00
3. CLIFFS NATURAL RESOURCE	10/21/2011	12/17/2012	102.00	179.00	-77.00
4. COACH INC	10/10/2011	01/25/2013	204.00	238.00	-34.00
11. COACH INC	10/10/2011	01/28/2013	563.00	655.00	-92.00
14. COACH INC	10/10/2011	01/31/2013	716.00	834.00	-118.00
1. COACH INC	10/10/2011	02/01/2013	51.00	60.00	-9.00
268. COCA COLA COMPANY	06/22/2011	04/02/2013	10,884.00	9,069.00	1,815.00
8. COLUMBIA SPORTSWEAR CO	05/20/2011	03/11/2013	443.00	527.00	-84.00
17. COLUMBIA SPORTSWEAR CO	05/20/2011	11/19/2013	1,133.00	1,119.00	14.00
4. COLUMBIA SPORTSWEAR CO	05/20/2011	11/27/2013	276.00	263.00	13.00
9. COMCAST CORP NEW CL A	05/20/2011	02/14/2013	363.00	227.00	136.00
61. COMCAST CORP NEW CL A	05/20/2011	11/20/2013	2,874.00	1,536.00	1,338.00
7. COMCAST CORP NEW CL A	05/20/2011	11/25/2013	352.00	176.00	176.00
19. HRPT PROPERTIES	05/20/2011	03/11/2013	407.00	414.00	-7.00
16. HRPT PROPERTIES	05/20/2011	06/27/2013	334.00	349.00	-15.00
14. HRPT PROPERTIES	05/20/2011	07/11/2013	293.00	305.00	-12.00
11. COMMONWEALTH REIT	05/27/2011	03/11/2013	281.00	272.00	9.00
19. COMMONWEALTH REIT	05/27/2011	04/04/2013	487.00	469.00	18.00
25. COPART INC	05/20/2011	03/11/2013	806.00	580.00	226.00

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6a 1. COPART INC	05/20/2011	11/19/2013	33.00	23.00	10.00
7. COPART INC	05/20/2011	11/27/2013	241.00	162.00	79.00
42. COUNTRYWIDE CAP IV	05/20/2011	03/11/2013	1,068.00	1,057.00	11.00
42. CREDIT SUISSE GROUP SP	07/12/2011	12/14/2012	1,033.00	1,575.00	-542.00
49. CREDIT SUISSE GROUP SP	07/20/2011	12/17/2012	1,200.00	1,769.00	-569.00
52. CREDIT SUISSE GROUP SP	09/16/2011	12/18/2012	1,292.00	1,505.00	-213.00
24. CREDIT SUISSE GROUP SP	09/16/2011	12/19/2012	605.00	628.00	-23.00
30. CREDIT SUISSE 7.90%	05/20/2011	02/12/2013	767.00	823.00	-56.00
42. CREDIT SUISSE 7.90%	05/20/2011	02/25/2013	1,073.00	1,153.00	-80.00
313. CREDIT SUISSE 7.90%	03/01/2012	03/28/2013	7,825.00	8,537.00	-712.00
14. CULLEN FROST BANKERS I	05/20/2011	03/11/2013	858.00	826.00	32.00
14. CULLEN FROST BANKERS I	05/20/2011	11/19/2013	997.00	826.00	171.00
13. DTE ENERGY CO PFD 6.50	11/29/2011	03/11/2013	358.00	326.00	32.00
100. DANA HLDG CORP	07/27/2011	11/20/2013	1,901.00	1,744.00	157.00
57. DANAHER CORP	05/20/2011	04/02/2013	3,515.00	3,128.00	387.00
2. DASSAULT SYS S A SPD AD	05/20/2011	10/16/2013	223.00	165.00	58.00
4. DASSAULT SYS S A SPD AD	05/20/2011	11/19/2013	468.00	331.00	137.00
13. DELL INC	05/20/2011	12/03/2012	132.00	209.00	-77.00
102. DELL INC	05/20/2011	01/15/2013	1,282.00	1,640.00	-358.00
74. DELL INC	11/16/2011	01/16/2013	932.00	1,182.00	-250.00
37. DELL INC	12/27/2011	02/01/2013	509.00	565.00	-56.00
62. DENTSPLY INTL INC NEW	05/20/2011	03/11/2013	2,655.00	2,448.00	207.00
54. DENTSPLY INTL INC NEW	05/20/2011	11/19/2013	2,598.00	2,132.00	466.00
20. DB CON CAPITAL TRUST V	05/20/2011	03/11/2013	577.00	547.00	30.00
15. DB CON CAPITAL TRUST V	05/20/2011	10/28/2013	406.00	410.00	-4.00

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6a 25. DB CAPITAL FUNDING VII	05/20/2011	03/11/2013	634.00	616.00	18.00
34. DB CAPITAL FUNDING VII	05/20/2011	04/26/2013	855.00	838.00	17.00
155. DEUTSCHE BK CONTINGEN	05/20/2011	03/11/2013	4,147.00	3,868.00	279.00
54. DB CONT CAP TRUST III	05/20/2011	03/11/2013	1,499.00	1,435.00	64.00
43. DB CAPITAL FUNDING X	05/20/2011	12/17/2012	1,077.00	1,105.00	-28.00
12. DB CAPITAL FUNDING X	05/20/2011	03/11/2013	311.00	308.00	3.00
20. DB CAPITAL FUNDING X	05/20/2011	04/05/2013	509.00	514.00	-5.00
15. DEVON ENERGY CORP NEW	05/20/2011	03/28/2013	850.00	1,249.00	-399.00
16. DEVON ENERGY CORP NEW	05/20/2011	06/14/2013	871.00	1,332.00	-461.00
5. DEVON ENERGY CORP NEW	05/20/2011	06/19/2013	275.00	416.00	-141.00
8. DEVON ENERGY CORP NEW	05/20/2011	06/24/2013	416.00	666.00	-250.00
17. DEVON ENERGY CORP NEW	05/20/2011	06/25/2013	895.00	1,415.00	-520.00
15. DIGITAL REALTY TR PREF	09/09/2011	03/11/2013	408.00	375.00	33.00
41. DOMINION RESOURCES INC	05/20/2011	03/11/2013	1,129.00	1,182.00	-53.00
18. DRIL-QUIP INC 00	05/20/2011	03/11/2013	1,498.00	1,254.00	244.00
13. DRIL-QUIP INC 00	05/20/2011	11/19/2013	1,449.00	906.00	543.00
20. DUKE REALTY CORP	05/20/2011	01/18/2013	506.00	551.00	-45.00
43. E M C CORP MASS	05/20/2011	03/07/2013	1,032.00	1,209.00	-177.00
98. E M C CORP MASS	05/20/2011	04/02/2013	2,332.00	2,755.00	-423.00
13. EMBRAER-EMPRESA BRASIL	05/20/2011	02/26/2013	426.00	424.00	2.00
14. EMBRAER-EMPRESA BRASIL	05/20/2011	02/27/2013	472.00	457.00	15.00
14. EMBRAER-EMPRESA BRASIL	05/20/2011	04/12/2013	498.00	457.00	41.00
6. EMBRAER-EMPRESA BRASILE	05/20/2011	04/15/2013	204.00	196.00	8.00
4. EMBRAER-EMPRESA BRASILE	05/20/2011	04/16/2013	135.00	131.00	4.00
28. EMBRAER-EMPRESA BRASIL	05/20/2011	10/30/2013	855.00	914.00	-59.00

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6a 18. EMBRAER-EMPRESA BRASIL	05/20/2011	11/19/2013	561.00	588.00	-27.00
1. ENERGIZER HLDGS INC	06/03/2011	02/22/2013	91.00	79.00	12.00
3. ENERGIZER HLDGS INC	06/03/2011	08/01/2013	306.00	232.00	74.00
4. ENERGIZER HLDGS INC	05/20/2011	10/18/2013	372.00	307.00	65.00
3. ENERGIZER HLDGS INC	05/20/2011	10/23/2013	291.00	230.00	61.00
6. ENERGIZER HLDGS INC	05/20/2011	10/28/2013	602.00	461.00	141.00
34. ENERGIZER HLDGS INC	06/25/2012	11/04/2013	3,349.00	2,519.00	830.00
16. ENTERGY ARK INC	05/20/2011	03/11/2013	430.00	410.00	20.00
18. ENTERGY MISSISSIPPI INC	05/20/2011	03/11/2013	487.00	454.00	33.00
12. ENTERGY LOUISIANA LLC	05/20/2011	03/11/2013	331.00	316.00	15.00
9. ENTERGY LOUISIANA LLC	05/20/2011	03/11/2013	244.00	230.00	14.00
12. ENTERGY TEXAS INC	05/20/2011	03/11/2013	335.00	347.00	-12.00
37. EQUIFAX INC COM	05/20/2011	03/11/2013	2,105.00	1,376.00	729.00
34. EQUIFAX INC COM	05/20/2011	11/19/2013	2,275.00	1,264.00	1,011.00
30. EVEREST RE CAP TR II 6	05/20/2011	02/19/2013	762.00	749.00	13.00
76. EVEREST RE CAP TR II 6	05/20/2011	03/11/2013	1,930.00	1,896.00	34.00
127. EVEREST RE CAP TR II	05/20/2011	05/24/2013	3,175.00	3,169.00	6.00
38. EXPRESS SCRIPTS INC	05/20/2011	02/11/2013	2,091.00	2,287.00	-196.00
25. EXPRESS SCRIPTS INC	05/20/2011	04/02/2013	1,460.00	1,505.00	-45.00
85. FLIR SYS INC	07/21/2011	03/11/2013	2,263.00	3,080.00	-817.00
35. FLIR SYS INC	07/21/2011	11/19/2013	1,023.00	1,010.00	13.00
8. FACTSET RESH SYS INC	05/20/2011	03/11/2013	799.00	867.00	-68.00
11. FACTSET RESH SYS INC	05/20/2011	11/19/2013	1,245.00	1,192.00	53.00
44. FAIR ISAAC & CO INC	05/20/2011	03/11/2013	2,011.00	1,270.00	741.00
11. FAIR ISAAC & CO INC	05/20/2011	04/26/2013	487.00	317.00	170.00

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31-C7B007575005 THE RICHARD AND SUSAN

06-1565971

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

(a) Description of property (Example: 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
6a 53. FAIR ISAAC & CO INC	05/20/2011	11/19/2013	3,046.00	1,529.00	1,517.00
4. FAIR ISAAC & CO INC	05/20/2011	11/27/2013	236.00	115.00	121.00
104. FAMILY DLR STORES INC	12/01/2011	04/02/2013	6,077.00	5,962.00	115.00
34. FANUC CORPORATION	05/20/2011	11/19/2013	957.00	888.00	69.00
439.82 FNMA POOL #AL1948 01/01/42	08/07/2012	08/25/2013	440.00	481.00	-41.00
453.93 FNMA POOL #AL1948 01/01/42	08/07/2012	09/25/2013	454.00	496.00	-42.00
204.63 FNMA POOL #AL1948 01/01/42	08/07/2012	10/25/2013	205.00	224.00	-19.00
203.39 FNMA POOL #AL1948 01/01/42	08/07/2012	11/25/2013	203.00	222.00	-19.00
7999.14 FNMA POOL #934231 1/01/39	10/11/2011	12/04/2012	8,694.00	8,590.00	104.00
530.9 FNMA POOL #934231 5 1/01/39	10/11/2011	12/25/2012	531.00	570.00	-39.00
1718.12 FNMA POOL #AA5224 3/01/39	06/09/2011	12/25/2012	1,718.00	1,792.00	-74.00
1003.3 FNMA POOL #AA5224 3/01/39	06/09/2011	12/31/2012	1,003.00	1,046.00	-43.00
68.42 FNMA POOL #AA5224 3/01/39	06/09/2011	01/31/2013	68.00	71.00	-3.00
420.56 FNMA POOL #AA5224 3/01/39	06/09/2011	03/25/2013	421.00	439.00	-18.00
2829.63 FNMA POOL #AA5224 3/01/39	06/09/2011	04/25/2013	2,830.00	2,951.00	-121.00
1629.41 FNMA POOL #AA5224 3/01/39	06/09/2011	05/25/2013	1,629.00	1,699.00	-70.00
1171.35 FNMA POOL #AA5224 3/01/39	06/09/2011	06/25/2013	1,171.00	1,222.00	-51.00
3361.03 FNMA POOL #AA5224 3/01/39	06/09/2011	07/25/2013	3,361.00	3,505.00	-144.00
44.41 FNMA POOL #AA5224 3/01/39	06/09/2011	08/25/2013	44.00	46.00	-2.00
47.13 FNMA POOL #AA5224 3/01/39	06/09/2011	09/25/2013	47.00	49.00	-2.00
184.53 FNMA POOL #AA5224 3/01/39	06/09/2011	10/25/2013	185.00	192.00	-7.00
2740.5593 FNMA POOL #AA522 3/01/39	06/09/2011	11/20/2013	2,893.00	2,858.00	35.00
550.1 FNMA POOL #AA5224 3/01/39	06/09/2011	11/25/2013	550.00	574.00	-24.00
201.88 FNMA POOL #AA7681 6/01/39	07/09/2012	07/25/2013	202.00	218.00	-16.00
177.48 FNMA POOL #AA7681 6/01/39	07/09/2012	08/25/2013	177.00	192.00	-15.00

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6a 117.35 FNMA POOL #AA7681 6/01/39	07/09/2012	09/25/2013	117.00	127.00	-10.00
64.57 FNMA POOL #AA7681 6/01/39	07/09/2012	10/25/2013	65.00	70.00	-5.00
3905.2696 FNMA POOL #AA768 6/01/39	07/09/2012	11/20/2013	4,142.00	4,215.00	-73.00
47.67 FNMA POOL #AA7681 6/01/39	07/09/2012	11/25/2013	48.00	51.00	-3.00
846.42 FNMA POOL #AB4115 12/01/41	04/09/2012	04/25/2013	846.00	895.00	-49.00
574.53 FNMA POOL #AB4115 12/01/41	04/09/2012	05/25/2013	575.00	607.00	-32.00
464.18 FNMA POOL #AB4115 12/01/41	04/09/2012	06/25/2013	464.00	491.00	-27.00
1298.09 FNMA POOL #AB4115 12/01/41	04/09/2012	07/25/2013	1,298.00	1,372.00	-74.00
300.88 FNMA POOL #AB4115 12/01/41	04/09/2012	08/25/2013	301.00	318.00	-17.00
239.75 FNMA POOL #AB4115 12/01/41	04/09/2012	09/25/2013	240.00	253.00	-13.00
82.87 FNMA POOL #AB4115 4 12/01/41	04/09/2012	10/25/2013	83.00	88.00	-5.00
4481.69 FNMA POOL #AB4115 12/01/41	04/09/2012	11/20/2013	4,660.00	4,738.00	-78.00
255.54 FNMA POOL #AB4115 12/01/41	04/09/2012	11/25/2013	256.00	270.00	-14.00
499.25 FNMA POOL #AB4297 1/01/42	01/10/2012	12/31/2012	499.00	515.00	-16.00
114.48 FNMA POOL #AB5670 07/01/42	10/05/2012	10/25/2013	114.00	123.00	-9.00
268.71 FNMA POOL #AB5670 07/01/42	10/05/2012	11/25/2013	269.00	288.00	-19.00
193.45 FNMA POOL #AB7079 11/01/42	11/07/2012	11/25/2013	193.00	204.00	-11.00
27.24 FNMA POOL #AE1557 8/01/40	06/09/2011	12/25/2012	27.00	29.00	-2.00
375.21 FNMA POOL #AE1557 8/01/40	06/09/2011	12/31/2012	375.00	401.00	-26.00
327.82 FNMA POOL #AE1557 8/01/40	06/09/2011	01/31/2013	328.00	351.00	-23.00
27.06 FNMA POOL #AE1557 8/01/40	06/09/2011	03/25/2013	27.00	29.00	-2.00
226.48 FNMA POOL #AE1557 8/01/40	06/09/2011	04/25/2013	226.00	242.00	-16.00
486.74 FNMA POOL #AE1557 8/01/40	06/09/2011	05/25/2013	487.00	521.00	-34.00
26.64 FNMA POOL #AE1557 8/01/40	06/09/2011	06/25/2013	27.00	28.00	-1.00
27.23 FNMA POOL #AE1557 8/01/40	06/09/2011	07/25/2013	27.00	29.00	-2.00

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6a 26.88 FNMA POOL #AE1557 8/01/40	06/09/2011	08/25/2013	27.00	29.00	-2.00
9441.25 FNMA POOL #AE1557 8/01/40	06/09/2011	09/03/2013	10,132.00	10,098.00	34.00
437.41 FNMA POOL #AE1557 8/01/40	06/09/2011	09/25/2013	437.00	468.00	-31.00
13.06 FNMA POOL #AE1557 8/01/40	06/09/2011	10/25/2013	13.00	14.00	-1.00
1344.7503 FNMA POOL #AE155 8/01/40	06/09/2011	11/20/2013	1,429.00	1,438.00	-9.00
12.95 FNMA POOL #AE1557 8/01/40	06/09/2011	11/25/2013	13.00	14.00	-1.00
36. FEDEX CORPORATION	01/13/2012	04/02/2013	3,494.00	3,224.00	270.00
40. F5 NETWORKS INC 00	05/20/2011	01/07/2013	3,843.00	4,314.00	-471.00
29. FIRST NIAGARA FIN GROU	12/09/2011	03/11/2013	853.00	730.00	123.00
125. FLSMIDTH & CO A S SPO	05/20/2011	01/03/2013	725.00	1,024.00	-299.00
154. FLSMIDTH & CO A S SPO	05/20/2011	01/04/2013	890.00	1,261.00	-371.00
189. FLSMIDTH & CO A S SPO	05/20/2011	01/07/2013	1,100.00	1,548.00	-448.00
52. FLSMIDTH & CO A S SPON	05/20/2011	01/08/2013	304.00	426.00	-122.00
77. FOREST CITY ENTERPRISE	05/20/2011	03/11/2013	1,280.00	1,452.00	-172.00
76. FOREST CITY ENTERPRISE	05/20/2011	11/19/2013	1,480.00	1,433.00	47.00
24. FRESENIUS MEDICAL CARE	05/20/2011	11/19/2013	783.00	858.00	-75.00
49. GAP INC. DEL	05/20/2011	11/20/2013	2,044.00	940.00	1,104.00
70. GENERAL ELEC CO.	08/10/2012	11/20/2013	1,896.00	1,450.00	446.00
106. GENTEX CORP COM	06/22/2011	03/11/2013	2,113.00	3,153.00	-1,040.00
42. GENTEX CORP COM	08/12/2011	07/25/2013	933.00	1,182.00	-249.00
102. GENTEX CORP COM	06/05/2012	11/19/2013	3,000.00	2,517.00	483.00
10. GENTEX CORP COM	08/09/2012	11/27/2013	297.00	175.00	122.00
29. GOLDMAN SACHS GRP INC	05/20/2011	03/11/2013	660.00	.647.00	13.00
27. GOLDMAN SACHS GRP INC	05/20/2011	06/26/2013	586.00	602.00	-16.00
105. GOLDMAN SACHS GROUP I	01/04/2012	03/11/2013	2,873.00	2,604.00	269.00

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6a 10. GOLDMAN SACHS GROUP IN	05/20/2011	03/11/2013	226.00	225.00	1.00
102. GOLDMAN SACHS GROUP I PFD	03/01/2012	03/11/2013	2,720.00	2,548.00	172.00
7. GOOGLE INC CL A	05/20/2011	01/07/2013	5,144.00	3,701.00	1,443.00
1. GOOGLE INC CL A	05/20/2011	03/04/2013	814.00	529.00	285.00
2. GOOGLE INC CL A	05/20/2011	05/03/2013	1,690.00	1,057.00	633.00
36. GRACO INC	05/20/2011	03/11/2013	2,120.00	1,798.00	322.00
27. GRACO INC	05/20/2011	11/19/2013	2,081.00	1,348.00	733.00
73. HCC INS HLDGS INC	05/20/2011	03/11/2013	2,942.00	2,384.00	558.00
63. HCC INS HLDGS INC	05/20/2011	11/19/2013	2,864.00	2,057.00	807.00
44. HSBC HLDGS PLC PFD 6.2	05/20/2011	02/19/2013	1,119.00	1,084.00	35.00
49. HSBC HLDGS PLC PFD 6.2	05/20/2011	03/11/2013	1,234.00	1,207.00	27.00
29. HSBC HOLDINGS PLC 8.12	05/20/2011	01/18/2013	740.00	794.00	-54.00
155. HSBC HLDGS PERP SUB C PR	05/20/2011	03/11/2013	4,328.00	4,345.00	-17.00
4. HANG LUNG PPTYS LTD	05/20/2011	09/09/2013	67.00	83.00	-16.00
12. HANG LUNG PPTYS LTD	05/20/2011	09/10/2013	202.00	249.00	-47.00
19. HANG LUNG PPTYS LTD	05/20/2011	09/17/2013	318.00	393.00	-75.00
6. HANG LUNG PPTYS LTD	05/20/2011	09/18/2013	100.00	124.00	-24.00
18. HANG LUNG PPTYS LTD	05/20/2011	09/19/2013	306.00	373.00	-67.00
12. HANG LUNG PPTYS LTD	05/20/2011	09/23/2013	207.00	249.00	-42.00
6. HANG LUNG PPTYS LTD	05/20/2011	09/24/2013	102.00	124.00	-22.00
3. HANG LUNG PPTYS LTD	05/20/2011	09/26/2013	51.00	62.00	-11.00
11. HANG LUNG PPTYS LTD	05/20/2011	09/27/2013	186.00	228.00	-42.00
2. HANG LUNG PPTYS LTD	05/20/2011	09/30/2013	34.00	41.00	-7.00
26. HANG LUNG PPTYS LTD	05/20/2011	10/08/2013	435.00	538.00	-103.00
8. HANG LUNG PPTYS LTD	05/20/2011	10/09/2013	134.00	166.00	-32.00

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6a 33. HANG LUNG PPTYS LTD	05/20/2011	10/16/2013	537.00	683.00	-146.00
67. HANG LUNG PPTYS LTD	10/05/2012	10/17/2013	1,098.00	1,216.00	-118.00
30. HEALTH CARE REIT 6.5%	03/01/2012	03/11/2013	807.00	758.00	49.00
73. HENNES & MAURITZ AB AD	05/20/2011	10/14/2013	608.00	544.00	64.00
173. HENNES & MAURITZ AB A	05/20/2011	10/15/2013	1,447.00	1,289.00	158.00
105. HENNES & MAURITZ AB A	05/20/2011	11/19/2013	861.00	782.00	79.00
36. HENRY JACK & ASSOC INC	05/20/2011	03/11/2013	1,621.00	1,112.00	509.00
33. HENRY JACK & ASSOC INC	05/20/2011	11/19/2013	1,876.00	1,019.00	857.00
1. HENRY JACK & ASSOC INC	05/20/2011	11/27/2013	57.00	31.00	26.00
22. HOLOGIC INC	11/15/2011	11/11/2013	496.00	534.00	-38.00
77. HOLOGIC INC	12/27/2011	11/20/2013	1,720.00	1,653.00	67.00
13. HOME DEPOT INC	05/20/2011	01/09/2013	820.00	481.00	339.00
8. HOME DEPOT INC	05/20/2011	05/21/2013	626.00	296.00	330.00
8. HOME DEPOT INC	05/20/2011	07/18/2013	642.00	296.00	346.00
35. HOME DEPOT INC	05/20/2011	11/20/2013	2,804.00	1,295.00	1,509.00
4. HONEYWELL INTERNATIONAL	05/20/2011	04/12/2013	295.00	236.00	59.00
17. HONEYWELL INTERNATIONAL	05/20/2011	06/19/2013	1,368.00	1,004.00	364.00
16. HONEYWELL INTERNATIONAL	05/20/2011	06/28/2013	1,276.00	945.00	331.00
4. HONEYWELL INTERNATIONAL	05/20/2011	07/11/2013	330.00	236.00	94.00
3. HONEYWELL INTERNATIONAL	05/20/2011	07/12/2013	246.00	177.00	69.00
7. HONEYWELL INTERNATIONAL	05/20/2011	07/17/2013	577.00	413.00	164.00
3. HONEYWELL INTERNATIONAL	05/20/2011	07/19/2013	250.00	177.00	73.00
4. HONEYWELL INTERNATIONAL	05/20/2011	07/23/2013	332.00	236.00	96.00
3. HONEYWELL INTERNATIONAL	05/20/2011	07/25/2013	248.00	177.00	71.00
9. HONEYWELL INTERNATIONAL	05/20/2011	07/26/2013	746.00	532.00	214.00

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6a 12. HONEYWELL INTERNATIONAL	05/20/2011	07/29/2013	994.00	709.00	285.00
10. HONEYWELL INTERNATIONAL	05/20/2011	07/30/2013	828.00	591.00	237.00
12. HONEYWELL INTERNATIONAL	05/20/2011	07/31/2013	999.00	709.00	290.00
32. HONG KONG EXCHANGES &	05/20/2011	11/19/2013	559.00	711.00	-152.00
41. HOSPITALITY PPTYS RDMB 7.125%	02/22/2012	03/11/2013	1,114.00	1,028.00	86.00
26. HUNT J B TRANS SVCS IN	05/20/2011	03/11/2013	1,793.00	1,201.00	592.00
16. HUNT J B TRANS SVCS IN	05/20/2011	11/19/2013	1,165.00	739.00	426.00
2. HUNT J B TRANS SVCS INC	05/20/2011	11/27/2013	150.00	92.00	58.00
50. IDEX CORP	05/20/2011	03/11/2013	2,605.00	2,232.00	373.00
48. IDEX CORP	05/20/2011	11/19/2013	3,386.00	2,142.00	1,244.00
1. IDEX CORP	05/20/2011	11/27/2013	72.00	45.00	27.00
23. ILLUMINA INC	07/28/2011	02/13/2013	1,162.00	1,391.00	-229.00
122. INDUSTRIAL & COML BK	05/20/2011	09/06/2013	1,655.00	2,004.00	-349.00
37. INDUSTRIAL & COML BK C	05/20/2011	11/19/2013	532.00	608.00	-76.00
88. ING GROEP N V PREF 7.0	05/20/2011	03/11/2013	2,233.00	2,152.00	81.00
10. ING GROEP N V PREF 7.0	05/20/2011	04/09/2013	254.00	245.00	9.00
16. ING GROEP N V PREF 7.0	05/20/2011	04/30/2013	409.00	391.00	18.00
81. ING GROEP N V PERPETUA %	05/20/2011	03/11/2013	2,053.00	2,006.00	47.00
25. ING GROEP N V PERPETUA %	05/20/2011	05/02/2013	641.00	619.00	22.00
12. ING GROEP N V PERPETUA %	05/20/2011	05/24/2013	307.00	297.00	10.00
32. ING GROEP NV 6.125% PF	05/20/2011	03/11/2013	797.00	717.00	80.00
61. ING GROEP NV 6.375% PF	06/10/2011	03/11/2013	1,508.00	1,375.00	133.00
34. ING GROEP NV 7.375%	05/20/2011	03/11/2013	871.00	847.00	24.00
21. ING GROEP NV 7.375%	05/20/2011	04/10/2013	533.00	523.00	10.00
34. ING GROEP NV 7.375%	05/20/2011	05/06/2013	873.00	847.00	26.00

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(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo , day, yr)	(c) Date sold (mo , day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
6a 17. INTEL CORP	05/20/2011	07/19/2013	389.00	395.00	-6.00
66. INTEL CORP	05/20/2011	11/20/2013	1,633.00	1,534.00	99.00
40. INTERCONTINENTALEXCHAN	05/20/2011	01/07/2013	5,087.00	4,867.00	220.00
73.2 ITAU UNIBANCO HOLDING	05/20/2011	07/05/2013	843.00	1,437.00	-594.00
85. ITAU UNIBANCO HOLDING	05/20/2011	07/08/2013	1,012.00	1,668.00	-656.00
28. ITAU UNIBANCO HOLDING	07/20/2011	09/17/2013	388.00	546.00	-158.00
35. ITAU UNIBANCO HOLDING	07/20/2011	11/19/2013	509.00	671.00	-162.00
3. J. P . MORGAN CHASE & C	05/20/2011	06/25/2013	156.00	129.00	27.00
61. J. P . MORGAN CHASE &	05/20/2011	11/20/2013	3,410.00	2,633.00	777.00
50. JP MORGAN CHASE CAP XI	05/20/2011	02/15/2013	1,270.00	1,260.00	10.00
56. JACOBS ENGR GROUP INC	05/20/2011	03/11/2013	2,941.00	2,614.00	327.00
3. JACOBS ENGR GROUP INC	05/20/2011	03/20/2013	163.00	140.00	23.00
51. JACOBS ENGR GROUP INC	05/20/2011	10/01/2013	2,994.00	2,381.00	613.00
15. JACOBS ENGR GROUP INC	05/20/2011	11/19/2013	899.00	700.00	199.00
1. JACOBS ENGR GROUP INC	06/05/2012	11/27/2013	60.00	35.00	25.00
18. JOHNSON & JOHNSON	08/20/2012	11/20/2013	1,714.00	1,218.00	496.00
21. JOY GLOBAL INC-WI	03/01/2012	03/07/2013	1,300.00	1,817.00	-517.00
22. JOY GLOBAL INC-WI	01/20/2012	03/11/2013	1,360.00	1,876.00	-516.00
17. JOY GLOBAL INC-WI	01/20/2012	04/02/2013	973.00	1,450.00	-477.00
23. JPM CHASE CAPITAL XXIX	05/20/2011	03/11/2013	597.00	599.00	-2.00
33. JPM CHASE CAPITAL XXIX	05/20/2011	03/14/2013	866.00	859.00	7.00
37. JPM CHASE CAPITAL XXIX	05/20/2011	11/22/2013	948.00	963.00	-15.00
203. KDDI CORP ADR	05/20/2011	01/23/2013	3,493.00	3,658.00	-165.00
47. KIMCO REALTY CORP 6.00	03/09/2012	03/11/2013	1,247.00	1,171.00	76.00
33. KIMCO RLTY CORP	05/20/2011	03/11/2013	889.00	851.00	38.00

6b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 6b

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31-C7B007575005 THE RICHARD AND SUSAN

06-1565971

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo , day , yr)	(c) Date sold (mo , day , yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
6a 35. KINGFISHER PLC	05/20/2011	09/13/2013	446.00	318.00	128.00
23. KINGFISHER PLC	05/20/2011	09/16/2013	295.00	209.00	86.00
105. KINGFISHER PLC	05/20/2011	11/19/2013	1,312.00	954.00	358.00
23. KIRBY CORP	05/20/2011	02/20/2013	1,745.00	1,239.00	506.00
32. KIRBY CORP	05/20/2011	03/11/2013	2,428.00	1,724.00	704.00
25. KIRBY CORP	05/20/2011	11/19/2013	2,342.00	1,347.00	995.00
2. KIRBY CORP	05/20/2011	11/27/2013	188.00	108.00	80.00
72. KOMATSU LTD SPNS ADR	05/20/2011	04/04/2013	1,554.00	2,223.00	-669.00
35. KOMATSU LTD SPNS ADR	05/20/2011	11/19/2013	743.00	1,080.00	-337.00
27. KRAFT FOODS GROUP INC	05/20/2011	12/21/2012	1,233.00	997.00	236.00
14. KRAFT FOODS GROUP INC	05/20/2011	12/26/2012	628.00	517.00	111.00
13. KRAFT FOODS GROUP INC	05/20/2011	12/31/2012	578.00	480.00	98.00
81. LKQ CORP	05/20/2011	03/11/2013	1,729.00	1,063.00	666.00
55. LKQ CORP	05/20/2011	05/31/2013	1,365.00	722.00	643.00
33. LKQ CORP	05/20/2011	09/16/2013	1,042.00	433.00	609.00
72. LKQ CORP	05/20/2011	11/19/2013	2,348.00	945.00	1,403.00
206. LI & FUNG LTD	09/16/2011	01/03/2013	757.00	746.00	11.00
643. LI & FUNG LTD	09/19/2011	01/15/2013	1,853.00	2,240.00	-387.00
17. LVMH MOET HENNESSY LOU	05/20/2011	12/07/2012	606.00	576.00	30.00
39. LVMH MOET HENNESSY LOU	05/20/2011	11/19/2013	1,485.00	1,322.00	163.00
19. LAM RESH CORP	02/07/2012	11/20/2013	958.00	816.00	142.00
105. LAS VEGAS SANDS CORP	05/20/2011	01/07/2013	5,353.00	4,402.00	951.00
12. LAS VEGAS SANDS CORP	01/10/2012	01/31/2013	658.00	523.00	135.00
14. LAS VEGAS SANDS CORP	01/10/2012	11/19/2013	975.00	611.00	364.00
10. LENNAR CORP	05/20/2011	01/28/2013	421.00	180.00	241.00

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(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
6a 50. LENNAR CORP	05/20/2011	11/20/2013	1,752.00	901.00	851.00
126. LLOYDS BANKING GROUP 7.750%	05/20/2011	03/11/2013	3,509.00	3,386.00	123.00
5. MARKEL CORP	05/20/2011	03/11/2013	2,488.00	2,086.00	402.00
7. MARKEL CORP	05/20/2011	11/19/2013	3,799.00	2,921.00	878.00
5. MEADWESTVACO CORP	05/20/2011	02/14/2013	158.00	148.00	10.00
5. MEADWESTVACO CORP	05/20/2011	02/15/2013	175.00	148.00	27.00
5. MEADWESTVACO CORP	05/20/2011	02/15/2013	173.00	148.00	25.00
32. MEADWESTVACO CORP	05/20/2011	06/19/2013	1,123.00	947.00	176.00
30. MEADWESTVACO CORP	08/10/2012	09/03/2013	1,090.00	871.00	219.00
19. MEDTRONIC INC	02/21/2012	11/20/2013	1,086.00	740.00	346.00
2. MERCADOLIBRE INC	09/22/2011	05/09/2013	242.00	120.00	122.00
4. MERCADOLIBRE INC	09/22/2011	05/10/2013	480.00	240.00	240.00
3. MERCADOLIBRE INC	09/22/2011	08/02/2013	386.00	180.00	206.00
6. MERCADOLIBRE INC	09/22/2011	09/25/2013	778.00	360.00	418.00
1. MERCADOLIBRE INC	09/22/2011	11/19/2013	108.00	60.00	48.00
59. MERRILL LYNCH CAPITAL	05/20/2011	03/11/2013	1,496.00	1,435.00	61.00
40. MERRILL LYNCH CAP TR I	05/20/2011	03/11/2013	1,015.00	972.00	43.00
6. METTLER-TOLEDO INTL INC	05/20/2011	03/11/2013	1,312.00	1,014.00	298.00
5. METTLER-TOLEDO INTL INC	05/20/2011	11/19/2013	1,239.00	845.00	394.00
9. MICROSOFT CORP	08/18/2011	02/05/2013	248.00	224.00	24.00
34. MICROSOFT CORP	08/18/2011	03/07/2013	956.00	847.00	109.00
276. MICROSOFT CORP	08/18/2011	04/02/2013	7,924.00	6,864.00	1,060.00
10. MONDELEZ INTL INC	05/20/2011	05/23/2013	311.00	229.00	82.00
18. MONDELEZ INTL INC	05/20/2011	11/20/2013	610.00	413.00	197.00
109. MONSANTO CO NEW	06/30/2011	04/02/2013	11,339.00	7,626.00	3,713.00

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6a 44. MORNINGSTAR INC	05/20/2011	03/11/2013	3,034.00	2,626.00	408.00
42. MORNINGSTAR INC	05/20/2011	11/19/2013	3,555.00	2,507.00	1,048.00
2. MYLAN LABORATORIES INCO	02/28/2012	08/13/2013	74.00	46.00	28.00
19. MYLAN LABORATORIES INC	02/28/2012	09/10/2013	727.00	401.00	326.00
44. MYLAN LABORATORIES INC	08/25/2011	11/20/2013	1,856.00	810.00	1,046.00
3. MYLAN LABORATORIES INCO	08/25/2011	11/27/2013	132.00	55.00	77.00
80. NATIONAL-OILWELL INC	05/20/2011	01/07/2013	5,690.00	5,440.00	250.00
40. NATL RETAIL PROPERTIES	02/29/2012	03/11/2013	1,065.00	1,001.00	64.00
130. NIKE INC CL B	05/20/2011	01/07/2013	6,874.00	5,545.00	1,329.00
13. NOVARTIS AG-ADR	05/20/2011	10/31/2013	1,010.00	801.00	209.00
14. NOVARTIS AG-ADR	05/20/2011	11/19/2013	1,098.00	863.00	235.00
6. NOVO NORDISK A S ADR	05/20/2011	11/19/2013	1,045.00	748.00	297.00
17. O REILLY AUTOMOTIVE IN	05/20/2011	03/11/2013	1,775.00	983.00	792.00
26. O REILLY AUTOMOTIVE IN	05/20/2011	04/19/2013	2,585.00	1,504.00	1,081.00
9. O REILLY AUTOMOTIVE INC	05/20/2011	11/19/2013	1,117.00	520.00	597.00
29. OCEANEERING INTL INC	05/20/2011	03/11/2013	1,839.00	1,185.00	654.00
23. OCEANEERING INTL INC	05/20/2011	11/19/2013	1,850.00	940.00	910.00
28. PS BUSINESS PARKS INC	01/10/2012	03/11/2013	734.00	698.00	36.00
16. PALL CORP	08/19/2011	03/11/2013	1,098.00	709.00	389.00
13. PALL CORP	08/19/2011	11/19/2013	1,070.00	576.00	494.00
29. PEARSON PLC SPND ADR	04/30/2012	11/19/2013	620.00	552.00	68.00
11. PEPSICO INC	08/10/2012	11/20/2013	946.00	780.00	166.00
15. PFIZER INC.	05/20/2011	04/23/2013	466.00	312.00	154.00
4. PFIZER INC.	05/20/2011	07/30/2013	119.00	83.00	36.00
115. PFIZER INC.	05/20/2011	11/20/2013	3,672.00	2,392.00	1,280.00

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6a 50. PHILIP MORRIS INTL INC	02/09/2012	04/02/2013	4,711.00	4,022.00	689.00
7. POTASH CORP SASK INC CO	05/20/2011	06/12/2013	282.00	367.00	-85.00
11. POTASH CORP SASK INC C	05/20/2011	06/13/2013	443.00	577.00	-134.00
23. POTASH CORP SASK INC C	05/20/2011	06/24/2013	880.00	1,207.00	-327.00
14. POTASH CORP SASK INC C	05/20/2011	07/29/2013	523.00	735.00	-212.00
72. POTASH CORP SASK INC C	11/28/2011	07/31/2013	2,154.00	3,771.00	-1,617.00
60. PRAXAIR INC	08/29/2011	01/07/2013	6,787.00	6,029.00	758.00
6. PRECISION CASTPARTS COR	05/20/2011	01/18/2013	1,116.00	926.00	190.00
43. PRECISION CASTPARTS CO	05/20/2011	04/02/2013	7,955.00	6,633.00	1,322.00
12. PRICELINE GROUP INC/TH	10/10/2011	01/07/2013	7,911.00	5,901.00	2,010.00
307. PRICELINE GROUP INC/T	03/01/1999	06/14/2013	249,319.00	1,474.00	247,845.00
44. PROCTOR & GAMBLE CO	06/22/2011	04/02/2013	3,461.00	2,916.00	545.00
31. PRUDENTIAL FINANCIAL I	05/20/2011	12/12/2012	799.00	879.00	-80.00
50. PRUDENTIAL FINANCIAL I	05/20/2011	03/11/2013	1,272.00	1,418.00	-146.00
82. PRUDENTIAL FINANCIAL I	04/12/2012	06/15/2013	2,050.00	2,324.00	-274.00
42. PUBLIC STORAGE PFD SER	07/20/2011	03/11/2013	1,116.00	1,044.00	72.00
27. PUBLIC STORAGE PFD SHS	05/20/2011	03/11/2013	728.00	687.00	41.00
7. PUBLIC STORAGE 6.875% P	05/20/2011	03/11/2013	190.00	190.00	
12. PUBLIC STORAGE 6.875%	05/20/2011	11/27/2013	307.00	325.00	-18.00
42. PUBLIC STORAGE 5.9% PF	01/06/2012	03/11/2013	1,097.00	1,045.00	52.00
52. PUBLIC STORAGE	03/06/2012	03/11/2013	1,337.00	1,294.00	43.00
7. QUALCOMM INC	03/26/2012	10/18/2013	481.00	472.00	9.00
24. QWEST CORP 7.375%	09/13/2011	03/11/2013	639.00	609.00	30.00
50. QWEST CORP	12/08/2011	03/11/2013	1,356.00	1,268.00	88.00
56. RANGE RES CORP	05/20/2011	04/02/2013	4,432.00	2,997.00	1,435.00

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6a 19. RAYMOND JAMES FINANCIAL	03/01/2012	03/11/2013	523.00	484.00	39.00
30. REALTY INCOME CORP	02/03/2012	03/11/2013	797.00	750.00	47.00
39. RECKITT BENCKISER GROUP	05/20/2011	12/07/2012	493.00	439.00	54.00
86. RECKITT BENCK GRP SPON	05/20/2011	07/17/2013	1,215.00	968.00	247.00
63. RECKITT BENCK GRP SPON	05/20/2011	11/19/2013	992.00	709.00	283.00
30. REGENCY CENTERS CORP 6	02/08/2012	03/11/2013	794.00	750.00	44.00
35. REGENERON PHARMACEUTIC	08/17/2011	01/07/2013	6,386.00	1,953.00	4,433.00
90. ROYAL BK SCOTLAND GROUP	07/14/2011	03/11/2013	2,087.00	1,638.00	449.00
87. ROYAL BK SCOTLAND GROUP	02/01/2012	05/09/2013	2,045.00	1,491.00	554.00
93. SEI CORP	05/20/2011	03/11/2013	2,691.00	2,158.00	533.00
36. SEI CORP	05/20/2011	11/19/2013	1,221.00	835.00	386.00
3. SLM CORP	11/19/2012	11/20/2013	78.00	51.00	27.00
64. SALESFORCE COM INC	05/20/2011	01/07/2013	10,796.00	9,434.00	1,362.00
112. SALLY BEAUTY HLDGS INC	07/25/2011	03/11/2013	3,313.00	1,886.00	1,427.00
36. SALLY BEAUTY HLDGS INC	05/20/2011	11/19/2013	1,000.00	581.00	419.00
15. SALLY BEAUTY HLDGS INC	05/20/2011	11/27/2013	425.00	242.00	183.00
70. SANDISK CORP	01/27/2012	04/02/2013	3,803.00	3,281.00	522.00
10. SAP AG-SPONSORED ADR	05/20/2011	07/03/2013	710.00	620.00	90.00
11. SAP AG-SPONSORED ADR	05/20/2011	07/09/2013	792.00	682.00	110.00
13. SAP AG-SPONSORED ADR	05/20/2011	10/15/2013	944.00	807.00	137.00
8. SAP AG-SPONSORED ADR	05/20/2011	10/16/2013	581.00	496.00	85.00
7. SAP AG-SPONSORED ADR	05/20/2011	10/17/2013	509.00	434.00	75.00
7. SAP AG-SPONSORED ADR	05/20/2011	11/19/2013	575.00	434.00	141.00
103. SBERBANK RUSSIA	09/12/2011	12/14/2012	1,246.00	1,095.00	151.00
277. SBERBANK RUSSIA	09/12/2011	03/27/2013	3,435.00	2,944.00	491.00

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6a 6. SCANA CORP NEW JR SB NT	05/20/2011	03/11/2013	163.00	170.00	-7.00
29. SCHEIN HENRY INC	05/20/2011	03/11/2013	2,614.00	2,098.00	516.00
30. SCHEIN HENRY INC	05/20/2011	11/19/2013	3,398.00	2,171.00	1,227.00
22. SCHLUMBERGER LTD	05/20/2011	12/17/2012	1,528.00	1,850.00	-322.00
2. SCHLUMBERGER LTD	05/20/2011	01/07/2013	144.00	168.00	-24.00
73. SCHLUMBERGER LTD	12/01/2011	01/30/2013	5,747.00	5,652.00	95.00
14. SCHLUMBERGER LTD	05/20/2011	05/20/2013	1,080.00	1,174.00	-94.00
12. SCHLUMBERGER LTD	05/20/2011	10/08/2013	1,059.00	1,007.00	52.00
9. SCHLUMBERGER LTD	05/20/2011	11/19/2013	824.00	755.00	69.00
6. SIEMENS AG-ADR	08/30/2011	06/24/2013	600.00	672.00	-72.00
7. SIEMENS AG-ADR	08/30/2011	06/25/2013	700.00	718.00	-18.00
9. SIEMENS AG-ADR	08/30/2011	07/05/2013	902.00	923.00	-21.00
14. SIEMENS AG-ADR	09/15/2011	07/08/2013	1,449.00	1,359.00	90.00
3. SIEMENS AG-ADR	09/15/2011	07/09/2013	312.00	291.00	21.00
24. SOLERA HLDGS INC	07/28/2011	03/11/2013	1,368.00	1,378.00	-10.00
18. SOLERA HLDGS INC	07/28/2011	11/19/2013	1,189.00	1,033.00	156.00
1. SOLERA HLDGS INC	01/19/2012	11/27/2013	67.00	44.00	23.00
115. SOUTHWESTERN ENERGY C	08/17/2011	01/07/2013	3,839.00	4,680.00	-841.00
4. STATE STREET CORP	05/20/2011	01/22/2013	218.00	188.00	30.00
6. STATE STREET CORP	05/20/2011	05/17/2013	391.00	282.00	109.00
49. STATE STREET CORP	05/20/2011	11/20/2013	3,505.00	2,304.00	1,201.00
28. SWATCH GROUP AG	10/11/2011	01/29/2013	758.00	529.00	229.00
30. SWATCH GROUP AG	10/11/2011	03/07/2013	847.00	567.00	280.00
24. SWATCH GROUP AG	10/11/2011	11/19/2013	780.00	454.00	326.00
28. TELEPHONE & DATA SYSTE	05/20/2011	03/11/2013	748.00	709.00	39.00

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6a 16. TELEPH & DATA SYST 6.8	05/20/2011	03/11/2013	417.00	403.00	14.00
17. TENCENT HLDGS LTD	05/20/2011	07/19/2013	724.00	481.00	243.00
36. TENCENT HLDGS LTD	05/20/2011	07/29/2013	1,625.00	1,019.00	606.00
19. TENCENT HLDGS LTD	05/20/2011	08/01/2013	875.00	538.00	337.00
17. TENCENT HLDGS LTD	05/20/2011	10/10/2013	897.00	481.00	416.00
18. TENCENT HLDGS LTD	05/20/2011	10/30/2013	985.00	509.00	476.00
16. TENCENT HLDGS LTD	05/20/2011	11/19/2013	869.00	453.00	416.00
5. TEREX CORP NEW	05/20/2011	03/19/2013	179.00	147.00	32.00
6. TEREX CORP NEW	05/20/2011	05/31/2013	216.00	177.00	39.00
66. TEREX CORP NEW	05/20/2011	11/20/2013	2,262.00	1,945.00	317.00
29. TEVA PHARMACEUTICAL IN	05/20/2011	12/06/2012	1,213.00	1,450.00	-237.00
24. TEVA PHARMACEUTICAL IN	05/20/2011	02/06/2013	912.00	1,200.00	-288.00
27. TEVA PHARMACEUTICAL IN	05/20/2011	06/12/2013	1,055.00	1,350.00	-295.00
43. TEVA PHARMACEUTICAL IN	05/20/2011	10/10/2013	1,728.00	2,150.00	-422.00
23. TEVA PHARMACEUTICAL IN	05/20/2011	10/15/2013	915.00	1,150.00	-235.00
23. TEVA PHARMACEUTICAL IN	05/20/2011	10/16/2013	915.00	1,150.00	-235.00
71. TEXTRON INC	08/02/2012	11/20/2013	2,180.00	1,661.00	519.00
8. THERMO ELECTRON CORP	07/10/2012	10/14/2013	732.00	403.00	329.00
10. THERMO ELECTRON CORP	10/03/2011	11/20/2013	1,012.00	499.00	513.00
9. TIME WARNER INC	05/20/2011	06/17/2013	524.00	332.00	192.00
23. TIME WARNER INC	05/20/2011	11/20/2013	1,521.00	849.00	672.00
7. TOYOTA MTR CORP 00	05/20/2011	03/27/2013	719.00	560.00	159.00
7. TOYOTA MTR CORP 00	05/20/2011	04/17/2013	782.00	560.00	222.00
11. TOYOTA MTR CORP 00	05/20/2011	11/19/2013	1,388.00	880.00	508.00
6. TRANSDIGM GROUP INC	02/07/2012	03/11/2013	878.00	671.00	207.00

6b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 6b

Schedule D-1 (Form 1041) 2012

Name of estate or trust as shown on Form 1041 Do not enter name and employer identification number if shown on the other side

Employer identification number

31-C7B007575005 THE RICHARD AND SUSAN

06-1565971

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
6a 1. TRANSDIGM GROUP INC	02/07/2012	11/27/2013	157.00	112.00	45.00
6. THE TRAVELERS COMPANIES	05/20/2011	04/23/2013	518.00	374.00	144.00
32. THE TRAVELERS COMPANIE	05/20/2011	11/20/2013	2,816.00	1,995.00	821.00
4. THE TRAVELERS COMPANIES	05/20/2011	11/27/2013	364.00	249.00	115.00
340. TURKIYE GARANTI BANKA	05/20/2011	04/02/2013	1,771.00	1,493.00	278.00
319. TURKIYE GARANTI BANKA	05/20/2011	04/03/2013	1,651.00	1,400.00	251.00
78. UBS PFD FDG TR IV FLTG	05/20/2011	03/11/2013	1,246.00	1,452.00	-206.00
14. US BANCORP DEL	05/20/2011	03/11/2013	335.00	320.00	15.00
101. UMPQUA HLDGS CORP	05/20/2011	03/11/2013	1,313.00	1,169.00	144.00
91. UMPQUA HLDGS CORP	05/20/2011	11/19/2013	1,558.00	1,054.00	504.00
16. UMPQUA HLDGS CORP	05/20/2011	11/27/2013	292.00	185.00	107.00
46. UNION PAC CORP	10/07/2011	04/02/2013	6,498.00	4,013.00	2,485.00
15. U S CELLULAR CORP CALL	05/20/2011	03/11/2013	404.00	374.00	30.00
26000. U S TREAS NTS 2/28/19	03/01/2012	08/09/2013	25,746.00	25,878.00	-132.00
48. UNITEDHEALTH GROUP INC	05/20/2011	01/30/2013	2,688.00	2,421.00	267.00
6. V F CORP	05/20/2011	12/06/2012	922.00	586.00	336.00
20. V F CORP	05/20/2011	01/18/2013	2,959.00	1,955.00	1,004.00
11. VALERO ENERGY CORP COM	05/20/2011	10/31/2013	455.00	263.00	192.00
39. VALERO ENERGY CORP COM	05/20/2011	11/20/2013	1,653.00	934.00	719.00
42816.365 VANGUARD LONG TE GRADE FD	03/01/2012	03/11/2013	450,000.00	445,979.00	4,021.00
20140.318 VANGUARD LONG TE GRADE FD	12/12/2011	06/14/2013	205,834.00	204,021.00	1,813.00
16. VARIAN MEDICAL SYSTEMS	05/20/2011	03/11/2013	1,174.00	1,103.00	71.00
11. VARIAN MEDICAL SYSTEMS	05/20/2011	11/19/2013	822.00	758.00	64.00
1. VARIAN MEDICAL SYSTEMS	05/20/2011	11/27/2013	77.00	69.00	8.00
33. VERISK ANALYTICS I CL	05/20/2011	03/11/2013	1,961.00	1,124.00	837.00

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Employer identification number

31-C7B007575005 THE RICHARD AND SUSAN

06-1565971

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
6a 70. VERISK ANALYTICS I CL	05/20/2011	04/17/2013	4,171.00	2,383.00	1,788.00
120. VISA INC-CLASS A SHAR	05/20/2011	01/07/2013	18,952.00	9,455.00	9,497.00
110. VODAFONE GROUP SPD AD SH	11/23/2011	02/01/2013	3,004.00	2,877.00	127.00
20. VORNADO RLTY TR	08/15/2011	03/11/2013	548.00	504.00	44.00
101. VORNADO REALTY LP PFD	05/20/2011	03/11/2013	2,802.00	2,762.00	40.00
31. VORNADO REALTY LP PFD	05/20/2011	07/10/2013	816.00	848.00	-32.00
26. WACHOVIA PFD 7.250%	05/20/2011	12/26/2012	683.00	688.00	-5.00
40. WACHOVIA PFD 7.250%	05/20/2011	01/18/2013	1,072.00	1,058.00	14.00
34. WACHOVIA PFD 7.250%	05/20/2011	03/06/2013	947.00	899.00	48.00
33. WACHOVIA PFD 7.250%	03/20/2012	04/03/2013	906.00	848.00	58.00
14. WACHOVIA PFD 7.250%	03/16/2012	04/30/2013	391.00	360.00	31.00
21. WAL-MART DE MEXICO SA-	05/20/2011	12/06/2012	694.00	629.00	65.00
76. WAL-MART DE MEXICO SA-	05/20/2011	11/06/2013	1,865.00	2,278.00	-413.00
49. WAL-MART DE MEXICO SA-	05/20/2011	11/07/2013	1,177.00	1,469.00	-292.00
8. WEINGARTEN RLTY INVS	05/20/2011	03/11/2013	181.00	192.00	-11.00
36. WEINGARTEN RLTY INVS P 6.50%	05/20/2011	03/11/2013	916.00	896.00	20.00
33. WEINGARTEN RLTY INVS P 6.50%	05/20/2011	06/05/2013	825.00	821.00	4.00
7. WELLS FARGO & CO DEP SH PFD	05/20/2011	03/11/2013	204.00	204.00	
16. WESTERN DIGITAL CORP	08/28/2012	11/20/2013	1,184.00	704.00	480.00
12. WEX INC	08/02/2011	03/11/2013	933.00	581.00	352.00
12. WEX INC	08/02/2011	11/19/2013	1,183.00	581.00	602.00
49. WILEY JOHN & SONS INC	07/21/2011	02/15/2013	1,949.00	2,560.00	-611.00
41. WILEY JOHN & SONS INC	05/20/2011	03/06/2013	1,499.00	2,132.00	-633.00
31. WILEY JOHN & SONS INC	05/20/2011	03/11/2013	1,191.00	1,612.00	-421.00
18. WILEY JOHN & SONS INC	05/20/2011	03/27/2013	692.00	936.00	-244.00

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31-C7B007575005 THE RICHARD AND SUSAN

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Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo , day, yr)	(c) Date sold (mo , day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
6a 36. WILEY JOHN & SONS INC	05/20/2011	03/28/2013	1,396.00	1,872.00	-476.00
36. WILEY JOHN & SONS INC	01/18/2012	05/20/2013	1,412.00	1,646.00	-234.00
38. XCEL ENERGY INC JR SUB	05/20/2011	03/11/2013	974.00	1,048.00	-74.00
63. XCEL ENERGY INC JR SUB	05/20/2011	05/31/2013	1,575.00	1,737.00	-162.00
2. YUM BRANDS INC	03/20/2012	11/19/2013	148.00	136.00	12.00
10. YUM BRANDS INC	03/07/2012	11/22/2013	784.00	663.00	121.00
1. CAPITAL GAINS FRON OTHE	01/01/2010	11/30/2013	243,000.00	236,891.00	6,109.00
20. SANTANDER FIN PFD PRF CUM	05/20/2011	02/07/2013	556.00	585.00	-29.00
39. SANTANDER FIN PFD PRF CUM	05/20/2011	03/08/2013	1,094.00	1,141.00	-47.00
5. ENSCO PLC	05/20/2011	07/18/2013	303.00	279.00	24.00
35. ENSCO PLC	05/20/2011	11/20/2013	2,168.00	1,953.00	215.00
63. NABORS INDUSTRIES LTD	11/01/2011	11/20/2013	1,093.00	1,683.00	-590.00
81. PARTNERRE LTD PFD C 6.	11/07/2011	03/19/2013	2,025.00	2,005.00	20.00
67. PARTNERRE LTD	05/20/2011	03/11/2013	1,700.00	1,631.00	69.00
22. PARTNERRE LTD	10/14/2011	03/11/2013	604.00	560.00	44.00
21. PRUDENTIAL PLC	05/20/2011	12/26/2012	525.00	533.00	-8.00
12. RENAISSANCERE HLDGS PF	05/20/2011	03/11/2013	305.00	290.00	15.00
10. RENAISSANCERE HLDGS PF	05/20/2011	06/27/2013	250.00	242.00	8.00
96. RENAISSANCERE HOLDINGS	05/20/2011	12/27/2012	2,400.00	2,436.00	-36.00
37. RENAISSANCERE HOLDINGS	05/20/2011	03/11/2013	941.00	939.00	2.00
58. RENAISSANCERE HOLDINGS	04/12/2012	06/27/2013	1,450.00	1,472.00	-22.00
52. TE CONNECTIVITY LTD	05/20/2011	11/20/2013	2,682.00	1,932.00	750.00
17. CHECK POINT SOFTWARE T 00	11/17/2011	04/25/2013	767.00	966.00	-199.00
22. CHECK POINT SOFTWARE T 00	11/17/2011	04/26/2013	992.00	1,202.00	-210.00
12. CHECK POINT SOFTWARE T 00	12/21/2011	04/29/2013	546.00	616.00	-70.00

6b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 6b

Schedule D-1 (Form 1041) 2012

Employer identification number

06-1565971

[illegible]

6b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 6b	394,365.00
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Schedule D-1 (Form 1041) 2012

FEDERAL CAPITAL GAIN DIVIDENDS
=====LONG-TERM CAPITAL GAIN DIVIDENDS

15% RATE CAPITAL GAIN DIVIDENDS

ALEXANDRIA REAL ESTATE EQ IN	1.00
ALLIANZ GL INV FXD INC SH-C	1,517.00
DIGITAL REALTY TR PEF	6.00
DIGITAL RLTY TR INC	7.00
DIGITAL RLTY TR INC	4.00
HEALTH CARE REIT 6.5%	1.00
KIMCO RLTY CORP	7.00
KIMCO REALTY CORP 5.50%	9.00
KIMCO REALTY CORP 6.00%	26.00
KIMCO RLTY CORP	21.00
NATL RETAIL PROPERTIES 6.625% PFD	1.00
PUBLIC STORAGE PFD SER R	
PUBLIC STORAGE PFD SHS SER Q 6.50%	
PUBLIC STORAGE 6.875% PFD	
PUBLIC STORAGE	
PUBLIC STORAGE 5.9% PFD	
PUBLIC STORAGE	
PUBLIC STORAGE	
PUBLIC STORAGE	
REGENCY CENTERS CORP 6.625% PFD	4.00
REGENCY CTRS CORP	1.00
TEMPLETON INCOME TR GLOBAL BD FD CL	2,819.00
VANGUARD LONG TERM INVEST GRADE FD	5,950.00
VORNADO REALTY TRUST	5.00
VORNADO RLTY TR	6.00
WEINGARTEN RLTY INVS	2.00
WEINGARTEN RLTY INVS PFD SER F 6.50%	16.00

TOTAL 15% RATE CAPITAL GAIN DIVIDENDS	10,404.00

TOTAL LONG-TERM CAPITAL GAIN DIVIDENDS	10,404.00
	=====

THE RICHARD AND SUSAN BRADDOCK FAMILY FOUNDATION, INC.
FORM 990PF, PART XV, LINE 3 - CONTRIBUTIONS, GIFTS, GRANTS PAID

DATE	AMOUNT	RECIPIENT NAME	RELATIONSHIP	FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT
12/05/2012	(5,000.00)	AMERICAN MUSEUM OF NATURAL HISTORY	NONE	N/A	UNRESTRICTED GIFT
12/05/2012	(5,000.00)	ANIMAL MEDICAL CENTER	NONE	N/A	UNRESTRICTED GIFT
12/05/2012	(3,000.00)	CATO INSTITUTE	NONE	N/A	UNRESTRICTED GIFT
12/05/2012	(5,000.00)	CHURCH OF ST. IGNATIUS LOYOLA	NONE	N/A	UNRESTRICTED GIFT
12/05/2012	(5,000.00)	CLASSROOM, INC.	NONE	N/A	UNRESTRICTED GIFT
12/05/2012	(5,000.00)	COALITION TO SUPPORT AMERICAN HEROES	NONE	N/A	UNRESTRICTED GIFT
12/05/2012	(5,000.00)	COMMON GOOD	NONE	N/A	UNRESTRICTED GIFT
12/05/2012	(5,000.00)	CONTEMPLATIVE OUTREACH, LTD.	NONE	N/A	UNRESTRICTED GIFT
12/05/2012	(5,000.00)	HELP HOSPITALIZED VETERANS	NONE	N/A	UNRESTRICTED GIFT
12/05/2012	(5,000.00)	HERITAGE FOUNDATION	NONE	N/A	UNRESTRICTED GIFT
12/05/2012	(5,000.00)	MANHATTAN INSTITUTE FOR POLICY	NONE	N/A	UNRESTRICTED GIFT
12/05/2012	(4,500.00)	METROPOLITAN MUSEUM OF ART	NONE	N/A	UNRESTRICTED GIFT
12/05/2012	(5,000.00)	PHILHARMONIC-SYMPHONY SOCIETY OF NY	NONE	N/A	UNRESTRICTED GIFT
12/05/2012	(5,000.00)	SALVATION ARMY	NONE	N/A	UNRESTRICTED GIFT
12/05/2012	(5,000.00)	ST. BENEDICT'S MONASTERY	NONE	N/A	UNRESTRICTED GIFT
12/05/2012	(5,000.00)	THE BOWERY MISSION	NONE	N/A	UNRESTRICTED GIFT
12/06/2012	(50,000.00)	CRISTO REY NETWORK	NONE	N/A	UNRESTRICTED GIFT
12/06/2012	(100,000.00)	LINCOLN CENTER	NONE	N/A	UNRESTRICTED GIFT
12/06/2012	(250,000.00)	METROPOLITAN OPERA ASSOCIATION	NONE	N/A	UNRESTRICTED GIFT
12/21/2012	(200,000.00)	FRIENDS OF TEAM ACADEMY	NONE	N/A	UNRESTRICTED GIFT
01/02/2013	(35,000.00)	Aspen Institute	NONE	N/A	UNRESTRICTED GIFT
02/01/2013	(5,100.00)	KUCETEKELA FOUNDATION	NONE	N/A	UNRESTRICTED GIFT
06/20/2013	(5,000.00)	Friends of Covent Garden	NONE	N/A	UNRESTRICTED GIFT
06/20/2013	(11,000.00)	MUSIC ASSOCIATES OF ASPEN	NONE	N/A	UNRESTRICTED GIFT
06/20/2013	(10,000.00)	Mayo Clinic	NONE	N/A	UNRESTRICTED GIFT
06/20/2013	(5,000.00)	Healthcare for the Homeless	NONE	N/A	UNRESTRICTED GIFT
06/20/2013	(7,500.00)	Per Scholas	NONE	N/A	UNRESTRICTED GIFT
06/20/2013	(5,000.00)	ST. IGNATIUS	NONE	N/A	UNRESTRICTED GIFT
06/20/2013	(25,000.00)	FRIENDS OF TEAM	NONE	N/A	UNRESTRICTED GIFT
06/21/2013	(35,000.00)	Aspen Institute	NONE	N/A	UNRESTRICTED GIFT
06/21/2013	(125,000.00)	Cristo Rey New York High School	NONE	N/A	UNRESTRICTED GIFT
06/21/2013	(100,000.00)	LINCOLN CENTER FOR THE	NONE	N/A	UNRESTRICTED GIFT
06/21/2013	(250,000.00)	DARTMOUTH	NONE	N/A	UNRESTRICTED GIFT
	(1,296,100.00)				

Asset Allocation Disclosure and Footnotes

Notes: Unpriced securities are not included in the Total Account Value.

Client Service Information

Your Relationship Manager: CJ	Contact Information	Client Service Information
BRENT A. SIMS PRIVATE BANKING USA 11 MADISON AVENUE 7TH FLOOR NEW YORK NY 10010-3698	Telephone Number: (800) 647-2516	Service Hours: Monday - Friday 07:00 a.m. - 10:00 p.m. (EST) Saturday - Sunday 08:00 a.m. - 06:00 p.m. (EST) Client Service Telephone Number: (866) 355-4746 Web Site: WWW.CREDIT-SUISSE.COM/CLIENTVIEW

Your Account Information

Investment Objective

Investment Objective: SPECULATION

Risk Exposure: NONE SPECIFIED

Please review your investment objective. If you wish to make a change or have any questions please contact your Relationship Manager.

Tax Lot-Default Disposition Method

Default Method for Mutual Funds: FIRST IN FIRST OUT

Default Method for Stocks in a Dividend Reinvestment Plan: FIRST IN FIRST OUT

Default Method for all Other Securities: FIRST IN FIRST OUT

Electronic Delivery

You have not selected any account communications for: electronic delivery To register and turn off paper communications, log in to your account or contact your Relationship Manager for more information.

Portfolio Holdings

Date Acquired	Quantity	Unit Cost	Adjusted Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Accrued Interest	Estimated Annual Income	Estimated Yield
Fixed Income 0.00% of Portfolio (In Maturity Date Sequence)									
Asset Backed Securities									
Security Identifier: 18971VAB4									
XCLYDESDALE STRATEGIC CLO 1 LTD SUB NT									
144A 0.000% 01/20/17 B/E									
DTD 01/20/05									
Factor: 0.00000000 Effective Date: 05/20/13									
500,000,000 of these shares are held in safekeeping, and may require additional paperwork and information for confirmation. Please call your Relationship Manager for more information.									
12/14/04	500,000,000	100.0010	500,005.00	N/A	N/A	N/A	0.00		
			Original Cost Basis						
			\$500,005.00						

Brokerage Account Statement

Statement Period: 11/01/2013 - 11/30/2013

Portfolio Holdings (continued)

Qty Acquired	Quantity	Unit Cost	Adjusted Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Accrued Interest	Estimated Amortization	Estimated Yield
Fixed Income (continued)									
Asset Backed Securities (continued)									
908787 SQUARE CDO III LTD SUB NT Security Identifier: 736291AA19									
144A-3(7) SIN#U5716291AA68									
0.0005804708/6 TR/E DTD 10/25/05 CLB									
Factor: 1.000000000 - Effective Date: 07/31/06									
Current Face Value: 750,000,000									
750,000,000 of these shares are held in safekeeping and may require additional paperwork and information for confirmation. Please call your Relationship Manager for more information.									
08/09/06	750,000,000	-68.0010	-510,005.00	N/A	N/A	N/A	0.00		
Original Cost Basis: \$510,005.00									
Total Asset Backed Securities									
1,250,000,000									
Total Current Face Value: 750,000,000									
Total Fixed Income									
1,250,000,000									

Qty Acquired	Quantity	Unit Cost	Adjusted Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Accrued Interest	Estimated Amortization	Estimated Yield
Total Portfolio Holdings									
1,250,000,000									

* Noncovered under the cost basis rules as defined below.
 Securities acquired before 2011 are generally not subject to the new cost basis reporting rules set forth in the Internal Revenue Code of 1986, as amended ("IRC") (incorporating amendments enacted by P.L. 110-343, the Emergency Economic Stabilization Act of 2008) and are, therefore, considered "noncovered" under the new cost basis reporting rules, and marked or denoted as such. All other securities in this section are securities which are "covered" under the new cost basis reporting rules. Securities which are "covered" under the new cost basis reporting rules are defined as securities which have been acquired on or after their "applicable date(s)" at which they are subject to the cost basis reporting rules and the adjusted basis will be reported to the IRS on form 1099-B for the applicable tax year in which the security is disposed.

Reporting requirements generally will be phased in over a three-year period, as follows:

- Stock in a corporation acquired on or after January 1, 2011
- Mutual funds and dividend reinvestment plan (DRP) shares acquired on or after January 1, 2012
- Other securities, principally debt securities and options, acquired on or after January 1, 2013 or later, as determined by the Secretary of the Treasury.

Cost Basis on fixed income securities is adjusted for amortization, accretion or principal paydowns. The method of calculation is based upon the type of fixed income security and certain attributes, obtained from sources believed to be reliable. In the event, one or more of these attributes is changed, there may be a temporary incorrect adjusted cost basis reflected until the portfolio system is amended to reflect this.



Morgan Stanley

Basic Securities Account
552-118749-543

THE RICHARD AND SUSAN BRADDOCK
FAMILY FOUNDATION

INTERESTED PARTY COPY

Investment Objectives†: Capital Appreciation, Aggressive Income, Speculation, Income

Brokerage Account

† See the Expanded Disclosures for more information about investment objectives. Please review for accuracy and inform us if your investment objectives change.

Account Detail

HOLDINGS

This section reflects positions purchased/sold on a trade date basis, and will include positions purchased and omit positions sold in the current month. "Market Value" and "Unrealized Gain/(Loss)" are representative values as of the last business day of the statement period indicated, may not reflect the value that could be obtained in the market. See "Pricing of Securities" in the Expanded Disclosures. Fixed Income securities are sorted by maturity or pre-refunding date, and alphabetically within date. Estimated annual income and estimated yield for certain securities may include return of principal or capital gains which could overstate such estimates. Actual income or yield may be lower or higher than the estimates. Estimated yield reflects only the income generated by an investment and, it does not reflect changes in its price, which may fluctuate. Structured products appear in various statement product categories and are identified as "Structured Products" in the Security Description column. Estimated accrued interest, estimated annual income and estimated yield for structured products with a contingent income feature (such as Range Accrual Notes or Contingent Income Notes) assume specified accrual conditions are met during the relevant observation period and payment in full of all contingent interest. If you hold structured products, see "Special Considerations Regarding Structured Products" in the Disclosures. New Treasury regulations require that we report on Form 1099-B after the close of the tax year your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments on covered securities due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. Cost basis is reflected on monthly statements for informational purposes only and should not be used in the preparation of your income tax returns. Refer to the Expanded Disclosures for additional information.

CASH, BANK DEPOSIT PROGRAM AND MONEY MARKET FUNDS

Cash, Bank Deposit Program, and Money Market Funds are generally displayed on a settlement date basis. Estimated Annual Income, Accrued Interest, and APY% will only be displayed for fully settled positions.

Description	Value	Estimated Annual Income	7-Day Current Yield %	Annual Percentage Yield %
MS U.S. GOVT MONEY MARKET TR	\$27,034.57	\$2.70	0.010	—
CASH, BDP, AND MMFS				
	Percentage of Assets %	Market Value	Estimated Annual Income	Estimated Annual Income
	100.0%	\$27,034.57	Accrued Interest	Accrued Interest
			\$2.70	\$2.70
				\$0.00
Money market funds seek to maintain a share price of \$1.00, therefore the dollar amounts listed equal the number of shares. Additional information concerning these transactions is available upon request. For more information about the pricing of Money Market Funds, please see the Expanded Disclosures.				
The money market funds reflected above include the balances in your automatic sweep feature, if any, and may include other money market funds that have been purchased in your account.				
	Percentage of Assets %	Total Cost	Unrealized Gain/(Loss)	Estimated Annual Income
	100.0%	\$0.00 ✓		Accrued Interest
			Market Value	Yield %
			\$27,034.57 ✓	\$2.70
				\$0.00
TOTAL MARKET VALUE				
				0.01%

TOTAL VALUE (includes accrued interest)

\$27,034.57

Unrealized Gain/(Loss) totals only reflect positions that have cost basis and/or market value information available. Cash, MMF, Deposits and positions stating 'Please Provide' are not included.

Trust Account - C7B007575005
Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency: USD

INVESTMENT POSITIONS - PRINCIPAL

CASH AND SHORT TERM INVESTMENTS 26.20% SORTED BY LIQUIDITY									
Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Cash									
USD	0.00	0.000	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Short Term Investments									
CITIBANK M.D.A. (L)	547,407.44	1.000	547,407.44	1.00	547,407.44	10.51	547,417.95	0.00	273.70
CUSIP 9900CST72 Yield .05%									
Total Cash and Short Term Investments			547,407.44		547,407.44	10.51	547,417.95	0.00	273.70

EQUITIES 73.80% SORTED ALPHABETICALLY									
Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock									
PRICELINE COM INC (NEW) Ticker/CUSIP : PCLN/741503403 Sector : Information Technology	1,293	4.800	6,206.40	1,192.33 29 Nov 13	1,541,682.69	0.00	1,541,682.69	1,535,476.29	0.00
Total Equities			6,206.40		1,541,682.69	0.00	1,541,682.69	1,535,476.29	0.00
TOTAL INVESTMENT POSITIONS - PRINCIPAL			553,613.84		2,089,090.13	10.51	2,089,100.64	1,535,476.29	273.70



Trust Account - C7B007575005

Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - INCOME

Reference Currency USD

CASH AND SHORT TERM INVESTMENTS 100.00% SORTED BY LIQUIDITY									
Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est. Annual Income
Cash									
USD	0.00	0.000	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Short Term Investments									
CITIBANK M.D.A. (L)	4,704.1	1.000	4,704.10	1.00	4,704.10	0.19	4,704.29	0.00	2.35
CUSIP 9900CS172 Yield 05%									
Total Cash and Short Term Investments			4,704.10		4,704.10	0.19	4,704.29	0.00	2.35
TOTAL INVESTMENT POSITIONS - INCOME									
			4,704.10		4,704.10	0.19	4,704.29	0.00	2.35
TOTAL INVESTMENT POSITIONS - PRINCIPAL AND INCOME									
			558,317.94		2,093,794.23	10.70	2,093,804.93	1,535,476.29	276.05



PIMCO Total Return - C7B008037005

Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency: USD

CASH AND SHORT TERM INVESTMENTS 18.89% SORTED BY LIQUIDITY					
Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	
Cash					
USD	0.00	0.000	0.00	0.00	0.00
Short Term Investments					
CITIBANK M.D.A. (L)	171,775.42	1.000	171,775.42	1.00	85.89
CUSIP 9900CST72 Yield .05%					
Total Cash and Short Term Investments			171,775.42		85.89

FIXED INCOME 81.11% SORTED BY CALL DATE/MATURITY DATE					
Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	
Government Bonds					
U.S. TREASURY NOTES SER AE-2017 MAT 31OCT17 Rate .75%	58,000	99.661	57,803.64	99.188 29 Nov 13	435.00
Pay Freqncy Semi Annual S&P N/A Moodys Aaa CUSIP 912828TW0 Yield .96%					
U.S. TREASURY NOTE MAT 31DEC19 Rate 1.125%	36,000	98.211	35,355.82	96.125 29 Nov 13	405.00
Pay Freqncy Semi Annual S&P N/A Moodys Aaa CUSIP 912828UF5 Yield 1.8%					
U.S. TREASURY NOTES SER F-2021 MAT 15NOV21 Rate 2%	28,000	101.714	28,479.89	97.531 29 Nov 13	560.00
Pay Freqncy Semi Annual S&P N/A Moodys Aaa CUSIP 912828RR3 Yield 2.34%					

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Citibank, N.A. Agent For The Richard & Susan Braddock Foundation Dated 12/8/1999 Alternatives

PIMCO Total Return - C7B008037005

Statement Period 1 Nov 2013 - 30 Nov 2013



INVESTMENT POSITIONS - PRINCIPAL

Reference Currency USD

FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est. Annual Income
Government Bonds CONTINUED									
UNITED STATES TREAS NOTES MAT 15JUL22 Rate 1.125% Pay Frqncy Semi Annual S&P N/A Moodys Aaa CUSIP 912828TED Yield .44%	45,817.2	106.292	48,700.01	97.492 29 Nov 13	44,668.10	21.63	44,689.73	(4,031.91)	57.27
U S TREASURY NOTES MAT 15FEB23 Rate 2% Pay Frqncy Semi Annual S&P N/A Moodys Aaa CUSIP 912828UN8 Yield 2.64%	25,000	99.098	24,774.57	94.813 29 Nov 13	23,703.25	146.74	23,849.99	(1,071.32)	500.00
US TSY INFLATION INDEX BDS CPI MAT 15JAN25 Rate 2.375% Pay Frqncy Semi Annual S&P NR Moodys Aaa CUSIP 912810FR4 Yield 75%	23,600.66	123.149	29,064.09	117.313 29 Nov 13	27,686.64	211.73	27,898.37	(1,377.45)	560.52
US TSY INFLATION INDEX BDS CPI MAT 15JAN28 Rate 1.75% Pay Frqncy Semi Annual S&P NR Moodys Aaa CUSIP 912810PVA Yield 1.03%	2,235.26	127.081	2,840.60	109.383 29 Nov 13	2,444.99	14.78	2,459.77	(395.61)	39.12
US TSY INFLATION INDEX BDS CPI MAT 15JAN29 Rate 2.5% Pay Frqncy Semi Annual S&P NR Moodys Aaa CUSIP 912810PZ5 Yield 1.07%	26,173.2	138.025	36,125.64	119.984 29 Nov 13	31,403.65	247.16	31,650.81	(4,721.99)	654.33
FINMA PI #AA5224 DTD 03/01/2009 MAT 01MAR39 Rate 4.5% Pay Frqncy Monthly CUSIP 31416NWW6 Yield 4.08%	21,010.9807	104.297	21,913.78	106.601 29 Nov 13	22,397.92	78.79	22,476.71	484.14	945.49

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Citibank, N.A. Agent For The Richard & Susan Braddock Foundation Dated 12/8/1999 Alternatives

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PIMCO Total Return - C7B008037005

Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency USD

INVESTMENT POSITIONS - PRINCIPAL
FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Government Bonds CONTINUED									
FNMA PL#AE1557 DTD 08/01/2010	7,396.1297	106.953	7,910.40	109.054 29 Nov 13	8,065.78	30.82	8,096.60	155.38	369.81
MAT 01AUG40 Rate 5%									
Pay Frqncy Monthly									
CUSIP 31419BWT8 Yield 4.42%									
FNMA PL#AE0949 DTD 02/01/2011	542.93	106.469	578.05	104.343 29 Nov 13	566.51	1.81	568.32	(11.54)	21.72
MAT 01FEB41 Rate 4%									
Pay Frqncy Monthly									
CUSIP 31419BBT1 Yield 3.75%									
FNMA PL#AL1700 DTD 04/01/2012	1,266.08	107.055	1,355.40	104.34 29 Nov 13	1,321.03	4.22	1,325.25	(34.37)	50.64
MAT 01SEP41 Rate 4%									
Pay Frqncy Monthly									
CUSIP 3138EH3J9 Yield 3.75%									
FNMA PL#AB4115 DTD 11/01/2011	13,943.06	105.719	14,740.43	104.355 29 Nov 13	14,550.28	46.48	14,596.76	(190.15)	557.72
MAT 01DEC41 Rate 4%									
Pay Frqncy Monthly									
CUSIP 31417ASD2 Yield 3.75%									
FNMA PL#AL1948 DTD 06/01/2012	29,370.68	109.328	32,110.41	104.547 29 Nov 13	30,706.16	97.90	30,804.06	(1,404.25)	1,174.83
MAT 01JAN42 Rate 4%									
Pay Frqncy Monthly									
CUSIP 3138EJEW4 Yield 3.74%									
FNMA PL#AK9445 DTD 03/01/2012	658.31	106.375	700.28	104.355 29 Nov 13	686.98	2.19	689.17	(13.30)	26.33
MAT 01MAR42 Rate 4%									
Pay Frqncy Monthly									
CUSIP 3138EEP78 Yield 3.75%									
FNMA PL#AB5670 DTD 06/01/2012	34,179	107.187	36,635.61	100.899 29 Nov 13	34,486.27	99.69	34,585.96	(2,149.34)	1,196.27
MAT 01JUL42 Rate 3.5%									
Pay Frqncy Monthly									
CUSIP 31417CJ09 Yield 3.45%									

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PIMCO Total Return - C7B008037005

Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency USD

FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Government Bonds CONTINUED									
FNMA PL#AP3839 DTD 09/01/2012	2,851.96	100.016	2,852.41	100.988	2,880.14	8.32	2,888.46	27.73	99.82
MAT 01SEP42 Rate 3.5%				29 Nov 13					
Pay Francy Monthly									
CUSIP 3138M7HR9 Yield 3.45%									
FNMA PL#AB7079 DTD 11/01/2012	29,567.61	105.398	31,163.81	96.586	28,558.17	73.92	28,632.09	(2,605.64)	887.03
MAT 01NOV42 Rate 3%				29 Nov 13					
Pay Francy Monthly									
CUSIP 31417D2M4 Yield 3.18%									
FNMA PL#AB7316 DTD 11/01/2012	934.7	106.705	997.37	100.899	943.10	2.73	945.83	(54.27)	32.71
MAT 01DEC42 Rate 3.5%				29 Nov 13					
Pay Francy Monthly									
CUSIP 31417EDW8 Yield 3.45%									
FNMA PL#AL3424 DTD 03/01/2013	891.43	103.344	921.24	104.46	931.19	2.97	934.16	9.95	35.66
MAT 01JAN43 Rate 4%				29 Nov 13					
Pay Francy Monthly									
CUSIP 3138EKYV9 Yield 3.75%									
FNMA PL#AR2583 DTD 02/01/2013	1,892.44	105.422	1,995.05	100.899	1,909.45	5.52	1,914.97	(85.60)	66.24
MAT 01FEB43 Rate 3.5%				29 Nov 13					
Pay Francy Monthly									
CUSIP 3138NY2R5 Yield 3.45%									
FNMA POOL #AU2933	992.54	99.496	987.54	101.048	1,002.94	2.89	1,005.83	15.40	34.74
MAT 01SEP43 Rate 3.5%				29 Nov 13					
Pay Francy Monthly									
S&P NR Moodys NR									
CUSIP 3138X2HK3 Yield 3.44%									
FNMA PL#AU7258 DTD 10/01/2013	2,990.39	101.641	3,039.45	100.954	3,018.92	8.72	3,027.64	(20.53)	104.66
MAT 01OCT43 Rate 3.5%				29 Nov 13					
Pay Francy Monthly									
CUSIP 3138X7B44 Yield 3.45%									

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PIMCO Total Return - C7B008037005

Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency USD

INVESTMENT POSITIONS - PRINCIPAL
FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Mutual Funds									
FIXED INCOME SHARES FD Rate .323%	14,720.885	10.623	156,384.68	10.87 29 Nov 13	160,016.02	0.00	160,016.02	3,631.34	4,754.85
CUSIP 01882B304 Yield 2.97%									
FIXED INCOME SHARES FD SERIES Rate .551%	13,311.933	13.181	175,466.69	13.12 29 Nov 13	174,652.56	0.00	174,652.56	(814.13)	7,334.88
CUSIP 01882B205 Yield 4.2%									
Total Fixed Income			752,896.86		736,042.77	1,342.41	737,385.18	(16,854.09)	20,904.64
TOTAL INVESTMENT POSITIONS - PRINCIPAL									
			924,672.28		907,818.19	1,345.37	909,163.56	(16,854.09)	20,990.53



PIMCO Total Return - C7B008037005

Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - INCOME

Reference Currency: USD

CASH AND SHORT TERM INVESTMENTS 100.00% SORTED BY LIQUIDITY									
Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Cash									
USD	0.00	0.000	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Short Term Investments									
CITIBANK M.D.A. (L) CUSIP 9900CST72 Yield .05%	33,248.03	1.000	33,248.03	1.00	33,248.03	1.34	33,249.37	0.00	16.62
Total Cash and Short Term Investments			33,248.03		33,248.03	1.34	33,249.37	0.00	16.62
TOTAL INVESTMENT POSITIONS - INCOME									
			33,248.03		33,248.03	1.34	33,249.37	0.00	16.62
TOTAL INVESTMENT POSITIONS - PRINCIPAL AND INCOME									
			957,920.31		941,066.22	1,346.71	942,412.93	(16,854.09)	21,007.15

Trust Account - C78008052005

Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency: USD

INVESTMENT POSITIONS - PRINCIPAL**CASH AND SHORT TERM INVESTMENTS 3.46% SORTED BY LIQUIDITY**

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est. Annual Income
Cash									
USD	0.00	0.000	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Short Term Investments

CITIBANK M.D.A. (L)	21,213.09	1.000	21,213.09	1.00	21,213.09	0.87	21,213.96	0.00	10.61
CUSIP 9900CST72 Yield 05%									
Total Cash and Short Term Investments			21,213.09		21,213.09	0.87	21,213.96	0.00	10.61

EQUITIES 15.35% SORTED ALPHABETICALLY

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est. Annual Income
Mutual Funds									
VANGUARD FTSE EMERGING	2,267	44.088	99,947.50	41.48	94,035.16	0.00	94,035.16	(5,912.34)	3,080.85
Ticker/CUSIP : VWO/I922042858				29 Nov 13					
Yield 3.28% Sector : Other									
Total Equities			99,947.50		94,035.16	0.00	94,035.16	(5,912.34)	3,080.85

FIXED INCOME 81.19% SORTED BY CALL DATE/MATURITY DATE

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est. Annual Income
Mutual Funds									
DOUBLELINE EMERGING MARKETS	27,100.271	11.070	300,000.00	10.35	280,487.80	0.00	280,487.80	(19,512.20)	11,300.81
Rate 4.27%				29 Nov 13					
CUSIP 258620509 Yield 4.03%									

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Trust Account - C7B008052005

Statement Period 1 Nov 2013 - 30 Nov 2013



INVESTMENT POSITIONS - PRINCIPAL

Reference Currency USD

FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est. Annual Income
Mutual Funds CONTINUED									
TEMPLETON GLOBAL BOND FUND	16,593.774	13.870	230,155.64	13.07	216,880.63	0.00	216,880.63	(13,275.01)	11,516.08
Rate 6.94%				29 Nov 13					
CUSIP 880208103 Yield 5.31%									
Total Fixed Income			530,155.64		497,368.43	0.00	497,368.43	(32,787.21)	22,816.89

TOTAL INVESTMENT POSITIONS - PRINCIPAL

			651,316.23		612,616.68	0.87	612,617.55	(38,699.55)	25,908.35
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Trust Account - C7B008052005
Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency USD

INVESTMENT POSITIONS - INCOME

CASH AND SHORT TERM INVESTMENTS 100.00% SORTED BY LIQUIDITY									
Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Cash									
USD	0.00	0.000	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Short Term Investments									
CITIBANK M.D.A. (L)	49,544.67	1.000	49,544.67	1.00	49,544.67	2.02	49,546.69	0.00	24.77
CUSIP 9900CST72 Yield 05%									
Total Cash and Short Term Investments			49,544.67		49,544.67	2.02	49,546.69	0.00	24.77
TOTAL INVESTMENT POSITIONS - INCOME									
			49,544.67		49,544.67	2.02	49,546.69	0.00	24.77
TOTAL INVESTMENT POSITIONS - PRINCIPAL AND INCOME									
			700,860.90		662,161.35	2.89	662,164.24	(38,699.55)	25,933.12

FIXED INCOME 98.80% SORTED BY CALL DATE/MATURITY DATE						
Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest
Total Value	Unrealized Gain/Loss	Est Annual Income				
Preferred Stock						
MORGAN STANLEY CAP TR 6.60% MAT 15OCT66 Rate 1.65% Pay Frqncy Quarterly Call 20DEC13 @ 25 Moody's Ba1 CUSIP 61750K208 Yield 6.65%	34	25.231	857.87	24.81 29 Nov 13	843.54	0.00
COUNTRYWIDE CAPITAL IV 6.75% MAT 01APR33 Rate 1.687% Pay Frqncy Quarterly Call 06JAN14 @ 25 Moody's Ba1 CUSIP 22238E206 Yield 6.72%	63	25.124	1,582.83	25.13 29 Nov 13	1,583.19	0.00
					1,583.19	0.36
						106.34



Principal Global - Spectrum Preferred Sec - C7B008060005

Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency: USD

INVESTMENT POSITIONS - PRINCIPAL

FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
GOLDMAN SACHS GROUP INC MAT 31DEC49 Rate 948% Pay Frqncy Quarterly Call 06JAN14 @ 25 Moody's Ba2 CUSIP 38143Y665 Yield 5.24%	21	22.182	465.83	18.09 29 Nov 13	379.89	0.00	379.89	(85.94)	19.91
MERRILL LYNCH CAP TR II 6.45% MAT 15JUN62 Rate 1.612% Pay Frqncy Quarterly Call 06JAN14 @ 25 Moody's Ba1 CUSIP 59024T203 Yield 6.44%	64	24.298	1,555.06	25.05 29 Nov 13	1,603.20	0.00	1,603.20	48.14	103.17
MERRILL LYNCH CAPITAL TR 6.45% MAT 15DEC66 Rate 1.612% Pay Frqncy Quarterly Call 06JAN14 @ 25 Moody's Ba1 CUSIP 590199204 Yield 6.43%	96	24.329	2,335.58	25.06 29 Nov 13	2,405.76	0.00	2,405.76	70.18	154.75
MORGAN STANLEY CAP TR V 5.75% MAT 15JUL33 Rate 1.437% Pay Frqncy Quarterly Call 06JAN14 @ 25 Moody's Ba1 CUSIP 617466206 Yield 6.16%	43	25.269	1,086.58	23.35 29 Nov 13	1,004.05	0.00	1,004.05	(82.53)	61.83
MORGAN STANLEY CAP TR VI 6.60% MAT 01FEB46 Rate 1.65% Pay Frqncy Quarterly Call 06JAN14 @ 25 Moody's Ba1 CUSIP 617461207 Yield 6.63%	41	25.096	1,028.93	24.8848 29 Nov 13	1,020.28	0.00	1,020.28	(8.65)	67.65

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Principal Global - Spectrum Preferred Sec - C7B008060005

Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency: USD

FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est. Annual Income
Preferred Stock CONTINUED									
MORGAN STANLEY CAP TRUST 6.45% MAT 15APR67 Rate 1.612% Pay Frqncy Quarterly Call 06JAN14 @ 25 Moody's Ba1 CUSIP 61753R200 Yield 6.54%	26	25.132	653.43	24.64 29 Nov 13	640.64	0.00	640.64	(12.79)	41.91
MORGAN STANLEY CP TR III 6.25% MAT 01MAR33 Rate 1.562% Pay Frqncy Quarterly Call 06JAN14 @ 25 Moody's Ba1 CUSIP 617460209 Yield 6.46%	53	25.001	1,325.03	24.19 29 Nov 13	1,282.07	20.70	1,302.77	(42.96)	82.79
MORGAN STANLEY CP TR IV 6.25% MAT 01APR33 Rate 1.562% Pay Frqncy Quarterly Call 06JAN14 @ 25 Moody's Ba1 CUSIP 617462205 Yield 6.36%	41	25.243	1,034.95	24.55 29 Nov 13	1,006.55	0.00	1,006.55	(28.40)	64.04
ROYAL BK SCOTLAND GROUP MAT 31DEC49 Rate 1.438% Pay Frqncy Quarterly Call 06JAN14 @ 25 Moody's B1 CUSIP 780097788 Yield 7.1%	207	15.508	3,210.10	20.25 29 Nov 13	4,191.75	0.00	4,191.75	981.65	297.67
ENTERGY TEXAS INC 7.875% MAT 01JUN39 Rate 1.968% Pay Frqncy Quarterly Call 01JUN14 @ 25 Moody's Baa2 CUSIP 29365T203 Yield 7.65%	18	28.880	519.84	25.73 29 Nov 13	463.14	8.86	472.00	(56.70)	35.44

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FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
AMERIPRISE FINANCIAL INC 7.75% MAT 15JUN39 Rate 1.937% Pay Frqncy Quarterly Call 15JUN14 @ 25 Moody's A3 CUSIP 03076C205 Yield 7.55%	74	28.228	2,088.87	25.66 29 Nov 13	1,898.84	35.84	1,934.68	(190.03)	143.41
DOMINION RESOURCES INC. 8.375% MAT 15JUN64 Rate 2.093% Pay Frqncy Quarterly Call 15JUN14 @ 25 Moody's Baa3 CUSIP 25746U604 Yield 7.96%	63	28.829	1,816.20	26.30 29 Nov 13	1,656.90	0.00	1,656.90	(159.30)	131.92
WEINGARTEN REALTY INVEST PFD MAT 15SEP19 Rate 1.62% Pay Frqncy Quarterly Call 15SEP14 @ 20 Moody's Baa2 CUSIP 948741848 Yield 7.7%	13	23.932	311.11	21.0495 29 Nov 13	273.64	5.27	278.91	(37.47)	21.06
VORNADO REALTY L.P. 7.875% MAT 01OCT39 Rate 1.968% Pay Frqncy Quarterly Call 01OCT14 @ 25 Moody's Baa2 CUSIP 929043602 Yield 7.37%	133	27.350	3,637.55	26.7188 29 Nov 13	3,553.60	0.00	3,553.60	(83.95)	261.88
SCANA CORPORATION 7.70% MAT 30JAN65 Rate 1.925% Pay Frqncy Quarterly Call 30JAN15 @ 25 Moody's Baa1 CUSIP 80589M201 Yield 7.19%	11	28.280	311.08	26.78 29 Nov 13	294.58	0.00	294.58	(16.50)	21.18

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INVESTMENT POSITIONS - PRINCIPAL

FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
ENERGY LOUISIANA LLC 6.00% MAT 15MAR40 Rate 1.5% Pay Frqncy Quarterly Call 15MAR15 @ 25 Moody's A3 CUSIP 29364W306 Yield 6.13%	44	25.781	1,134.37	24.47 29 Nov 13	1,076.68	0.00	1,076.68	(57.69)	66.00
LLOYDS BANK GRP PLC 7.75% MAT 15JUL50 Rate 1.937% Pay Frqncy Quarterly Call 15JUL15 @ 25 Moody's A3 CUSIP 539439802 Yield 7.13%	259	25.490	6,601.79	27.17 29 Nov 13	7,037.03	0.00	7,037.03	435.24	501.94
AFFILIATED MANAGERS GROUP 5.25 MAT 15OCT22 Rate 1.312% Pay Frqncy Quarterly Call 15OCT15 @ 25 CUSIP 008252868 Yield 5.19%	16	25.300	404.80	25.28 29 Nov 13	404.48	0.00	404.48	(0.32)	21.01
ENERGY ARKANSAS PREFERRED MAT 01NOV40 Rate 1.437% Pay Frqncy Quarterly Call 01NOV15 @ 25 Moody's A3 CUSIP 29364D779 Yield 5.87%	26	25.640	666.64	24.48 29 Nov 13	636.48	0.00	636.48	(30.16)	37.39
THE GOLDMAN SACHS GROUP INC MAT 01NOV60 Rate 1.531% Pay Frqncy Quarterly Call 01NOV15 @ 25 Moody's Baa1 CUSIP 38145X111 Yield 6.08%	163	24.756	4,035.27	25.18 29 Nov 13	4,104.34	0.00	4,104.34	69.07	249.55

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INVESTMENT POSITIONS - PRINCIPAL

FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
TELEPHONE & DATA SYS 6.875% MAT 15NOV59 Rate 1.718% Pay Francy Quarterly Call 15NOV15 @ 25 CUSIP 879433845 Yield 7.15%	27	25.200	680.40	24.05 29 Nov 13	649.35	0.00	649.35	(31.05)	46.41
ENTERGY LOUISIANA LLC 5.875% MAT 15JUN41 Rate 1.469% Pay Francy Quarterly Call 23NOV15 @ 25 Moody's A3 CUSIP 29364W405 Yield 5.95%	13	25.540	332.02	24.67 29 Nov 13	320.71	0.00	320.71	(11.31)	19.10
TELEPHONE & DATA SYS 7.000% MAT 15MAR60 Rate 1.75% Pay Francy Quarterly Call 15MAR16 @ 25 Moody's Baa2 CUSIP 879433837 Yield 6.91%	45	25.320	1,139.40	25.33 29 Nov 13	1,139.85	0.00	1,139.85	0.45	78.75
ENTERGY MISSISSIPPI INC 6.00% MAT 01MAY51 Rate 1.5% Pay Francy Quarterly Call 01MAY16 @ 25 Moody's Baa1 CUSIP 29364N835 Yield 6.24%	27	25.200	680.40	24.03 29 Nov 13	648.81	0.00	648.81	(31.59)	40.50
US CELLULAR CORP 6.95% MAT 15MAY60 Rate 1.737% Pay Francy Quarterly Call 15MAY16 @ 25 Moody's Baa2 CUSIP 911684405 Yield 7%	23	24.928	573.35	24.829 29 Nov 13	571.07	0.00	571.07	(2.28)	39.95

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FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
QWEST CORPORATION 7.375% MAT 01JUN51 Rate 1.843% Pay Frqncy Quarterly Call 01JUN16 @ 25 Moody's Baa3 CUSIP 74913G204 Yield 7.45%	74	24.890	1,841.87	24.76 29 Nov 13	1,832.24	34.11	1,866.35	(9.63)	136.46
QWEST CORP 7.50% MAT 15SEP51 Rate 1.875% Pay Frqncy Quarterly Call 15SEP16 @ 25 CUSIP 74913G303 Yield 7.38%	80	24.854	1,988.30	25.40 29 Nov 13	2,032.00	0.00	2,032.00	43.70	150.00
THE GOLDMAN SACHS GRP 6.50% NT MAT 01NOV61 Rate 1.625% Pay Frqncy Quarterly Call 01NOV16 @ 25 Moody's Baa1 CUSIP 38144G184 Yield 6.3%	165	24.585	4,056.58	25.78 29 Nov 13	4,253.70	0.00	4,253.70	197.12	268.13
DTE ENERGY CO JR SUB DEB 6.50% MAT 01DEC61 Rate 1.625% Pay Frqncy Quarterly Call 01DEC16 @ 25 Moody's Baa2 CUSIP 233331602 Yield 6.6%	23	25.113	577.59	24.6074 29 Nov 13	565.97	9.34	575.31	(11.62)	37.38
NEXTERA ENERGY CAP HLDGS 5.70% MAT 01MAR72 Rate 1.425% Pay Frqncy Quarterly Call 01MAR17 @ 25 Moody's Baa2 CUSIP 65339K605 Yield 6.63%	24	24.918	598.02	21.48 29 Nov 13	515.52	8.55	524.07	(82.50)	34.20

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FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
RAYMOND JAMES FIN INC 6.90% MAT 15MAR42 Rate 1.725% Pay Frqncy Quarterly Call 15MAR17 @ 25 Moody's Baa2 CUSIP 754730208 Yield 6.76%	28	25.461	712.90	25.5301 29 Nov 13	714.84	0.00	714.84	1.94	48.30
QWEST CORPORATION 7.00% MAT 01APR52 Rate 1.75% Pay Frqncy Quarterly Call 01APR17 @ 25 Moody's Baa3 CUSIP 74913G402 Yield 7.12%	49	24.969	1,223.46	24.57 29 Nov 13	1,203.93	0.00	1,203.93	(19.53)	85.75
PROTECTIVE LIFE CORP 6.25% MAT 15MAY42 Rate 1.562% Pay Frqncy Quarterly Call 15MAY17 @ 25 Moody's Baa3 CUSIP 743674608 Yield 6.78%	44	24.693	1,086.51	23.06 29 Nov 13	1,014.64	0.00	1,014.64	(71.87)	68.77
AMERICAN FINANCIAL GROUP PFD MAT 12JUN42 Rate 1.594% Pay Frqncy Quarterly Call 12JUN17 @ 25 Moody's Baa1 CUSIP 025932401 Yield 6.51%	25	24.780	619.50	24.4867 29 Nov 13	612.17	9.96	622.13	(7.33)	39.85
NEXTERA ENERGY CAP HLDG 5.625% MAT 15JUN72 Rate 1.406% Pay Frqncy Quarterly Call 15JUN17 @ 25 Moody's Baa2 CUSIP 65339K704 Yield 6.62%	24	24.750	594.01	21.25 29 Nov 13	510.00	0.00	510.00	(84.01)	33.74

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FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
QWEST CORP 7.00% MAT 01JUL52 Rate 1.75% Pay Frqncy Quarterly Call 01JUL17 @ 25 Moody's Baa3 CUSIP 749136501 Yield 7.17%	24	24.964	599.13	24.40 29 Nov 13	585.60	0.00	585.60	(13.53)	42.00
KIMCO REALTY CORPORATION 5.50% MAT 31DEC49 Rate 1.375% Pay Frqncy Quarterly Call 25JUL17 @ 25 Moody's Baa2 CUSIP 49446R778 Yield 6.94%	27	24.559	663.09	19.8024 29 Nov 13	534.66	0.00	534.66	(128.43)	37.13
STANLEY BLACK & DECKER 5.75% MAT 25JUL52 Rate 1.437% Pay Frqncy Quarterly Call 25JUL17 @ 25 Moody's Baa2 CUSIP 854502705 Yield 6.37%	75	24.759	1,856.92	22.59 29 Nov 13	1,694.25	0.00	1,694.25	(162.67)	107.85
BB&T CORPORATION 5.625% PFD MAT 31DEC49 Rate 1.406% Pay Frqncy Quarterly Call 01AUG17 @ 25 Moody's Baa2 CUSIP 054937404 Yield 6.82%	168	24.379	4,095.67	20.63 29 Nov 13	3,465.84	59.06	3,524.90	(629.83)	236.21
SENIOR HOUSING PROP TR 5.625% MAT 01AUG42 Rate 1.406% Pay Frqncy Quarterly Call 01AUG17 @ 25 Moody's Baa3 CUSIP 81721M208 Yield 6.96%	53	23.975	1,270.66	20.21 29 Nov 13	1,071.13	0.00	1,071.13	(199.53)	74.52

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FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est. Annual Income
Preferred Stock CONTINUED									
AEGON N.V. 8.00% MAT 15FEB42 Rate 2% Pay Frqncy Quarterly Call 15AUG17 @ 25 Moody's Baa1 CUSIP 007924608 Yield 7.33%	93	25.366	2,359.02	27.30 29 Nov 13	2,538.90	0.00	2,538.90	179.88	186.00
AFFILIATED MANAGERS GROUP MAT 15AUG42 Rate 1.594% Pay Frqncy Quarterly Call 15AUG17 @ 25 CUSIP 008252876 Yield 6.86%	21	25.629	538.21	23.25 29 Nov 13	488.25	0.00	488.25	(49.96)	33.47
AMERICAN FINANCIAL GROUP MAT 25AUG42 Rate 1.438% Pay Frqncy Quarterly Call 25AUG17 @ 25 Moody's Baa1 CUSIP 025932500 Yield 6.64%	16	25.071	401.14	21.67 29 Nov 13	346.72	0.00	346.72	(54.42)	23.01
STATE STREET CORP MAT 31DEC49 Rate 1.313% Pay Frqncy Quarterly Call 15SEP17 @ 25 Moody's Baa2 CUSIP 857477509 Yield 6.07%	86	24.609	2,116.34	21.64 29 Nov 13	1,861.04	28.22	1,889.26	(255.30)	112.92
PUBLIC STORAGE 5.375 CUM PFD MAT 31DEC49 Rate 1.344% Pay Frqncy Quarterly Call 20SEP17 @ 25 Moody's A3 CUSIP 74460W800 Yield 6.49%	26	24.715	642.58	20.70 29 Nov 13	538.20	0.00	538.20	(104.38)	34.94

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INVESTMENT POSITIONS - PRINCIPAL

FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
AFLAC INC PFD 5.5% MAT 15SEP52 Rate 1.375% Pay Francy Quarterly Call 26SEP17 @ 25 Moody's Baa1 CUSIP 001055300 Yield 6.05%	49	23 327	1,143.01	22.71 29 Nov 13	1,112.79	16 84	1,129.63	(30.22)	67 38
GENERAL ELEC CAP CORP 4.875% MAT 15OCT52 Rate 1.218% Pay Francy Quarterly Call 15OCT17 @ 25 Moody's A1 CUSIP 369622428 Yield 5.68%	122	24.787	3,024.00	21 45 29 Nov 13	2,616.90	0 00	2,616 90	(407.10)	148.72
CITY NATIONAL CORP MAT 31DEC49 Rate 1.375% Pay Francy Quarterly Call 13NOV17 @ 25 Moody's Baa2 CUSIP 17800X202 Yield 6.81%	20	23 640	472 79	20 19 29 Nov 13	403.80	0 00	403.80	(68.99)	27 50
NEXTERA ENERGY CAPITAL PFD MAT 15NOV72 Rate 1.281% Pay Francy Quarterly Call 15NOV17 @ 25 Moody's Baa2 CUSIP 65333K803 Yield 6.74%	53	24 663	1,307.13	19 02 29 Nov 13	1,008.06	0 00	1,008.06	(299.07)	67.89
DTE ENERGY CO. 5.25% MAT 01DEC62 Rate 1.312% Pay Francy Quarterly Call 01DEC17 @ 25 Moody's Baa2 CUSIP 233331701 Yield 6.55%	16	24 988	399 81	20 059 29 Nov 13	320.94	5 25	326.19	(78.87)	21.01

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Principal Global - Spectrum Preferred Sec - C7B008060005

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FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
ENTERGY ARKANSAS INC MAT 01DEC52 Rate 1.225% Pay Frqncy Quarterly Call 01DEC17 @ 25 Moody's A3 CUSIP 29364D761 Yield 6.07%	16	25.178	402.84	20 171 29 Nov 13	322.74	4.90	327.64	(80.10)	19.60
PRUDENTIAL FINANCIAL INC MAT 15DEC52 Rate 1.438% Pay Frqncy Quarterly Call 04DEC17 @ 25 Moody's Baa2 CUSIP 744320607 Yield 6.63%	54	24.831	1,340.87	21.70 29 Nov 13	1,171.80	19.41	1,191.21	(169.07)	77.65
COMCAST CORP MAT 15DEC61 Rate 1.25% Pay Frqncy Quarterly Call 15DEC17 @ 25 Moody's A3 CUSIP 20030N606 Yield 5.8%	27	25.257	681.94	21.57 29 Nov 13	582.39	8.44	590.83	(99.55)	33.75
TORCHMARK CORP JR SUB DEB MAT 15DEC52 Rate 1.469% Pay Frqncy Quarterly Call 15DEC17 @ 25 Moody's Baa2 CUSIP 891027302 Yield 6.64%	16	25.036	400.58	22.14 29 Nov 13	354.24	5.88	360.12	(46.34)	23.50
DUKE ENERGY CORP 5.125% MAT 15JAN73 Rate 1.281% Pay Frqncy Quarterly Call 15JAN18 @ 25 Moody's Baa2 CUSIP 26441C303 Yield 6.05%	43	24.923	1,071.71	21.17 29 Nov 13	910.31	0.00	910.31	(161.40)	55.08

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Principal Global - Spectrum Preferred Sec - C78008060005

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INVESTMENT POSITIONS - PRINCIPAL

FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
NEXTERA ENERGY CAPITAL 5% MAT 15JAN73 Rate 1.25% Pay Frqncy Quarterly Call 15JAN18 @ 25 Moody's Baa2 CUSIP 65339X886 Yield 6.66%	22	24.722	543.88	18.78 29 Nov 13	413.16	0.00	413.16	(130.72)	27.50
GENERAL ELECTRIC CAP CORP MAT 29JAN53 Rate 1.218% Pay Frqncy Quarterly Call 29JAN18 @ 25 Moody's A1 CUSIP 369622410 Yield 5.68%	109	25.063	2,731.84	21.46 29 Nov 13	2,339.14	0.00	2,339.14	(392.70)	132.87
JPMORGAN CHASE & CO 5.45% MAT 31DEC49 Rate 1.362% Pay Frqncy Quarterly Call 01MAR18 @ 25 Moody's Ba1 CUSIP 46637G124 Yield 6.55%	124	24.544	3,043.50	20.80 29 Nov 13	2,579.20	42.24	2,621.44	(464.30)	168.89
PARTNERRE LTD 5.875% MAT 31DEC49 Rate 1.468% Pay Frqncy Quarterly Call 01MAR18 @ 25 Moody's Baa2 CUSIP 668603128 Yield 7.2%	38	24.964	948.64	20.40 29 Nov 13	775.20	13.95	789.15	(173.44)	55.82
VENTAS REALTY LP 5.45% MAT 15MAR43 Rate 1.362% Pay Frqncy Quarterly Call 07MAR18 @ 25 Moody's Baa1 CUSIP 92276M204 Yield 6.22%	38	25.359	963.65	21.90 29 Nov 13	832.20	12.94	845.14	(131.45)	51.76

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Principal Global - Spectrum Preferred Sec - C7B008060005

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FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
PRUDENTIAL FINANCIAL INC MAT 15MAR53 Rate 1.425% Pay Frqncy Quarterly Call 15MAR18 @ 25 Moody's Baa2 CUSIP 744320706 Yield 6.56%	70	24 846	1,739.21	21.71 29 Nov 13	1,519.70	24.94	1,544.64	(219.51)	99.75
DIGITAL REALTY TRUST INC MAT 31DEC49 Rate 1.468% Pay Frqncy Quarterly Call 09APR18 @ 25 Moody's Baa3 CUSIP 253868889 Yield 7.56%	27	24 742	668.03	19.43 29 Nov 13	524.61	0.00	524.61	(143.42)	39.66
PPL CAPITAL FUNDING 5.90% MAT 30APR73 Rate 1.475% Pay Frqncy Quarterly Call 30APR18 @ 25 Moody's Ba1 CUSIP 69352P202 Yield 7%	16	25 070	401.12	21.07 29 Nov 13	337.12	0.00	337.12	(64.00)	23.60
BERKLEY (WR) CORPORATION MAT 30APR53 Rate 1.40625% Pay Frqncy Irregular Call 02MAY18 @ 25 Moody's Baa3 CUSIP 084423409 Yield 6.96%	41	25 111	1,029.56	20.20 29 Nov 13	828.20	0.00	828.20	(201.36)	57.65
GEN ELEC CAP CORP MAT 16MAY53 Rate 1.175% Pay Frqncy Quarterly Call 16MAY18 @ 25 Moody's A1 CUSIP 369622394 Yield 5.84%	104	25 019	2,601.98	20.13 29 Nov 13	2,093.52	0.00	2,093.52	(508.46)	122.20

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FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
BB&T CORPORATION MAT 21DEC49 Rate 1.3% Pay Frqncy Quarterly Call 01JUN18 @ 25 Moody's Baa2 CUSIP 054937800 Yield 6.79%	84	24 582	2,064.89	19.14 29 Nov 13	1,607.76	27.30	1,635.06	(457.13)	109.20
ENTERGY ARKANSAS MAT 01JUN63 Rate 1.188% Pay Frqncy Quarterly Call 01JUN18 @ 25 Moody's A3 CUSIP 29364D753 Yield 6.18%	16	24 700	395.20	19.22 29 Nov 13	307.52	4.75	312.27	(87.68)	19.01
WELLS FARGO & COMPANY 5.25% MAT 31DEC49 Rate 1.312% Pay Frqncy Quarterly Call 15JUN18 @ 25 Moody's Baa3 CUSIP 949746655 Yield 6.25%	16	24 226	387.62	20.996 29 Nov 13	335.94	5.25	341.19	(51.68)	21.01
HARTFORD FINL SVCS GRP 7.875 MAT 15APR42 Rate 1.968% Pay Frqncy Quarterly Call 15APR22 @ 25 Moody's Ba1 CUSIP 416518504 Yield 6.78%	47	25.768	1,211.10	29.0385 29 Nov 13	1,364.81	0.00	1,364.81	153.71	92.54
PNC FINANCIAL SCVS GRP 6.125% MAT 31DEC49 Rate 1.531% Pay Frqncy Quarterly Call 01MAY22 @ 25 Moody's Baa3 CUSIP 693475857 Yield 5.99%	254	25.513	6,480.18	25.58 29 Nov 13	6,497.32	0.00	6,497.32	17.14	388.87

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FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est. Annual Income
Preferred Stock CONTINUED									
ALLSTATE CORP MAT 15JAN53 Rate 1 275% Pay Frqncy Irregular Call 15JAN23 @ 25 Moody's Baa1 CUSIP 020002309 Yield 5.25%	10	25 350	253.50	24.29 29 Nov 13	242.90	0.00	242.90	(10.60)	12.75
ASPEN INSURANCE HLDG LTD MAT 31DEC49 Rate 1 487% Pay Frqncy Quarterly Call 01JUL23 @ 25 Moody's Baa1 CUSIP G05384154 Yield 6 24%	39	25.282	985.98	23.82 29 Nov 13	928.98	0.00	928.98	(57.00)	57.99
INTEGRYS ENERGY GROUP INC 6 % MAT 01AUG73 Rate 1.5% Pay Frqncy Quarterly Call 01AUG23 @ 25 Moody's Baa2 CUSIP 45822P204 Yield 6 23%	144	24 627	3,546.29	24.06 29 Nov 13	3,464.64	0.00	3,464.64	(81.65)	216.00
WELLS FARGO & COMPANY 5.85% MAT 31DEC49 Rate 1 462% Pay Frqncy Quarterly Call 15SEP23 @ 25 Moody's Baa3 CUSIP 949746556 Yield 6.04%	152	24 638	3,745.05	24.22 29 Nov 13	3,681.44	55.58	3,737.02	(63.61)	222.22
MORGAN STANLEY MAT 31DEC99 Rate 1.781% Pay Frqncy Quarterly Call 15OCT23 @ 25 Moody's Baa3 CUSIP 61762V200 Yield 6 72%	37	25 501	943.54	26.49 29 Nov 13	980.13	0.00	980.13	36.59	65.90

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INVESTMENT POSITIONS - PRINCIPAL

FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gam/Loss	Est Annual Income
Preferred Stock CONTINUED									
ACGL 6 3/4 SERIES C Rate 1.687% Pay Frqncy Quarterly Call 02APR17 @ 25 Moody's Baa2 CUSIP G0450A204 Yield 6.82%	73	25.020	1,826.45	24.74 29 Nov 13	1,806.02	0.00	1,806.02	(20.43)	123.22
AEGON N V PFD 6.5% PERP Rate 1.625% Pay Frqncy Quarterly Call 06JAN14 @ 25 Moody's Baa1 CUSIP 007924400 Yield 6.7%	31	18.758	581.50	24.24 29 Nov 13	751.44	12.59	764.03	169.94	50.38
AEGON N.V. CAP SECS 6.375% Rate 1.593% Pay Frqncy Quarterly Call 15JUN15 @ 25 Moody's Baa1 CUSIP 007924301 Yield 6.53%	197	23.986	4,725.18	24.41 29 Nov 13	4,808.77	78.49	4,887.26	83.59	314.02
AEGON NV Rate 1.011% Pay Frqncy Quarterly Call 15MAR14 @ 25 Moody's Baa1 CUSIP 007924509 Yield 4.93%	79	23.425	1,850.54	20.505 29 Nov 13	1,619.89	19.97	1,639.86	(230.65)	79.87
ALEXANDRIA REAL ESTATE 6.45% Rate 1.612% Pay Frqncy Quarterly Call 15MAR17 @ 25 Moody's Baa3 CUSIP 015271703 Yield 7.14%	24	24.467	587.21	22.59 29 Nov 13	542.16	0.00	542.16	(45.05)	38.69

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FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
ALLSTATE CORP Rate 1.406% Pay Frqncy Quarterly Call 15JUN18 @ 25 Moody's Baa3 CUSIP 020002408 Yield 6.09%	25	24.499	612.48	23.0797 29 Nov 13	576.99	0.00	576.99	(35.49)	35.15
ALLSTATE CORP Rate 1.6875% Pay Frqncy Irregular Call 15OCT18 @ 25 Moody's Baa3 CUSIP 020002606 Yield 6.62%	24	24.791	594.99	25.49 29 Nov 13	611.76	0.00	611.76	16.77	40.51
ASPEN INSURANCE HLDG 7.25% Rate 1.812% Pay Frqncy Quarterly Call 01JUL17 @ 25 Moody's Ba1 CUSIP G05384147 Yield 7.22%	40	24.928	997.13	25.1001 29 Nov 13	1,004.00	0.00	1,004.00	6.87	72.52
AXIS CAPITAL HLDGS Rate 1.719% Pay Frqncy Quarterly Call 15APR17 @ 25 Moody's Baa3 CUSIP G0692U307 Yield 7.02%	89	25.000	2,225.00	24.49 29 Nov 13	2,179.61	0.00	2,179.61	(45.39)	152.99
AXIS CAPITAL HLDGS LTD Rate 1.375% Pay Frqncy Quarterly Call 01JUN18 @ 25 Moody's Baa3 CUSIP G0692U117 Yield 7.17%	26	24.959	648.94	19.19 29 Nov 13	498.94	8.94	507.88	(150.00)	35.75

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FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
BANK AMER CORP PFD 6.625% Rate 1.656% Pay Frqncy Quarterly Call 01OCT17 @ 25 Moody's Ba3 CUSIP 060505740 Yield 6.58%	60	24.990	1,499.37	25.1701 29 Nov 13	1,510.21	0.00	1,510.21	10.84	99.36
BANK OF AMERICA CORP 6.375% Rate 1.594% Pay Frqncy Quarterly Call 06JAN14 @ 25 Moody's Ba3 CUSIP 060505617 Yield 6.69%	45	20.472	921.22	23.82 29 Nov 13	1,071.90	0.00	1,071.90	150.68	71.73
BANK OF AMERICA CORP PFD 6.204 Rate 1.551% Pay Frqncy Quarterly Call 14MAR14 @ 25 Moody's Ba3 CUSIP 060505831 Yield 6.41%	86	24.208	2,081.89	24.20 29 Nov 13	2,081.20	33.35	2,114.55	(0.69)	133.39
BANK OF NEW YORK MELLON 5.20% Rate 1.3% Pay Frqncy Quarterly Call 20SEP17 @ 25 Moody's Baa2 CUSIP 064058209 Yield 6.16%	165	24.683	4,072.63	21.10 29 Nov 13	3,481.50	0.00	3,481.50	(591.13)	214.50
BARCLAYS BANK PLC 7.10% Rate 1.775% Pay Frqncy Quarterly Call 15MAR14 @ 25 Moody's Ba2 CUSIP 06739H776 Yield 7.07%	149	24.758	3,688.90	25.09 29 Nov 13	3,738.41	66.12	3,804.53	49.51	264.48

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FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
BARCLAYS BANK PLC 7 75% Rate 1.937% Pay Frqncy Quarterly Call 15MAR14 @ 25 Moody's Baa2 CUSIP 06739H511 Yield 7.65%	58	24 992	1,449.51	25.32 29 Nov 13	1,468.56	28.09	1,496.65	19.05	112.40
BARCLAYS BANK PLC 8 125% Rate 2.031% Pay Frqncy Quarterly Call 15MAR14 @ 25 Moody's Baa2 CUSIP 06739H362	23	26.733	614.86	25.40 29 Nov 13	584.20	18.79	602.99	(30.66)	46.71
BARCLAYS BK PLC 6.625% Rate 1.656% Pay Frqncy Quarterly Call 15MAR14 @ 25 Moody's Baa2 CUSIP 06739F390 Yield 6.82%	101	24 962	2,521.20	24 29 29 Nov 13	2,453.29	41.82	2,495.11	(67.91)	167.26
BB&T CORP PREF 5.85% Rate 1.462% Pay Frqncy Quarterly Call 01MAY17 @ 25 Moody's Baa2 CUSIP 054937206 Yield 6.65%	44	24 648	1,084.51	22 00 29 Nov 13	968.00	16.09	984.09	(116.51)	64.33
BB&T CORPORATION 5 2% PFD Rate 1.3% Pay Frqncy Quarterly Call 01NOV17 @ 25 Moody's Baa2 CUSIP 054937602 Yield 6.83%	28	23 168	648.70	19 04 29 Nov 13	533.12	9.10	542.22	(115.58)	36.40

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FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
CAPITAL ONE FINANCIAL CORP Rate 1.5% Pay Frqncy Quarterly Call 01SEP17 @ 25 Moody's Ba1 CUSIP 14040H402 Yield 6.97%	155	24,802	3,844.27	21 51 29 Nov 13	3,334.05	58.13	3,392.18	(510.22)	232 50
CHARLES SCHWAB CORP 6.0% Rate 1.5% Pay Frqncy Quarterly Call 01SEP17 @ 25 Moody's Baa2 CUSIP 808513204 Yield 6.49%	68	24 783	1,685.21	23.13 29 Nov 13	1,572 84	25.50	1,598.34	(112 37)	102 00
DEUTSCHE BANK CONTINGENT 7 6% Rate 1.9% Pay Frqncy Quarterly Call 20FEB18 @ 25 Moody's Baa2 CUSIP 25154A108 Yield 7.19%	84	25,361	2,130.35	26.42 29 Nov 13	2,219.28	0 00	2,219 28	88 93	159.60
DEUTSCHE BANK CONTINGENT 8 05% Rate 2.012% Pay Frqncy Quarterly Call 30JUN18 @ 25 Moody's Baa2 CUSIP 25150L108 Yield 7 35%	18	27 340	492.12	27 38 29 Nov 13	492 84	0 00	492 84	0.72	36.22
DEUTSCHE BK CAP FDG TR 6 375% Rate 1.593% Pay Frqncy Quarterly Call 18JAN14 @ 25 Moody's Baa2 CUSIP 25153U204 Yield 6.46%	42	24 646	1,035 15	24 68 29 Nov 13	1,036 56	0 00	1,036 56	1 41	66 95

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FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est. Annual Income
Preferred Stock CONTINUED									
DEUTSCHE BK CONTINGENT CAP TR Rate 1.637% Pay Frqncy Quarterly Call 23MAY17 @ 25 Moody's Ba2 CUSIP 25153X208 Yield 6.55%	245	24.588	6,023.96	25.00 29 Nov 13	6,125.00	0.00	6,125.00	101.04	401.07
DIGITAL REALTY TR PREF 7.00% Rate 1.75% Pay Frqncy Quarterly Call 15SEP16 @ 25 Moody's Baa3 CUSIP 253868707 Yield 7.34%	22	24.898	547.76	23.85 29 Nov 13	524.70	0.00	524.70	(23.06)	38.50
DIGITAL REALTY TRUST 6.625% Rate 1.656% Pay Frqncy Quarterly Call 05APR17 @ 25 Moody's Baa3 CUSIP 253868806 Yield 7.32%	24	24.890	597.36	22.63 29 Nov 13	543.12	0.00	543.12	(54.24)	39.74
FIRST NIAGARA FIN GROUP 8.625% Rate 2.156% Pay Frqncy Quarterly Call 15FEB17 @ 25 Moody's Ba2 CUSIP 33582V207 Yield 7.59%	50	25.172	1,258.61	28.40 29 Nov 13	1,420.00	0.00	1,420.00	161.39	107.80
GOLDMAN SACHS GROUP INC 5.95% Rate 1.487% Pay Frqncy Quarterly Call 10NOV17 @ 25 Moody's Ba2 CUSIP 38145G209 Yield 6.76%	72	24.970	1,797.84	21.9928 29 Nov 13	1,583.48	0.00	1,583.48	(214.36)	107.06

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FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
GOLDMAN SACHS GROUP INC FRN Rate 1.022% Pay Frqncy Quarterly Call 06JAN14 @ 25 Moody's Baa2 CUSIP 38144G804 Yield 5.38%	14	22 323	312.52	18.99 29 Nov 13	265.86	0.00	265.86	(46.66)	14.31
HEALTH CARE REIT INC 6.50% Rate 1.625% Pay Frqncy Quarterly Call 07MAR17 @ 25 Moody's Baa3 CUSIP 42217K700 Yield 6.76%	48	25 278	1,213.34	24.04 29 Nov 13	1,153.92	0.00	1,153.92	(59.42)	78.00
HOSPITALITY PROP TRUST 7.125% Rate 1.781% Pay Frqncy Quarterly Call 15JAN17 @ 25 Moody's Baa3 CUSIP 44106M607 Yield 7.15%	67	24 801	1,661.64	24.90 29 Nov 13	1,668.30	0.00	1,668.30	6.66	119.33
HSBC HOLDINGS PLC 6.20% Rate 1.55% Pay Frqncy Quarterly Call 06JAN14 @ 25 Moody's Baa2 CUSIP 404280604 Yield 6.29%	79	24.132	1,906.42	24.65 29 Nov 13	1,947.35	30.61	1,977.96	40.93	122.45
HSBC HOLDINGS PLC 8.00% Rate 2% Pay Frqncy Quarterly Call 15DEC15 @ 25 Moody's Baa2 CUSIP 404280802 Yield 7.42%	303	27 374	8,294.31	26.95 29 Nov 13	8,165.85	151.50	8,317.35	(128.46)	606.00

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FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
ING GROEP NV 6 125% PFD Rate 1.531% Pay Frqncy Quarterly Call 15JAN14 @ 25 Moody's Ba1 CUSIP 456837509 Yield 6.42%	56	22 172	1,241 63	23.86 29 Nov 13	1,336.16	0.00	1,336.16	94.53	85.74
ING GROEP NV 6.375% PFD Rate 1.593% Pay Frqncy Quarterly Call 15MAR14 @ 25 Moody's Ba1 CUSIP 456837608 Yield 6.64%	103	20.994	2,162 42	24.00 29 Nov 13	2,472 00	41 04	2,513.04	309.58	164 18
ING GROEP NV Rate 1.55% Pay Frqncy Quarterly Call 15JAN14 @ 25 Moody's Ba1 CUSIP 456837400 Yield 6.39%	35	21.058	737.03	24 27 29 Nov 13	849 45	0 00	849 45	112.42	54 25
ING GROEP NV Rate 1.762% Pay Frqncy Quarterly Call 15MAR14 @ 25 Moody's Ba1 CUSIP 456837202 Yield 6.99%	118	23.885	2,818.44	25.20 29 Nov 13	2,973 60	51 99	3,025 59	155 16	207 92
ING GROUP NV 7 20% PFD Rate 1.8% Pay Frqncy Quarterly Call 15MAR14 @ 25 Moody's Ba1 CUSIP 456837301 Yield 7.14%	94	24 768	2,328.18	25 21 29 Nov 13	2,369.74	42 30	2,412 04	41 56	169 20

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FIXED INCOME CONTINUED

FIXED INCOME CONTINUED									
Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
JPMORGAN CHASE & CO 5.5% Rate 1.375% Pay Francy Quarterly Call 01SEP17 @ 25 Moody's Baa1 CUSIP 48126E750 Yield 6.6%	203	24 506	4,974.63	20.82 29 Nov 13	4,226.46	69.78	4,296.24	(748.17)	279.13
KIMCO REALTY CORP 5.625% Rate 1.406% Pay Francy Quarterly Call 07DEC17 @ 25 Moody's Baa2 CUSIP 49446R745 Yield 6.95%	27	24,760	668.52	20.23 29 Nov 13	546.21	0.00	546.21	(122.31)	37.96
KIMCO REALTY CORP 6.90% Rate 1.725% Pay Francy No Interest Call 30AUG15 @ 25 Moody's Baa2 CUSIP 49446R828 Yield 6.91%	53	25 780	1,366.34	24.95 29 Nov 13	1,322.35	0.00	1,322.35	(43.99)	91.43
KIMCO REALTY CORPORATION 6.00% Rate 1.5% Pay Francy Quarterly Call 20MAR17 @ 25 Moody's Baa2 CUSIP 49446R794 Yield 6.98%	73	24,792	1,809.84	21.50 29 Nov 13	1,569.50	0.00	1,569.50	(240.34)	109.50
MORGAN STANLEY FRN PERP PFD Rate 1.022% Pay Francy Quarterly Call 06JAN14 @ 25 Moody's Baa3 CUSIP 61747SS04 Yield 5.44%	53	23 240	1,231.72	18.79 29 Nov 13	995.87	0.00	995.87	(235.85)	54.17



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INVESTMENT POSITIONS - PRINCIPAL

FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
NATIONAL RETAIL PROP INC Rate 1.656% Pay Frqncy Quarterly Call 23FEB17 @ 25 Moody's Baa2 CUSIP 637417601 Yield 7.29%	63	24.999	1,574.94	22.71 29 Nov 13	1,430.73	26.09	1,456.82	(144.21)	104.33
NATIONAL RETAIL PROPERTIES Rate 1.425% Pay Frqncy Quarterly Call 30MAY18 @ 25 Moody's Baa2 CUSIP 637417809 Yield 7.34%	51	24.889	1,269.33	19.41 29 Nov 13	989.91	18.17	1,008.08	(279.42)	72.68
PARTNERRE LTD 6.5% Rate 1.625% Pay Frqncy Quarterly Call 06JAN14 @ 25 Moody's Baa2 CUSIP G68603409 Yield 6.88%	108	24.343	2,629.00	23.63 29 Nov 13	2,552.04	43.88	2,595.92	(76.96)	175.50
PARTNERRE LTD 7.25% Rate 1.812% Pay Frqncy Quarterly Call 01JUN16 @ 25 Moody's Baa2 CUSIP G68603508 Yield 7.03%	35	24.890	871.14	25.80 29 Nov 13	903.00	15.86	918.86	31.86	63.46
PS BUSINESS PARKS 6.00% Rate 1.5% Pay Frqncy Quarterly Call 14MAY17 @ 25 Moody's Baa2 CUSIP 69360J685 Yield 7.11%	76	24.714	1,878.25	21.10 29 Nov 13	1,603.60	0.00	1,603.60	(274.65)	114.00

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INVESTMENT POSITIONS - PRINCIPAL

FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
PS BUSINESS PARKS INC DEP Rate 1.438% Pay Frqncy Quarterly Call 14SEP17 @ 25 Moody's Baa2 CUSIP 69360J669 Yield 7.11%	16	24.981	399.69	20.23 29 Nov 13	323.68	0.00	323.68	(76.01)	23.01
PS BUSINESS PARKS PREF 6.45% Rate 1.612% Pay Frqncy Quarterly Call 18JAN17 @ 25 Moody's Baa2 CUSIP 69360J719 Yield 7.1%	48	24.914	1,195.85	22.72 29 Nov 13	1,090.56	0.00	1,090.56	(105.29)	77.38
PUBLIC STORAGE 5.625% Rate 1.406% Pay Frqncy Quarterly Call 15JUN17 @ 25 Moody's A3 CUSIP 74460W602 Yield 6.58%	25	24.783	619.58	21.36 29 Nov 13	534.00	0.00	534.00	(85.58)	35.15
PUBLIC STORAGE DEP 1/1000 PFD X Rate 1.3% Pay Frqncy Irregular Call 13MAR18 @ 25 Moody's A3 CUSIP 74460W107 Yield 6.55%	26	24.904	647.51	19.86 29 Nov 13	516.36	0.00	516.36	(131.15)	33.80
PUBLIC STORAGE PREF 6.35% Rate 1.587% Pay Frqncy Quarterly Call 26JUL16 @ 25 Moody's A3 CUSIP 74460D125 Yield 6.61%	70	24.858	1,740.04	24.00 29 Nov 13	1,680.00	0.00	1,680.00	(60.04)	111.09

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FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
PUBLIC STORAGE PREF 6.50%	47	25 450	1,196.15	25.05 29 Nov 13	1,177.35	0.00	1,177.35	(18.80)	76.38
Rate 1.625%									
Pay Frqncy Quarterly									
Call 14APR16 @ 25									
Moody's A3									
CUSIP 74460D141 Yield 6.49%									
PUBLIC STORAGE PREFERRED 5.75%	84	24 872	2,089.25	21.74 29 Nov 13	1,826.16	0.00	1,826.16	(263.09)	120.79
Rate 1.437%									
Pay Frqncy Quarterly									
Call 13MAR17 @ 25									
Moody's A3									
CUSIP 74460W404 Yield 6.61%									
PUBLIC STORAGE PREFERRED 5.90%	69	24 870	1,716.03	22.30 29 Nov 13	1,538.70	0.00	1,538.70	(177.33)	101.78
Rate 1.475%									
Pay Frqncy Quarterly									
Call 12JAN17 @ 25									
Moody's A3									
CUSIP 74460W206 Yield 6.61%									
REALTY INCOME CORP 6.625%	91	24 801	2,256.85	24.52 29 Nov 13	2,231.32	12.56	2,243.88	(25.53)	150.70
Rate 1.656%									
Pay Frqncy Monthly									
Call 15FEB17 @ 25									
Moody's Baa2									
CUSIP 756109807 Yield 6.75%									
REGENCY CENTERS CORP 6% SER 7	16	24 800	396.80	20.92 29 Nov 13	334.72	0.00	334.72	(62.08)	24.00
Rate 1.5%									
Pay Frqncy Quarterly									
Call 23AUG17 @ 25									
Moody's Baa3									
CUSIP 758849806 Yield 7.17%									

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FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
REGENCY CENTERS CORP 6.625% Rate 1 656% Pay Frqncy Quarterly Call 16FEB17 @ 25 Moody's Baa3 CUSIP 758849707 Yield 7 22%	48	24 998	1,199 88	22.93 29 Nov 13	1,100 64	0 00	1,100 64	(99.24)	79.49
RENAISSANCE HLDGS 6.08% Rate 1 52% Pay Frqncy Quarterly Call 06JAN14 @ 25 CUSIP 67498P309 Yield 6.59%	9	24 150	217.35	23 07 29 Nov 13	207 63	3.42	211 05	(9.72)	13.68
RENAISSANCE HOLDINGS Rate 1.343% Pay Frqncy Quarterly Call 01JUN18 @ 25 Moody's Baa2 CUSIP 67498P119 Yield 7 29%	51	24 920	1,270.90	19.24 29 Nov 13	981.24	17.13	998 37	(289.66)	71 55
ROYAL BK SCOTLAND 6.75% Rate 1 688% Pay Frqncy Quarterly Call 06JAN14 @ 25 Moody's B1 CUSIP 780097754 Yield 7.42%	22	23.470	516 34	22.74 29 Nov 13	500 28	0.00	500 28	(16.06)	37.14
ROYAL BK SCOTLAND GROUP PL Rate 1 65% Pay Frqncy Quarterly Call 06JAN14 @ 25 Moody's B1 CUSIP 780097739 Yield 7.4%	66	20.250	1,336.50	22.29 29 Nov 13	1,471 14	0 00	1,471 14	134 64	108 90

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FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
ROYAL BK SCOTLAND GRP 6 35 Rate 1.587% Pay Frqncy Quarterly Call 06.JAN14 @ 25 Moody's B1 CUSIP 780097770 Yield 7.38%	27	19 900	537 30	21.49 29 Nov 13	580.23	0 00	580.23	42.93	42 85
ROYAL BK SCOTLAND GRP 6 4% Rate 1.6% Pay Frqncy Quarterly Call 06.JAN14 @ 25 Moody's B1 CUSIP 780097796 Yield 7.37%	71	19 001	1,349.07	21.70 29 Nov 13	1,540.70	0 00	1,540.70	191.63	113.60
SUNTRUST BKS INC DEPOSITORY Rate 1.468% Pay Frqncy Quarterly Call 15.MAR18 @ 25 Moody's Ba1 CUSIP 867914889 Yield 6.88%	23	23.650	543.95	21.36 29 Nov 13	491.28	8 45	499.73	(52.67)	33.79
TCF FINANCIAL CORP 7 50% Rate 1 875% Pay Frqncy Quarterly Call 25.JUN17 @ 25 CUSIP 872277207 Yield 7.52%	38	25 969	986.81	24 9385 29 Nov 13	947 66	17 81	965 47	(39.15)	71.25
THE GOLDMAN SACHS GROUP, INC Rate 1 375% Pay Frqncy Quarterly Call 10.MAY23 @ 25 Moody's Ba2 CUSIP 38145G308 Yield 6 05%	30	24 237	727 12	22 72 29 Nov 13	681 60	0 00	681 60	(45.52)	41 25

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FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
U.S. BANCORP PREF 6.50% Rate 1.625% Pay Frqncy Quarterly Call 15JAN22 @ 25 Moody's Baa1 CUSIP 902973833 Yield 6.08%	81	27.563	2,232.58	26.74 29 Nov 13	2,165.94	0.00	2,165.94	(66.64)	131.63
UBS PREFERRED FUNDING TR IV Rate 2.17% Pay Frqncy Monthly Call 06JAN14 @ 25 Moody's Baa2 CUSIP 90263W201 Yield 1.47%	118	18.525	2,185.96	14.77 29 Nov 13	1,742.86	2.13	1,744.99	(443.10)	25.61
US BANCORP 6.00% Rate 1.5% Pay Frqncy Quarterly Call 15APR17 @ 25 Moody's Baa1 CUSIP 902973817 Yield 5.49%	34	25.394	863.39	27.34 29 Nov 13	929.56	0.00	929.56	66.17	51.00
US BANCORP Rate 1.2875% Pay Frqncy Irregular Call 15JUL18 @ 25 Moody's Baa1 CUSIP 902973791 Yield 6.17%	40	24.995	999.81	20.87 29 Nov 13	834.80	0.00	834.80	(165.01)	51.48
US BANCORP FLOATING RATE Rate 1.39% Pay Frqncy Quarterly Call 06JAN14 @ 25 Moody's Baa1 CUSIP 902973155 Yield 4.64%	21	22.850	479.85	19.27 29 Nov 13	404.67	0.00	404.67	(75.18)	18.77

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Principal Global - Spectrum Preferred Sec - C78008060005

Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency USD

FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
VORNADO REALTY TRUST 5.40% Rate 1.35% Pay Frqncy Quarterly Call 25JAN18 @ 25 Moody's Baa3 CUSIP 929042844 Yield 6.83%	27	24.705	667.03	19.759 29 Nov 13	533.49	0.00	533.49	(133.54)	36.45
VORNADO REALTY TRUST 6.875% Rate 1.718% Pay Frqncy Quarterly Call 20APR16 @ 25 Moody's Baa3 CUSIP 929042869 Yield 6.85%	32	25.169	805.41	25.10 29 Nov 13	803.20	0.00	803.20	(2.21)	55.01
VORNADO REALTY TRUST Rate 1.425% Pay Frqncy Quarterly Call 18JUL17 @ 25 Moody's Baa3 CUSIP 929042851 Yield 6.8%	36	25.138	904.98	20.97 29 Nov 13	754.92	0.00	754.92	(150.06)	51.30
WEINGARTEN REALTY INVEST 6.50% Rate 1.625% Pay Frqncy Quarterly Call 06JAN14 @ 25 Moody's Baa3 CUSIP 948741889 Yield 6.75%	29	24.730	717.17	24.058 29 Nov 13	697.68	0.00	697.68	(19.49)	47.13
WELLS FARGO & CO 8.00% PFD Rate 2% Pay Frqncy Quarterly Call 15DEC17 @ 25 Moody's Baa3 CUSIP 949746879 Yield 7.06%	12	29.200	350.40	28.32 29 Nov 13	339.84	6.00	345.84	(10.56)	24.00

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Principal Global - Spectrum Preferred Sec - C7B008060005

Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency: USD

INVESTMENT POSITIONS - PRINCIPAL

FIXED INCOME CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Preferred Stock CONTINUED									
WELLS FARGO & COMPANY Rate 1.28125% Pay Frqncy Irregular Call 15DEC17 @ 25 Moody's Baa3 CUSIP 949746721 Yield 6.07%	37	22 913	847.77	21 09 29 Nov 13	780.33	11.85	792.18	(67.44)	47 40
WELLS FARGO & COMPANY Rate 1.3% Pay Frqncy Quarterly Call 15SEP17 @ 25 Moody's Baa3 CUSIP 949746747 Yield 6.28%	23	22 774	523 81	20 71 29 Nov 13	476.33	7.48	483 81	(47.48)	29 90
Total Fixed Income			238,955.83		228,230.09	1,462.61	229,692.70	(10,725.74)	15,195.45
TOTAL INVESTMENT POSITIONS - PRINCIPAL									
			241,754.35		231,028.61	1,462.65	232,491.26	(10,725.74)	15,195.52

Principal Global - Spectrum Preferred Sec - C7B008060005

Statement Period 1 Nov 2013 - 30 Nov 2013



INVESTMENT POSITIONS - INCOME

Reference Currency USD

CASH AND SHORT TERM INVESTMENTS 100.00% SORTED BY LIQUIDITY

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est. Annual Income
Short Term Investments									
CITIBANK M.D.A. (L) CUSIP 9900CST72 Yield 05%	5,696.78	1 000	5,696.78	1 00	5,696.78	0.22	5,697.00	0.00	2.85
Total Cash and Short Term Investments			5,696.78		5,696.78	0.22	5,697.00	0.00	2.85
TOTAL INVESTMENT POSITIONS - INCOME									
			5,696.78		5,696.78	0.22	5,697.00	0.00	2.85
TOTAL INVESTMENT POSITIONS - PRINCIPAL AND INCOME									
			247,451.13		236,725.39	1,462.87	238,188.26	(10,725.74)	15,199.37


TCW Large Cap Relative Value - C7B008102005

Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency: USD

CASH AND SHORT TERM INVESTMENTS 5.70% SORTED BY LIQUIDITY

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est. Annual Income
Cash									
USD	333.84	0.000	333.84	0.00	333.84	0.00	333.84	0.00	0.00
Short Term Investments									
CITIBANK M D.A. (L) CUSIP 9900CST72 Yield 05%	11,231.88	1.000	11,231.88	1.00	11,231.88	0.65	11,232.53	0.00	5.62
Total Cash and Short Term Investments			11,565.72		11,565.72	0.65	11,566.37	0.00	5.62

EQUITIES 94.30% SORTED ALPHABETICALLY

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est. Annual Income
Common Stock									
ADT CORP Ticker/CUSIP : ADT/00101J106 Yield 1.23% Sector : Consumer Discretionary	45	32.832	1,477.45	40.56 29 Nov 13	1,825.20	0.00	1,825.20	347.75	22.50
AES CORP Ticker/CUSIP : AES/00130H105 Yield 1.37% Sector : Utilities	212	11.366	2,409.50	14.57 29 Nov 13	3,088.84	0.00	3,088.84	679.34	42.40
ALLEGHENY TECHNOLOGIES INC Ticker/CUSIP : AT/01741R102 Yield 2.17% Sector : Materials	26	33.407	868.59	33.22 29 Nov 13	863.72	0.00	863.72	(4.87)	18.72
AMERICAN ELECTRIC POWER CO INC Ticker/CUSIP : AEP/025537101 Yield 4.25% Sector : Utilities	77	38.539	2,967.47	47.06 29 Nov 13	3,623.62	58.50	3,682.12	656.15	154.00
AMERICAN EXPRESS CO Ticker/CUSIP : AXP/025816109 Yield 1.07% Sector : Financials	70	49.188	3,443.15	85.80 29 Nov 13	6,006.00	0.00	6,006.00	2,562.85	64.40

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TCW Large Cap Relative Value - c7B008102005

Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency USD

INVESTMENT POSITIONS - PRINCIPAL
EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock CONTINUED									
AMERIPRISE FINANCIAL INC Ticker/CUSIP : AMP/03076C106 Yield 1.92% Sector : Financials	58	54.936	3,186.30	108.25 29 Nov 13	6,278.50	0.00	6,278.50	3,092.20	120.64
APPLIED MATERIALS INC DELAWARE Ticker/CUSIP : AMAT/038222105 Yield 2.31% Sector : Information Technology	146	11.159	1,629.18	17.30 29 Nov 13	2,525.80	22.00	2,547.80	896.62	58.40
AT&T INC Ticker/CUSIP : T/00206R102 Yield 5.11% Sector : Telecommunication Services	95	31.356	2,978.86	35.21 29 Nov 13	3,344.95	0.00	3,344.95	366.09	171.00
BAKER HUGHES INC Ticker/CUSIP : BHU/057224107 Yield 1.05% Sector : Energy	84	47.401	3,981.70	56.96 29 Nov 13	4,784.64	0.00	4,784.64	802.94	50.40
CHEVRON CORP Ticker/CUSIP : CVX/166764100 Yield 3.27% Sector : Energy	46	103.038	4,739.74	122.44 29 Nov 13	5,632.24	71.00	5,703.24	892.50	184.00
CIGNA CORP Ticker/CUSIP : CJ/125509109 Sector : Health Care	31	41.352	1,281.92	87.45 29 Nov 13	2,710.95	0.00	2,710.95	1,429.03	1.24
CISCO SYS INC Ticker/CUSIP : CSCO/17275R102 Yield 3.2% Sector : Information Technology	198	15.387	3,046.56	21.25 29 Nov 13	4,207.50	0.00	4,207.50	1,160.94	134.64
COMCAST CORP CL A Ticker/CUSIP : CMCSA/20030N101 Yield 1.56% Sector : Consumer Discretionary	144	24.763	3,565.94	49.87 29 Nov 13	7,181.28	0.00	7,181.28	3,615.34	112.32
CORNING INC Ticker/CUSIP : GLW/219350105 Yield 2.34% Sector : Information Technology	138	13.021	1,796.87	17.08 29 Nov 13	2,357.04	20.80	2,377.84	560.17	55.20

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TCW Large Cap Relative Value - C7B008102005

Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency USD

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est. Annual Income
Common Stock CONTINUED									
DANA HOLDING CORP Ticker/CUSIP : DAN/235825205 Yield .99% Sector Consumer Discretionary	199	13 359	2,658.46	20.28 29 Nov 13	4,035.72	0.00	4,035.72	1,377.26	39.80
ENSCO PLC Ticker/CUSIP : ESV/63157S106 Yield 3.81% Sector Energy	71	54 703	3,883.93	59.08 29 Nov 13	4,194.68	0.00	4,194.68	310.75	159.75
GAP INC DELAWARE Ticker/CUSIP : GPS/364760108 Yield 1.95% Sector Consumer Discretionary	104	17.803	1,851.51	40.97 29 Nov 13	4,260.88	0.00	4,260.88	2,409.37	83.20
GENERAL ELECTRIC CO Ticker/CUSIP : GE/369604103 Yield 2.85% Sector Industrials	270	19 282	5,206.02	26.66 29 Nov 13	7,198.20	0.00	7,198.20	1,992.18	205.20
HARTFORD FINL SVCS GROUP INC Ticker/CUSIP : HIG/416515104 Yield 1.68% Sector Financials	83	24.718	2,051.63	35.63 29 Nov 13	2,957.29	12.45	2,969.74	905.66	49.80
HOLOGIC INC Ticker/CUSIP : HOLX/436440101 Sector Health Care	149	20 055	2,988.14	22.39 29 Nov 13	3,336.11	0.00	3,336.11	347.97	0.00
HOME DEPOT INC Ticker/CUSIP : HD/437076102 Yield 1.93% Sector Consumer Discretionary	70	36 421	2,549.44	80.67 29 Nov 13	5,646.90	0.00	5,646.90	3,097.46	109.20
INTEL CORP Ticker/CUSIP : INTC/458140100 Yield 3.78% Sector Information Technology	130	23 037	2,994.78	23.84 29 Nov 13	3,099.20	44.10	3,143.30	104.42	117.00
JOHNSON & JOHNSON Ticker/CUSIP : JNJ/478160104 Yield 2.79% Sector Health Care	38	64 226	2,440.58	94.66 29 Nov 13	3,597.08	25.08	3,622.16	1,156.50	100.32

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TCW Large Cap Relative Value - C7B008102005

Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency: USD

INVESTMENT POSITIONS - PRINCIPAL
EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est. Annual Income
Common Stock CONTINUED									
JPMORGAN CHASE & CO Ticker/CUSIP : JPM/46625H100 Yield 2.66% Sector Financials	119	41.325	4,917.73	57.22 29 Nov 13	6,809.18	0.00	6,809.18	1,891.45	180.88
LAM RESEARCH CORP Ticker/CUSIP : LRCX/512807108 Sector Information Technology	44	40.021	1,760.91	52.11 29 Nov 13	2,292.84	0.00	2,292.84	531.93	0.00
LENNAR CORP Ticker/CUSIP : LEN/526057104 Yield .45% Sector Consumer Discretionary	99	17.690	1,751.30	35.76 29 Nov 13	3,540.24	0.00	3,540.24	1,788.94	15.84
MEDTRONIC INC Ticker/CUSIP : MDT/585055106 Yield 1.95% Sector Health Care	49	38.044	1,864.18	57.32 29 Nov 13	2,808.68	0.00	2,808.68	944.50	54.88
MERCK & CO INC NEW Ticker/CUSIP : MRK/58933Y105 Yield 3.53% Sector Health Care	27	47.051	1,270.38	49.83 29 Nov 13	1,345.41	0.00	1,345.41	75.03	47.52
MICROSOFT CORP Ticker/CUSIP : MSFT/594918104 Yield 2.94% Sector Information Technology	62	32.669	2,025.49	38.13 29 Nov 13	2,364.06	24.36	2,388.42	338.57	69.44
MONDELEZ INTERNATIONAL Ticker/CUSIP : MDLZ/609207105 Sector Consumer Staples	144	23.683	3,410.39	33.53 29 Nov 13	4,828.32	0.00	4,828.32	1,417.93	80.64
MYLAN INC Ticker/CUSIP : MYL/628530107 Sector Health Care	85	17.707	1,505.07	44.13 29 Nov 13	3,751.05	0.00	3,751.05	2,245.98	0.00
NABORS INDUSTRIES LTD-USD Ticker/CUSIP : NBR/G6359F103 Yield .97% Sector Energy	127	20.812	2,643.15	16.55 29 Nov 13	2,101.85	0.00	2,101.85	(541.30)	20.32

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TCW Large Cap Relative Value - c7B008102005

Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency USD

INVESTMENT POSITIONS - PRINCIPAL

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock CONTINUED									
PENTAIR LTD Ticker/CUSIP : PNR/H6169Q108 Yield 1.41% Sector : Industrials	35	41.671	1,458.50	70.72 29 Nov 13	2,475.20	0.00	2,475.20	1,016.70	35.00
PEPSICO INC Ticker/CUSIP : PEP/713448108 Yield 2.69% Sector : Consumer Staples	56	66.674	3,733.74	84.46 29 Nov 13	4,729.76	0.00	4,729.76	996.02	127.12
Pfizer Inc Ticker/CUSIP : PFE/717081103 Yield 3.03% Sector : Health Care	227	20.396	4,629.93	31.73 29 Nov 13	7,202.71	82.08	7,284.79	2,572.78	217.92
SEALED AIR CORP -NEW- Ticker/CUSIP : SEE/81211K100 Yield 1.62% Sector : Industrials	123	17.169	2,111.82	32.11 29 Nov 13	3,949.53	0.00	3,949.53	1,837.71	63.96
SLM CORP Ticker/CUSIP : SLM/78442P106 Yield 2.25% Sector : Financials	128	16.819	2,152.83	26.65 29 Nov 13	3,411.20	0.00	3,411.20	1,258.37	76.80
STATE STREET CORP Ticker/CUSIP : STT/857477103 Yield 1.43% Sector : Financials	94	41.031	3,856.88	72.61 29 Nov 13	6,825.34	0.00	6,825.34	2,968.46	97.76
TE CONNECTIVITY LTD-CHF Ticker/CUSIP : TEL/H84989104 Yield 1.9% Sector : Industrials	90	37.158	3,344.22	52.72 29 Nov 13	4,744.80	0.00	4,744.80	1,400.58	90.00
TEREX CORP NEW Ticker/CUSIP : TEX/880779103 Sector : Industrials	127	25.926	3,292.55	36.32 29 Nov 13	4,612.64	0.00	4,612.64	1,320.09	0.00
TEXTRON INC Ticker/CUSIP : TXT/883203101 Yield 2.4% Sector : Industrials	194	22.545	4,373.75	33.23 29 Nov 13	6,446.62	0.00	6,446.62	2,072.87	15.52

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TCW Large Cap Relative Value - C7B008102005

Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency USD

INVESTMENT POSITIONS - PRINCIPAL
EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est. Annual Income
Common Stock CONTINUED									
THERMO FISHER SCIENTIFIC INC Ticker/CUSIP : TMO/883556102 Yield .59% Sector : Industrials	21	49.394	1,037.28	100.85 29 Nov 13	2,117.85	0.00	2,117.85	1,080.57	12.60
TIME WARNER INC Ticker/CUSIP : TWX/887317303 Yield 1.75% Sector : Consumer Discretionary	44	36.928	1,624.83	65.71 29 Nov 13	2,891.24	12.65	2,903.89	1,266.41	50.60
TRAVELERS COMPANIES INC Ticker/CUSIP : TRV/89417E109 Sector Financials	58	62.336	3,615.50	90.74 29 Nov 13	5,262.92	0.00	5,262.92	1,647.42	116.00
TYCO INTL LTD CHF Ticker/CUSIP : TYC/H89128104 Yield 1.68% Sector : Industrials	110	24.302	2,673.27	38.14 29 Nov 13	4,195.40	0.00	4,195.40	1,522.13	70.40
VALERO ENERGY CORP-NEW Ticker/CUSIP : VLO/91913Y100 Yield 1.97% Sector : Energy	77	23.186	1,785.32	45.72 29 Nov 13	3,520.44	17.33	3,537.77	1,735.12	69.30
WELLPOINT INC Ticker/CUSIP : WLP/94973V107 Yield 1.62% Sector : Health Care	21	77.421	1,625.85	92.88 29 Nov 13	1,950.48	0.00	1,950.48	324.63	31.50
WESTERN DIGITAL CORP Ticker/CUSIP : WDC/958102105 Yield 1.6% Sector : Information Technology	55	31.944	1,756.91	75.04 29 Nov 13	4,127.20	0.00	4,127.20	2,370.29	66.00
Total Equities			128,219.50		191,061.30	390.35	191,451.65	62,841.80	3,664.13

Market Value	Accrued Interest or Dividend	Total Value	Unrealized Gain/Loss	Est. Annual Income
202,627.02	391.00	203,018.02	62,841.80	3,669.75

TOTAL INVESTMENT POSITIONS - PRINCIPAL

139,785.22

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Citibank, N.A. Agent For The Richard & Susan Braddock Foundation Dated 12/8/1999 Alternatives

TCW Large Cap Relative Value - C7B008102005

Statement Period 1 Nov 2013 - 30 Nov 2013



INVESTMENT POSITIONS - INCOME

Reference Currency: USD

CASH AND SHORT TERM INVESTMENTS 100.00% SORTED BY LIQUIDITY						
Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest
Short Term Investments						
CITIBANK M.D.A. (L) CUSIP 9900CST72 Yield .05%	10,949.34	1 000	10,949.34	1 00	10,949.34	0.45
Total Cash and Short Term Investments			10,949.34		10,949.34	0.45
TOTAL INVESTMENT POSITIONS - INCOME						
			10,949.34		10,949.34	0.45
TOTAL INVESTMENT POSITIONS - PRINCIPAL AND INCOME						
			150,734.56		213,576.36	391.45
					213,967.81	62,841.80
						3,675.22
						5.47
						5.47



Atlanta High Quality SMID - C7B008128005

Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency USD

INVESTMENT POSITIONS - PRINCIPAL

CASH AND SHORT TERM INVESTMENTS 46.61% SORTED BY LIQUIDITY						
Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest
Cash						
USD	94,915.81	0.000	94,915.81	0.00	94,915.81	0.00
Short Term Investments						
CITIBANK M D A (L)	9,676.91	1.000	9,676.91	1.00	9,676.91	1.06
CUSIP 99000CST72 Yield 05%						
Total Cash and Short Term Investments			104,592.72		104,592.72	1.06
					104,593.78	0.00
						4.84

EQUITIES 53.39% SORTED ALPHABETICALLY						
Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend
Common Stock						
AARON RENTS INC	66	27.518	1,816.19	28.64	1,890.24	2.35
Ticker/CUSIP : AAN/002535300				29 Nov 13		
Sector : Consumer Discretionary						
ACUTY BRANDS INC	27	53.817	1,453.06	102.53	2,768.31	0.00
Ticker/CUSIP : AYI/00508Y102				29 Nov 13		
Sector : Industrials						
AFFILIATED MANAGERS GROUP	22	103.586	2,278.89	200.25	4,405.50	0.00
Ticker/CUSIP : AMG/008252108				29 Nov 13		
Sector : Financials						
AIRGAS INC	14	82.601	1,156.41	108.63	1,520.82	0.00
Ticker/CUSIP : ARG/009363102				29 Nov 13		
Sector : Materials						
AMETEK INC	32	28.563	914.00	49.22	1,575.04	0.00
Ticker/CUSIP : AME/031100100				29 Nov 13		
Sector : Industrials						
					1,575.04	0.00
					364.41	26.88
					661.04	7.68

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Atlanta High Quality SMID - C7B008128005

Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency: USD

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock CONTINUED									
ANSYS INC Ticker/CUSIP : ANSS/036620105 Sector : Information Technology	36	57.154	2,057.55	85.67 29 Nov 13	3,084.12	0.00	3,084.12	1,026.57	0.00
APTARGROUP INC Ticker/CUSIP : ATR/038336103 Sector : Industrials	39	52.546	2,049.29	64.92 29 Nov 13	2,531.88	0.00	2,531.88	482.59	39.00
BIO-RAD LABORATORIES INC CL A Ticker/CUSIP : BIO/090572207 Sector : Health Care	26	103.572	2,692.87	122.62 29 Nov 13	3,188.12	0.00	3,188.12	495.25	0.00
BLACKBAUD INC Ticker/CUSIP : BLKB/092270100 Sector : Information Technology	70	27.390	1,917.29	36.17 29 Nov 13	2,531.90	14.88	2,546.78	614.61	33.60
CARLISLE COS INC Ticker/CUSIP : CSL/142339100 Sector : Industrials	39	37.266	1,453.38	73.51 29 Nov 13	2,866.89	19.58	2,886.47	1,413.51	34.32
CARMAX INC Ticker/CUSIP : KMX/143130102 Sector : Consumer Discretionary	37	29.698	1,098.82	50.35 29 Nov 13	1,862.95	0.00	1,862.95	764.13	0.00
CHURCH & DWIGHT CO INC Ticker/CUSIP : CHD/171340102 Sector : Consumer Staples	34	41.385	1,407.09	65.25 29 Nov 13	2,218.50	22.12	2,240.62	811.41	38.08
CITY NATIONAL CORP Ticker/CUSIP : CYN/178566105 Sector : Financials	33	51.803	1,709.49	76.36 29 Nov 13	2,519.88	0.00	2,519.88	810.39	33.00
CLARCOR INC Ticker/CUSIP : CLC/179895107 Sector : Industrials	42	40.766	1,712.18	60.53 29 Nov 13	2,542.26	0.00	2,542.26	830.08	28.56

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Atlanta High Quality SMID - C7B008128005

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INVESTMENT POSITIONS - PRINCIPAL

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock CONTINUED									
COLUMBIA SPORTSWEAR CO Ticker/CUSIP : COLM/198516106 Sector : Consumer Discretionary	18	53 819	968.75	69 39 29 Nov 13	1,249 02	12 50	1,261 52	280.27	18.00
COPART INC Ticker/CUSIP : CPRT/217204106 Sector : Consumer Discretionary	46	23 205	1,067 43	34.43 29 Nov 13	1,583.78	0.00	1,583 78	516.35	0.00
CULLEN FROST BANKERS INC Ticker/CUSIP : CFR/229899109 Sector : Financials	17	58 980	1,002.66	71 82 29 Nov 13	1,220 94	15 50	1,236 44	218.28	34.00
DENTSPLY INTL INC Ticker/CUSIP : XRAY/249030107 Sector : Health Care	79	39 023	3,082.84	47 56 29 Nov 13	3,757 24	0 00	3,757 24	674.40	19.75
DONALDSON CO INC Ticker/CUSIP : DCI/257651109 Sector : Industrials	37	34 728	1,284.95	41.73 29 Nov 13	1,544 01	0 00	1,544 01	259.06	20 72
DRIL QUIP INC Ticker/CUSIP : DRQ/262037104 Sector : Energy	12	69 680	836.16	108 56 29 Nov 13	1,302 72	0 00	1,302 72	466.56	0 00
EQUIFAX INC Ticker/CUSIP : EFX/294429105 Sector : Consumer Discretionary	42	31.894	1,339 54	67.33 29 Nov 13	2,827 86	16 50	2,844 36	1,488.32	36.96
FACTSET RESEARCH SYSTEMS INC Ticker/CUSIP : FDS/303075105 Sector : Consumer Discretionary	17	108 400	1,842.80	113.00 29 Nov 13	1,921.00	10.50	1,931 50	78.20	23 80
FAIR ISAAC & CO INC Ticker/CUSIP : FICO/303250104 Sector : Information Technology	48	28 856	1,385.08	59.01 29 Nov 13	2,832.48	0.00	2,832.48	1,447.40	3.84

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INVESTMENT POSITIONS - PRINCIPAL

Reference Currency USD

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est. Annual Income
Common Stock CONTINUED									
FLIR SYSTEMS INC Ticker/CUSIP : FLIR/302445101 Sector : Industrials	53	21 361	1,132.12	29.67 29 Nov 13	1,572.51	11.70	1,584.21	440.39	19.08
FOREST CITY ENTERPRISES INC Ticker/CUSIP : FCE/A/345550107 Sector : Financials	97	18 859	1,829.30	19.50 29 Nov 13	1,891.50	0.00	1,891.50	62.20	0.00
GARTNER INC NEW Ticker/CUSIP : IT/366651107 Sector : Consumer Discretionary	24	56 192	1,348.61	64.65 29 Nov 13	1,551.60	0.00	1,551.60	202.99	0.00
GENTEX CORP Ticker/CUSIP : GNTX/371901109 Sector : Industrials	74	17 514	1,296.03	29.81 29 Nov 13	2,205.94	0.00	2,205.94	909.91	41.44
GRACO INC Ticker/CUSIP : GGG/384109104 Sector : Industrials	24	49 931	1,198.34	77.23 29 Nov 13	1,853.52	0.00	1,853.52	655.18	24.00
HCC INSURANCE HOLDINGS INC Ticker/CUSIP : HCC/404132102 Sector : Financials	89	29 661	2,639.81	45.98 29 Nov 13	4,092.22	0.00	4,092.22	1,452.41	80.10
IDEX CORPORATION Ticker/CUSIP : IEX/45167R104 Sector : Industrials	40	41 857	1,674.28	71.33 29 Nov 13	2,853.20	0.00	2,853.20	1,178.92	36.80
IDEX LABORATORIES INC Ticker/CUSIP : IDXX/45168D104 Sector : Health Care	15	88.517	1,327.76	104.16 29 Nov 13	1,562.40	0.00	1,562.40	234.64	0.00
JACK HENRY & ASSOCIATES INC Ticker/CUSIP : JKH/426281101 Sector : Information Technology	33	30 868	1,019.30	56.77 29 Nov 13	1,873.41	11.80	1,885.21	854.11	26.40

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INVESTMENT POSITIONS - PRINCIPAL

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock CONTINUED									
JACOBS ENGINEERING GROUP INC Ticker/CUSIP : JEC/469814107 Sector : Industrials	21	35.367	742.71	59.77 29 Nov 13	1,255.17	0.00	1,255.17	512.46	0.00
JB HUNT TRANSPORT SERVICES INC Ticker/CUSIP : JBHT/445658107 Sector : Industrials	29	46.206	1,339.97	75.19 29 Nov 13	2,180.51	0.00	2,180.51	840.54	17.40
KIRBY CORP Ticker/CUSIP : KEX/497266106 Sector : Industrials	37	52.040	1,925.48	94.45 29 Nov 13	3,494.65	0.00	3,494.65	1,569.17	0.00
LKQ CORP Ticker/CUSIP : LKQ/501889208 Sector : Industrials	162	11.253	1,823.00	33.15 29 Nov 13	5,370.30	0.00	5,370.30	3,547.30	0.00
MARKEL CORP Ticker/CUSIP : MKL/570535104 Sector : Financials	10	393.570	3,935.70	557.28 29 Nov 13	5,572.80	0.00	5,572.80	1,637.10	0.00
METTLER TOLEDO INTL INC Ticker/CUSIP : MTD/592688105 Sector : Industrials	6	169.040	1,014.24	246.57 29 Nov 13	1,479.42	0.00	1,479.42	465.18	0.00
MORNINGSTAR INC Ticker/CUSIP : MORN/617700109 Sector : Consumer Discretionary	56	59.681	3,342.14	83.41 29 Nov 13	4,670.96	0.00	4,670.96	1,328.82	28.00
O'REILLY AUTOMOTIVE INC Ticker/CUSIP : ORLY/67103H107 Sector : Consumer Discretionary	10	57.829	578.29	124.96 29 Nov 13	1,249.60	0.00	1,249.60	671.31	0.00
OCEANEERING INTERNATIONAL INC Ticker/CUSIP : OI/675232102 Sector : Energy	25	40.870	1,021.75	77.19 29 Nov 13	1,929.75	9.24	1,938.99	908.00	22.00

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INVESTMENT POSITIONS - PRINCIPAL

Reference Currency: USD

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock CONTINUED									
PALL CORP Ticker/CUSIP : PLL/696429307 Sector : Industrials	15	44.333	665.00	83.70 29 Nov 13	1,255.50	0.00	1,255.50	590.50	16.50
SALLY BEAUTY HLDGS INC Ticker/CUSIP : SBH/79546E104 Sector : Consumer Discretionary	122	16.148	1,970.03	28.14 29 Nov 13	3,433.08	0.00	3,433.08	1,463.05	0.00
SCHEIN (HENRY) INC Ticker/CUSIP : HSC/806407102 Sector : Health Care	30	72.351	2,170.53	114.00 29 Nov 13	3,420.00	0.00	3,420.00	1,249.47	0.00
SEI INVESTMENTS CO Ticker/CUSIP : SEIC/784117103 Sector : Consumer Discretionary	75	15.958	1,196.84	33.58 29 Nov 13	2,518.50	0.00	2,518.50	1,321.66	30.00
SOLERA HLDGS INC Ticker/CUSIP : SLH/83421A104 Sector : Information Technology	24	44.148	1,059.56	66.75 29 Nov 13	1,602.00	10.20	1,612.20	542.44	16.32
TRANSDIGM GROUP INC Ticker/CUSIP : TDG/893641100 Sector : Industrials	10	111.890	1,118.90	156.52 29 Nov 13	1,565.20	0.00	1,565.20	446.30	0.00
UMPQUA HOLDINGS CORPORATION Ticker/CUSIP : UMPQ/904214103 Sector : Financials	121	11.578	1,400.94	18.41 29 Nov 13	2,227.61	0.00	2,227.61	826.67	72.60
VARIAN MEDICAL SYSTEMS INC Ticker/CUSIP : VAR/92220P105 Sector : Health Care	25	64.840	1,621.00	78.05 29 Nov 13	1,951.25	0.00	1,951.25	330.25	0.00
WEX INC Ticker/CUSIP : WEX/96208T104 Sector : Consumer Discretionary	13	48.456	629.93	99.26 29 Nov 13	1,290.38	0.00	1,290.38	660.45	0.00
Total Equities			77,548.28		119,668.44	156.87	119,825.31	42,120.16	848.41

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INVESTMENT POSITIONS - PRINCIPAL

	Total Cost	Market Value	Accrued Interest or Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
TOTAL INVESTMENT POSITIONS - PRINCIPAL	182,141.00	224,261.16	157.93	224,419.09	42,120.16	853.25

Atlanta High Quality SMID - C7B008128005

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Reference Currency: USD

INVESTMENT POSITIONS - INCOME**CASH AND SHORT TERM INVESTMENTS 100.00% SORTED BY LIQUIDITY**

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Short Term Investments									
CITIBANK M.D.A. (L) CUSIP 9900CST72 Yield .05%	1,464.09	1.000	1,464.09	1.00	1,464.09	0.06	1,464.15	0.00	0.73
Total Cash and Short Term Investments			1,464.09		1,464.09	0.06	1,464.15	0.00	0.73
TOTAL INVESTMENT POSITIONS - INCOME									
			1,464.09		1,464.09	0.06	1,464.15	0.00	0.73
TOTAL INVESTMENT POSITIONS - PRINCIPAL AND INCOME									
			183,605.09		225,725.25	157.99	225,883.24	42,120.16	853.98

Thornburg Intl Value ADR - C7B008300005

Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency: USD

INVESTMENT POSITIONS - PRINCIPAL

CASH AND SHORT TERM INVESTMENTS 3.87% SORTED BY LIQUIDITY									
Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Cash									
USD	(5,172.21)	0.000	(5,172.21)	0.00	(5,172.21)	0.00	(5,172.21)	0.00	0.00
Short Term Investments									
CITIBANK M.D.A. (L) CUSIP 9900CST72 Yield .05%	18,044.64	1.000	18,044.64	1.00	18,044.64	1.04	18,045.68	0.00	9.02
Total Cash and Short Term Investments			12,872.43		12,872.43	1.04	12,873.47	0.00	9.02

EQUITIES 96.13% SORTED ALPHABETICALLY									
Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est. Annual Income
Common Stock									
ACCENTURE PLC Ticker/CUSIP : ACN/G1151C101 Yield 2.4% Sector : Information Technology	50 ✓	55.764	2,788.18	77.47 29 Nov 13	3,873.50	0.00	3,873.50	1,085.32	93.00
ADIDAS AG SPON ADR Ticker/CUSIP : ADDYY/00687A107 Yield 1.04% Sector : Consumer Discretionary Conv. Ratio .5:1	122	35.349	4,312.54	61.06 29 Nov 13	7,449.32	0.00	7,449.32	3,136.78	77.10
AIA GROUP LTD Ticker/CUSIP : AAGIY/001317205 Yield .86% Sector : Financials Conv. Ratio 4:1	397	14.707	5,838.69	20.31 29 Nov 13	8,063.07	0.00	8,063.07	2,224.38	69.48
AMADEUS IT HLDGS SA Ticker/CUSIP : AMADY/02263T104 Yield 1.28% Sector : Information Technology Conv. Ratio 1:1	88	32.721	2,879.45	37.25 29 Nov 13	3,278.00	0.00	3,278.00	398.55	42.06

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Thornburg Intl Value ADR - C7B008300005

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Reference Currency: USD

INVESTMENT POSITIONS - PRINCIPAL

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock CONTINUED									
ANHEUSER-BUSCH INBEV SPONS Ticker/CUSIP : BUD/03524A108 Yield 2.45% Sector : Consumer Staples Conv. Ratio 1:1	48	100.846	4,840.61	102.11 29 Nov 13	4,901.28	0.00	4,901.28	60.67	120.19
ARM HOLDINGS PLC ADR Ticker/CUSIP : ARMH/042068106 Yield .4% Sector : Information Technology Conv. Ratio 3:1	64	28.117	1,799.49	49.90 29 Nov 13	3,193.60	0.00	3,193.60	1,394.11	12.93
ASML HOLDING N.V. NY REG SHS Ticker/CUSIP : ASML/N07059210 Yield .63% Sector : Information Technology	53	58.226	3,085.98	93.38 29 Nov 13	4,949.14	0.00	4,949.14	1,863.16	31.11
ASSA ABLOY AB-SEK Ticker/CUSIP : ASAZ/045387107 Yield 1.2% Sector : Industrials Conv. Ratio 5:1	215	12.900	2,773.47	25.30 29 Nov 13	5,439.50	0.00	5,439.50	2,666.03	65.15
BAIDU INC SPON ADR RPTNG Ticker/CUSIP : BIDU/056752108 Sector : Information Technology	28	119.152	3,336.25	166.57 29 Nov 13	4,663.96	0.00	4,663.96	1,327.71	0.00
BANCO BILBAO VIZCAYA-SP Ticker/CUSIP : BBVA/05946K101 Sector : Financials Conv. Ratio 1:1	332	10.844	3,600.26	11.89 29 Nov 13	3,947.48	0.00	3,947.48	347.22	145.41
BANK MANDIRI TBK UNSPON Ticker/CUSIP : PPERY/69367U105 Yield 2.31% Sector : Financials Conv. Ratio 10:1	212	8.816	1,869.01	6.39 29 Nov 13	1,354.68	0.00	1,354.68	(514.33)	31.34

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Thornburg Intl Value ADR - C7B0063000005

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INVESTMENT POSITIONS - PRINCIPAL

Reference Currency: USD

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock CONTINUED									
BURBERRY GROUP PLC Ticker/CUSIP : BURBY/12082W204 Yield 1.71% Sector : Consumer Discretionary Conv. Ratio 2:1	80	39.355	3,148.39	49.84 29 Nov 13	3,987.20	0.00	3,987.20	838.81	68.08
CANADIAN NATL RAILWAY CO Ticker/CUSIP : CN/136375102 Yield 1.49% Sector : Industrials	61	77.152	4,706.26	112.50 29 Nov 13	6,862.50	0.00	6,862.50	2,156.24	101.99
CARNIVAL CORP Ticker/CUSIP : CCL/143658300 Yield 2.77% Sector : Consumer Discretionary	149	38.547	5,743.56	36.11 29 Nov 13	5,380.39	37.25	5,417.64	(363.17)	149.00
CHINA MOBILE LTD Ticker/CUSIP : CHL/16941M109 Yield 3.72% Sector : Telecommunication Services Conv. Ratio 5:1	93	53.851	5,008.16	54.24 29 Nov 13	5,044.32	0.00	5,044.32	36.16	187.40
COMPASS GROUP PLC ADR Ticker/CUSIP : CMPGY/20449X203 Yield 1.97% Sector : Consumer Discretionary Conv. Ratio 1:1	348	11.851	4,124.32	15.21 29 Nov 13	5,293.08	0.00	5,293.08	1,168.76	104.40
DASSAULT SYSTEMS SA ADR Ticker/CUSIP : DASTY/237545108 Yield .63% Sector : Information Technology Conv. Ratio 1:1	29	82.730	2,399.17	115.14 29 Nov 13	3,339.06	0.00	3,339.06	939.89	21.08
DEUTSCHE BANK-EUR Ticker/CUSIP : DB/D18190898 Yield 2.03% Sector : Financials	95	44.241	4,202.89	47.96 29 Nov 13	4,556.20	0.00	4,556.20	353.31	92.34
EMBRAER S A-BRL Ticker/CUSIP : ERJ/29082A107 Yield .26% Sector : Industrials Conv. Ratio 4:1	132	24.806	3,274.40	31.01 29 Nov 13	4,093.32	0.00	4,093.32	818.92	10.69

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INVESTMENT POSITIONS - PRINCIPAL

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est-Annual Income
Common Stock CONTINUED									
FANUC CORP Ticker/CUSIP : FANUY/307305102 Yield .99% Sector : Industrials Conv. Ratio 1667:1	215	26 023	5,594.92	28.05 29 Nov 13	6,030.75	0.00	6,030.75	435.83	59.56
FRESENIUS MEDICAL CARE Ticker/CUSIP : FMS/356029106 Yield .96% Sector : Health Care Conv. Ratio 5:1	170	35 740	6,075.80	34.84 29 Nov 13	5,922.80	0.00	5,922.80	(153.00)	56.78
HENNES & MAURITZ AB ADR Ticker/CUSIP : HNNMY/425883105 Yield 2.64% Sector : Consumer Discretionary Conv. Ratio 2:1	681	7 450	5,073.45	8.45 29 Nov 13	5,754.45	0.00	5,754.45	681.00	151.86
HONG KONG EXCHANGES AND Ticker/CUSIP : HKXCY/43858F109 Yield 2.18% Sector : Financials Conv. Ratio 1:1	205	22 210	4,553.05	17.56 29 Nov 13	3,599.80	0.00	3,599.80	(953.25)	78.31
HSBC HLDG PLC SP ADR NEW Ticker/CUSIP : HSBG/404280406 Yield 4.28% Sector : Financials Conv. Ratio 5:1	109	44 706	4,872.91	56.10 29 Nov 13	6,114.90	0.00	6,114.90	1,241.99	261.60
INDUSTRIAL & COML BK Ticker/CUSIP : IDCBY/455807107 Yield 4.51% Sector : Financials Conv. Ratio 20:1	232	16 430	3,811.76	14.38 29 Nov 13	3,336.16	0.00	3,336.16	(475.60)	150.34
ING GROEP NV SPONS ADR Ticker/CUSIP : ING/456837103 Sector : Financials Conv. Ratio 1:1	527	10.309	5,432.99	12.98 29 Nov 13	6,840.46	0.00	6,840.46	1,407.47	0.00

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INVESTMENT POSITIONS - PRINCIPAL

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EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est. Annual Income
Common Stock CONTINUED									
INTESA SANPAOLO S P A Ticker/CUSIP : ISNPY/46115H107 Sector : Financials Conv. Ratio 6:1	280	13 766	3,854.60	14 49 29 Nov 13	4,057.20	0.00	4,057.20	202.60	160.44
ITAU UNIBANCO BANCO HLDG Ticker/CUSIP : ITUB/46562106 Yield .57% Sector : Financials Conv. Ratio 1:1	225	16 324	3,672.91	14 07 29 Nov 13	3,165.75	1.79	3,167.54	(507 16)	17.95
JULIUS BAER GROUP LTD Ticker/CUSIP : JBAXY/48137C108 Sector : Financials Conv. Ratio 2:1	336	9 554	3,210 03	9 38 29 Nov 13	3,151.68	0 00	3,151 68	(58.35)	0.00
KINGFISHER PLC Ticker/CUSIP : KGFHY/495724403 Yield 2 17% Sector Consumer Discretionary Conv. Ratio 2:1	685	9 090	6,226 65	12 39 29 Nov 13	8,487 15	0 00	8,487 15	2,260 50	184 27
KOMATSU LTD ADR NEW Ticker/CUSIP : KMTUY/500458401 Yield 2 16% Sector : Industrials Conv. Ratio 1 1	228	25 289	5,765 91	20 92 29 Nov 13	4,769 76	0 00	4,769 76	(996.15)	102 83
KONE OYJ ADR Ticker/CUSIP : KNYJY/50048H101 Yield 3 49% Sector : Industrials	72	43 166	3,107 97	45 95 29 Nov 13	3,308 40	0 00	3,308 40	200.43	115 56
KUBOTA LTD ADR -USD- Ticker/CUSIP : KUBTY/501173207 Sector : Industrials Conv. Ratio 5:1	52	73 922	3,843.92	85 79 29 Nov 13	4,461.08	0 00	4,461 08	617.16	43.22

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INVESTMENT POSITIONS - PRINCIPAL

Reference Currency USD

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock CONTINUED									
LAS VEGAS SANDS CORP Ticker/CUSIP : LVS/517834107 Yield 1.95% Sector Consumer Discretionary	83	41.498	3,444.32	71.68 29 Nov 13	5,949.44	0.00	5,949.44	2,505.12	116.20
LULULEMON ATHLETICA INC Ticker/CUSIP : LULU/550021109 Sector : Consumer Discretionary	78	67.821	5,290.02	69.72 29 Nov 13	5,438.16	0.00	5,438.16	148.14	0.00
LVMH MOET HENNESSY LOUIS Ticker/CUSIP : LVMUY/502441306 Yield 1.56% Sector : Consumer Discretionary Conv Ratio 2:1	251	32.491	8,155.36	37.81 29 Nov 13	9,490.31	60.99	9,551.30	1,334.95	147.59
MERCADOLIBRE INC Ticker/CUSIP : MELI/58733R102 Yield .52% Sector Information Technology	31	63.300	1,962.30	110.71 29 Nov 13	3,432.01	0.00	3,432.01	1,469.71	17.73
MICHELIN CGDE UNSPON ADR Ticker/CUSIP : MSDDY/59410T106 Yield 2.2% Sector : Consumer Discretionary Conv Ratio 2:1	282	14.678	4,139.24	21.67 29 Nov 13	6,110.94	0.00	6,110.94	1,971.70	134.51
MITSUBISHI UFJ FINANCIAL Ticker/CUSIP : MTU/606822104 Yield 2.02% Sector Financials Conv Ratio 1:1	981	4.666	4,577.12	6.49 29 Nov 13	6,366.69	0.00	6,366.69	1,789.57	128.51
NESTLE S A SPONSORED ADR Ticker/CUSIP : NSRGY/641069406 Yield 2.48% Sector Consumer Staples Conv Ratio 1:1	98	62.441	6,119.20	73.11 29 Nov 13	7,164.78	0.00	7,164.78	1,045.58	177.97
NOKIA CORP Ticker/CUSIP : NOK/654902204 Sector Information Technology Conv Ratio 1:1	205	8.087	1,657.80	8.06 29 Nov 13	1,652.30	0.00	1,652.30	(5.50)	0.00

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Thornburg Intl Value ADR - C7B008300005

Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency: USD

INVESTMENT POSITIONS - PRINCIPAL
EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock CONTINUED									
NOVARTIS AG ADR Ticker/CUSIP : NVS/66987V109 Yield 2.6% Sector : Health Care Conv. Ratio 1:1	84	61 620	5,176.12	79.12 29 Nov 13	6,646.08	0.00	6,646.08	1,469.96	172.79
NOVO-NORDISK A S ADR Ticker/CUSIP : NVO/670100205 Yield 1.27% Sector : Health Care Conv. Ratio 1:1	47	124 588	5,855.64	178.73 29 Nov 13	8,400.31	0.00	8,400.31	2,544.67	106.41
PACIFIC RUBIALES ENERGY Ticker/CUSIP : PEGF/69480U206 Yield 3.52% Sector : Energy	212	20 592	4,365.57	18.776 29 Nov 13	3,980.51	0.00	3,980.51	(385.06)	139.92
PEARSON PLC SPONSORED ADR Ticker/CUSIP : PSO/705015105 Yield 3.25% Sector : Consumer Discretionary Conv. Ratio 1 1	211	18 650	3,935.12	22.11 29 Nov 13	4,665.21	0.00	4,665.21	730.09	151.50
PUBLICIS GROUPE ADR Ticker/CUSIP : PUBGY/74463M106 Sector : Consumer Discretionary Conv. Ratio .25 1	472	14 891	7,028.46	22.10 29 Nov 13	10,431.20	0.00	10,431.20	3,402.74	101.49
RECKITT BENCKISER GROUP PL Ticker/CUSIP : RBGLY/756255204 Yield 2.53% Sector : Consumer Staples Conv. Ratio 2:1	437	11 250	4,916.25	16.24 29 Nov 13	7,096.88	0.00	7,096.88	2,180.63	179.61
ROCHE HLDG LTD SPON ADR Ticker/CUSIP : RHHBY/771195104 Yield 2.32% Sector : Health Care Conv. Ratio 25 1	85	59 982	5,098.46	70.05 29 Nov 13	5,954.25	0.00	5,954.25	855.79	138.04

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Thornburg Intl Value ADR - C7B008300005

Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency USD

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock CONTINUED									
SABMILLER PLC SPON ADR Ticker/CUSIP : SBMRY/78572M105 Sector : Consumer Staples Conv. Ratio 1:1	103	40.392	4,160.42	51.99 29 Nov 13	5,354.97	0.00	5,354.97	1,194.55	101.97
SAP AG SPONS ADR-USD Ticker/CUSIP : SAP/803054204 Yield .96% Sector : Information Technology Conv. Ratio 1:1	45	57.832	2,602.45	82.72 29 Nov 13	3,722.40	0.00	3,722.40	1,119.95	35.91
SCHLUMBERGER LTD Ticker/CUSIP : SLB/806857108 Yield 1.41% Sector : Energy	74	76.817	5,684.46	88.42 29 Nov 13	6,543.08	0.00	6,543.08	858.62	92.50
SINA CORP Ticker/CUSIP : SINA/G81477104 Sector : Information Technology	26	59.492	1,546.78	77.07 29 Nov 13	2,003.82	0.00	2,003.82	457.04	0.00
SOUTHERN COPPER CORP DEL Ticker/CUSIP : SCCO/84265V105 Yield 2.71% Sector : Materials	79	31.143	2,460.27	25.10 29 Nov 13	1,982.90	0.00	1,982.90	(477.37)	53.72
SUMITOMO MITSU TR SPON Ticker/CUSIP : SUTNY/86562X106 Yield 1.6% Sector : Financials Conv. Ratio 1:1	1,050	5.052	5,305.10	4.94 29 Nov 13	5,187.00	0.00	5,187.00	(118.10)	82.94
SWATCH GROUP AG UNSPON ADR Ticker/CUSIP : SWGAY/870123106 Yield .63% Sector : Consumer Discretionary Conv. Ratio 05:1	137	18.668	2,557.49	32.77 29 Nov 13	4,489.49	0.00	4,489.49	1,932.00	28.50
SYNGENTA AG ADR Ticker/CUSIP : SYT/87160A100 Yield 2.17% Sector : Materials Conv. Ratio .2:1	62	70.033	4,342.04	78.41 29 Nov 13	4,861.42	0.00	4,861.42	519.38	105.28

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Thornburg Intl Value ADR - C7B008300005

Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency USD

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock CONTINUED									
TAIWAN SEMICONDUCTOR MFG Ticker/CUSIP : TSM/874039100 Yield 2.26% Sector : Information Technology Conv. Ratio 5:1	277	18.234	5,050.85	17.73 29 Nov 13	4,911.21	0.00	4,911.21	(139.64)	111.08
TATA MOTORS LTD Ticker/CUSIP : TTM/876568502 Yield .41% Sector : Consumer Discretionary Conv. Ratio 5:1	117	24.398	2,854.55	32.47 29 Nov 13	3,798.99	0.00	3,798.99	944.44	15.56
TENCENT HLDGS LTD-HKD Ticker/CUSIP : TCEHY/880320109 Yield .2% Sector : Information Technology Conv. Ratio 1:1	90	28.184	2,536.52	58.05 29 Nov 13	5,224.50	0.00	5,224.50	2,687.98	10.53
TOYOTA MOTOR CORP ADR NEW Ticker/CUSIP : TM/892331307 Yield 1.47% Sector : Consumer Discretionary Conv. Ratio 2:1	65	80.031	5,202.00	125.05 29 Nov 13	8,128.25	0.00	8,128.25	2,926.25	119.80
YANDEX NV-A Ticker/CUSIP : YNDX/N97284108 Sector Information Technology	135	22.736	3,069.37	39.75 29 Nov 13	5,366.25	0.00	5,366.25	2,296.88	0.00
YUM BRANDS INC Ticker/CUSIP : YUM/988498101 Yield 1.91% Sector : Consumer Discretionary	84	65.262	5,482.02	77.68 29 Nov 13	6,525.12	0.00	6,525.12	1,043.10	124.32
Total Equities			259,403.25		319,548.41	100.03	319,648.44	60,145.16	5,399.85



Thornburg Intl Value ADR - C7B008300005

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INVESTMENT POSITIONS - PRINCIPAL

Reference Currency: USD

	Total Cost	Market Value	Accrued Interest or Dividend	Total Value	Unrealized Gain/Loss	Est. Annual Income
TOTAL INVESTMENT POSITIONS - PRINCIPAL	272,275.68	332,420.84	101.07	332,521.91	60,145.16	5,408.87

Thornburg Intl Value ADR - C7B008300005

Statement Period 1 Nov 2013 - 30 Nov 2013



Reference Currency USD

INVESTMENT POSITIONS - INCOME**CASH AND SHORT TERM INVESTMENTS 100.00% SORTED BY LIQUIDITY**

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est. Annual Income
Short Term Investments									
CTIBANK M.D.A. (L) CUSIP 9900CST72 Yield .05%	5,357.59	1 000	5,357.59	1.00	5,357.59	0.22	5,357.81	0.00	2.68
Total Cash and Short Term Investments			5,357.59		5,357.59	0.22	5,357.81	0.00	2.68
TOTAL INVESTMENT POSITIONS - INCOME									
			5,357.59		5,357.59	0.22	5,357.81	0.00	2.68
TOTAL INVESTMENT POSITIONS - PRINCIPAL AND INCOME									
			277,633.27		337,778.43	101.29	337,879.72	60,145.16	5,411.55

Trust Account - C7B008326005

Statement Period 1 Nov 2013 - 30 Nov 2013



INVESTMENT POSITIONS - PRINCIPAL

Reference Currency USD

CASH AND SHORT TERM INVESTMENTS 5.63% SORTED BY LIQUIDITY

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Cash									
USD	0.00	0.000	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Short Term Investments									
CITIBANK M.D.A. (L)	86,853.16	1.000	86,853.16	1.00	86,853.16	3.57	86,856.73	0.00	43.43
CUSIP 9900CST72 Yield .05%									
Total Cash and Short Term Investments			86,853.16		86,853.16	3.57	86,856.73	0.00	43.43

ALTERNATIVE INVESTMENTS 94.37% SORTED ALPHABETICALLY

Description	Investment	Quantity	NAV	Distribution	Estimated Asset Value ¹	Valuation Date	Post Valuation Activity ²	Est Asset Val + Post Val. Activity + Distributions ³
Hedge Funds								
ACL Alternative Fund	5,305.07				5,059.60	20 Jul 12		5,059.60
CI C USD -Depreciation Deposit								
CUSIP 415990415								
ACL Alternative Fund	295,435.27	2,947.35	84.30		248,449.65	26 Nov 13		248,449.65
CI C USD								
CUSIP 715992830								
Diversified Inflation Strategies Ltd	125,000.00	79.52	1,497.92		119,117.59	31 Oct 13		119,117.59
CUSIP 9953FD494								
HedgeForum Artha Emerging Markets LLC	100,000.00	99.79	944.26		94,229.51	31 Oct 13		94,229.51
CI B								
CUSIP 815990247								
HedgeForum CFM Ltd	100,000.00	90.12	1,013.87		91,368.69	31 Oct 13		91,368.69
CI A USD								
CUSIP 851994947								

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INVESTMENT POSITIONS - PRINCIPAL

Reference Currency: USD

ALTERNATIVE INVESTMENTS CONTINUED

Description	Investment	Quantity	NAV	Distribution	Estimated Asset Value ¹	Valuation Date	Post Valuation Activity ²	Est Asset Val + Post Val. Activity + Distributions ³
Hedge Funds CONTINUED								
HedgeForum SCF Ltd CI A CUSIP 816995526	102,181.72	86.04	1,482.75		127,571.33	30 Sep 13		127,571.33
HedgeForum Saba Ltd CI A CUSIP 851995613	200,000.00	191.68	969.22		185,776.40	31 Oct 13		185,776.40
HedgeForum Third Point LLC CI A CUSIP 143996395	150,000.00	110.68	1,711.83		189,462.34	31 Oct 13		189,462.34
SkyBridge Multi-Adviser Hedge Fund Portfolios LLC G CUSIP 424998730	340,860.89	293.96	1,249.52	36,122.92	367,311.69	31 Oct 13		403,434.61
Total Hedge Funds (USD)⁴								
	1,418,782.95		8,953.67		1,428,346.80			1,464,469.72
Private Equity								
BTO Offshore Feeder Fund, L.P. Series An CUSIP 867992844	250,000.00	27,420.06			23,954.00	30 Jun 13	2,420.06	26,374.06
Inception through Valuation 30 Jun 13 Activity since Last Valuation	250,000.00	25,000.00	225,000.00					
Since Inception through 30 Nov 13	250,000.00	27,420.06	222,579.94				2,420.06	26,374.06
Total Private Equity (USD)⁴								
	250,000.00	27,420.06			23,954.00		2,420.06	26,374.06

Trust Account - c78008326005
Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency USD

ALTERNATIVE INVESTMENTS CONTINUED

Total Alternative Investments	Estimated Asset Value (USD)^{3,4}	1,452,300.80			
	Post Valuation Activity (USD)^{3,4}	2,420.06			
	Estimated Asset Value + Post Valuation Activity (USD)^{3,4}	1,454,720.86			

¹Estimated Asset Values are based on valuations received directly from the related funds or their agents and are subject to change. Refer to the "Notice" section at end of statement

²Post Valuation Activity reflects investor contributions minus fund distributions since the Valuation Date.

³These figures represent an aggregation of the noted columns and do not reflect a current valuation of the related investment.

⁴The aggregation of individual figures to create totals involves adding together values that are computed based on different accounting valuation methodologies and valuation dates

⁵Actual outstanding commitments to the related funds are determined according to the terms of the relevant fund's offering and constituent documents

⁶Distributions subject to be recalled USD 72 45

	Total Cost	Market Value	Accrued Interest or Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
TOTAL INVESTMENT POSITIONS - PRINCIPAL	86,853.16	1,541,574.02	3.57	1,541,577.59	0.00	43.43



Trust Account - C7B008326005

Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency USD

INVESTMENT POSITIONS - INCOME

CASH AND SHORT TERM INVESTMENTS 100.00% SORTED BY LIQUIDITY									
Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Cash									
USD	0.00	0.000	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Short Term Investments									
CITIBANK M.D.A. (L)	75.41	1.000	75.41	1.00	75.41	0.00	75.41	0.00	0.04
CUSIP 9900CS772 Yield .05%									
Total Cash and Short Term Investments			75.41		75.41	0.00	75.41	0.00	0.04
TOTAL INVESTMENT POSITIONS - INCOME									
			75.41		75.41	0.00	75.41	0.00	0.04
TOTAL INVESTMENT POSITIONS - PRINCIPAL AND INCOME									
			86,928.57		1,541,649.43	3.57	1,541,653.00	0.00	43.47

Trust Account - C78008367005
Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency: USD

CASH AND SHORT TERM INVESTMENTS 100.00% SORTED BY LIQUIDITY									
Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est. Annual Income
Cash									
USD	0.00	0.000	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Short Term Investments									
CITIBANK M.D.A. (L) CUSIP 9900CST72 Yield 05%	1,714.89	1.000	1,714.89	1.00	1,714.89	0.07	1,714.96	0.00	0.86
Total Cash and Short Term Investments			1,714.89		1,714.89	0.07	1,714.96	0.00	0.86
TOTAL INVESTMENT POSITIONS - PRINCIPAL									
			1,714.89		1,714.89	0.07	1,714.96	0.00	0.86



Trust Account - C7B008367005

Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency: USD

INVESTMENT POSITIONS - INCOME

CASH AND SHORT TERM INVESTMENTS 100.00% SORTED BY LIQUIDITY									
Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Cash									
USD	0.00	0.000	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Short Term Investments									
CITIBANK M D A (L)	5.26	1.000	5.26	1.00	5.26	0.00	5.26	0.00	0.00
CUSIP 9900CST72 Yield 05%									
Total Cash and Short Term Investments			5.26		5.26	0.00	5.26	0.00	0.00
TOTAL INVESTMENT POSITIONS - INCOME									
			5.26		5.26	0.00	5.26	0.00	0.00
TOTAL INVESTMENT POSITIONS - PRINCIPAL AND INCOME									
			1,720.15		1,720.15	0.07	1,720.22	0.00	0.86

Brown Large Cap Growth - C7B017137005
Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency: USD

CASH AND SHORT TERM INVESTMENTS 1.37% SORTED BY LIQUIDITY

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Cash									
USD	(44.21)	0.000	(44.21)	0.00	(44.21)	0.00	(44.21)	0.00	0.00
Short Term Investments									
CITIBANK M.D.A. (L) CUSIP 9900CST72 Yield .05%	4,046.79	1.000	4,046.79	1.00	4,046.79	0.23	4,047.02	0.00	2.02
Total Cash and Short Term Investments			4,002.58		4,002.58	0.23	4,002.81	0.00	2.02

EQUITIES 98.63% SORTED ALPHABETICALLY

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock									
ACCENTURE PLC Ticker/CUSIP : ACN/G1151C101 Yield 2.4% Sector : Information Technology	91	68.860	6,266.26	77.47 29 Nov 13	7,049.77	0.00	7,049.77	783.51	169.26
AMPHENOL CORP CLASS A Ticker/CUSIP : APH/032095101 Yield .94% Sector : Industrials	101	68.723	6,941.06	85.00 29 Nov 13	8,585.00	0.00	8,585.00	1,643.94	80.80
ANSYS INC Ticker/CUSIP : ANS/03662Q105 Sector : Information Technology	60	70.430	4,225.80	85.67 29 Nov 13	5,140.20	0.00	5,140.20	914.40	0.00
APPLE INC Ticker/CUSIP : AAPL/037833100 Yield 2.19% Sector : Information Technology	24	352.301	8,455.23	556.07 29 Nov 13	13,345.68	0.00	13,345.68	4,890.45	292.80
COGNIZANT TECH SOLUTIONS CL A Ticker/CUSIP : CTS/192446102 Sector : Information Technology	57	75.600	4,309.20	93.89 29 Nov 13	5,351.73	0.00	5,351.73	1,042.53	0.00



Brown Large Cap Growth - C7B017137005

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Reference Currency: USD

INVESTMENT POSITIONS - PRINCIPAL

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock CONTINUED									
CORE LABORATORIES NV-USD Ticker/CUSIP : CLBN22717107 Yield .7% Sector : Energy	49	110.130	5,396.37	182.14 29 Nov 13	8,924.86	0.00	8,924.86	3,528.49	62.72
COSTCO WHOLESALE CORP NEW Ticker/CUSIP : COST/22160K105 Yield .99% Sector : Consumer Discretionary	65	102.688	6,674.71	125.43 29 Nov 13	8,152.95	0.00	8,152.95	1,478.24	80.60
COVANCE INC Ticker/CUSIP : CVD/222816100 Sector : Health Care	78	59.520	4,642.56	84.38 29 Nov 13	6,581.64	0.00	6,581.64	1,939.08	0.00
DANAHER CORP DE Ticker/CUSIP : DHR/235851102 Yield .13% Sector : Industrials	137	58.080	7,956.96	74.80 29 Nov 13	10,247.60	0.00	10,247.60	2,290.64	13.70
DAVITA HEALTHCARE PARTNERS Ticker/CUSIP : DVA/23918K108 Sector : Health Care	124	54.940	6,812.62	59.55 29 Nov 13	7,384.20	0.00	7,384.20	571.58	0.00
ECOLAB INC Ticker/CUSIP : ECL/278865100 Yield .86% Sector : Materials	85	73.726	6,266.71	107.17 29 Nov 13	9,109.45	0.00	9,109.45	2,842.74	78.20
ESTEE LAUDER COS INC CL A Ticker/CUSIP : ELU/518439104 Yield 1.07% Sector : Consumer Staples	134	62.964	8,437.22	74.96 29 Nov 13	10,044.64	26.80	10,071.44	1,607.42	107.20
EXPRESS SCRIPTS HOLDING CO Ticker/CUSIP : ESRX/30219G108 Sector : Health Care	182	54.870	9,986.33	67.35 29 Nov 13	12,257.70	0.00	12,257.70	2,271.37	0.00
FLUOR CORP NEW Ticker/CUSIP : FLR/343412102 Yield .82% Sector : Industrials	152	59.968	9,115.10	77.81 29 Nov 13	11,827.12	24.32	11,851.44	2,712.02	97.28

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Brown Large Cap Growth - C7B017137005

Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency USD

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est. Annual Income
Common Stock CONTINUED									
FMC TECHNOLOGIES INC Ticker/CUSIP : FTI/30249U101 Sector : Energy	154	42.696	6,575.16	48.10 29 Nov 13	7,407.40	0.00	7,407.40	832.24	0.00
FOSSIL INC COM Ticker/CUSIP : FOSL/34988V106 Sector : Industrials	54	96.010	5,184.54	127.27 29 Nov 13	6,872.58	0.00	6,872.58	1,688.04	0.00
GENPACT LTD Ticker/CUSIP : G/G3922B107 Sector : Consumer Discretionary	302	16.346	4,936.59	17.90 29 Nov 13	5,405.80	0.00	5,405.80	469.21	0.00
GILEAD SCIENCES INC Ticker/CUSIP : GILD/375558103 Sector : Health Care	60	70.904	4,254.24	74.81 29 Nov 13	4,488.60	0.00	4,488.60	234.36	0.00
GOOGLE INC Ticker/CUSIP : GOOG/38259P508 Sector : Information Technology	13	528.680	6,872.58	1,059.59 29 Nov 13	13,774.67	0.00	13,774.67	6,902.09	0.00
IDEXX LABORATORIES INC Ticker/CUSIP : IDXX/45168D104 Sector : Health Care	41	94.880	3,890.06	104.16 29 Nov 13	4,270.56	0.00	4,270.56	380.50	0.00
INTUITIVE SURGICAL INC Ticker/CUSIP : ISRG/46120E602 Sector : Health Care	24	414.225	9,941.39	376.90 29 Nov 13	9,045.60	0.00	9,045.60	(895.79)	0.00
MEAD JOHNSON NUTRITION CO Ticker/CUSIP : MJN/582839106 Yield 1.61% Sector : Health Care	123	71.064	8,740.84	84.51 29 Nov 13	10,394.73	0.00	10,394.73	1,653.89	167.28
NATIONAL INSTRUMENTS CORP Ticker/CUSIP : NATI/636518102 Yield 1.79% Sector : Industrials	162	26.800	4,341.63	31.26 29 Nov 13	5,064.12	22.68	5,086.80	722.49	90.72

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Brown Large Cap Growth - C7B017137005

Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency: USD

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock CONTINUED									
NETAPP INC Ticker/CUSIP : NTAP/64110D104 Yield 1.45% Sector : Information Technology	161	33.310	5,362.91	41.25 29 Nov 13	6,641.25	0.00	6,641.25	1,278.34	96.60
QUALCOMM INC Ticker/CUSIP : QCOM/747525103 Yield 1.9% Sector : Information Technology	161	58.730	9,455.56	73.58 29 Nov 13	11,846.38	56.35	11,902.73	2,390.82	225.40
ROPER INDUSTRIES INC Ticker/CUSIP : ROP/776696106 Yield .51% Sector : Industrials	62	115.400	7,154.80	129.70 29 Nov 13	8,041.40	0.00	8,041.40	886.60	40.92
SALESFORCE.COM INC Ticker/CUSIP : CRM/79466L302 Sector : Information Technology	143	37.126	5,308.95	52.09 29 Nov 13	7,448.87	0.00	7,448.87	2,139.92	0.00
SCHLUMBERGER LTD Ticker/CUSIP : SLB/806857108 Yield 1.41% Sector : Energy	124	80.406	9,970.30	88.42 29 Nov 13	10,964.08	0.00	10,964.08	993.78	155.00
SCHWAB CHARLES CORP Ticker/CUSIP : SCHW/808513105 Yield .98% Sector : Financials	426	15.235	6,490.11	24.48 29 Nov 13	10,428.48	0.00	10,428.48	3,938.37	102.24
STARBUCKS CORP Ticker/CUSIP : SBUX/855244109 Yield 1.28% Sector : Consumer Discretionary	138	39.741	5,484.31	81.46 29 Nov 13	11,241.48	0.00	11,241.48	5,757.17	143.52
STERICYCLE INC Ticker/CUSIP : SRCL/858912108 Sector : Industrials	76	96.180	7,309.68	117.48 29 Nov 13	8,928.48	0.00	8,928.48	1,618.80	0.00
VISA INC COM CL A Ticker/CUSIP : V/92826C839 Yield .79% Sector : Financials	62	177.304	10,992.87	203.46 29 Nov 13	12,614.52	24.80	12,639.32	1,621.65	99.20

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Brown Large Cap Growth - c7B017137005

Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency: USD

INVESTMENT POSITIONS - PRINCIPAL

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est. Annual Income
Common Stock CONTINUED									
WHOLE FOODS MKT INC Ticker/CUSIP : WFM/966837106 Yield .85% Sector : Consumer Staples	158	48.149	7,607.60	56.60 29 Nov 13	8,942.80	0.00	8,942.80	1,335.20	75.84
Total Equities			225,360.25		287,824.34	154.95	287,979.29	62,464.09	2,179.28

TOTAL INVESTMENT POSITIONS - PRINCIPAL

229,362.83	291,826.92	155.18	291,982.10	62,464.09	2,181.30
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Brown Large Cap Growth - C7B017137005

Statement Period 1 Nov 2013 - 30 Nov 2013



INVESTMENT POSITIONS - INCOME

Reference Currency USD

CASH AND SHORT TERM INVESTMENTS 100.00% SORTED BY LIQUIDITY									
Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est. Annual Income
Short Term Investments									
CITIBANK M.D.A. (L) CUSIP 9900CST72 Yield 05%	1,538.53	1.000	1,538.53	1.00 —	1,538.53	0.06	1,538.59	0.00	0.77
Total Cash and Short Term Investments			1,538.53		1,538.53	0.06	1,538.59	0.00	0.77
TOTAL INVESTMENT POSITIONS - INCOME									
			1,538.53		1,538.53	0.06	1,538.59	0.00	0.77
TOTAL INVESTMENT POSITIONS - PRINCIPAL AND INCOME									
			230,901.36		293,365.45	155.24	293,520.69	62,464.09	2,182.07

Baron High Growth - C7B019018005

Statement Period 1 Nov 2013 - 30 Nov 2013



INVESTMENT POSITIONS - PRINCIPAL

Reference Currency: USD

CASH AND SHORT TERM INVESTMENTS 3.16% SORTED BY LIQUIDITY

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Cash									
USD	0.00	0.000	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Short Term Investments									
CITIBANK M.D.A. (L) CUSIP 9900CST72 Yield .05%	9,280.41	1.000	9,280.41	1.00	9,280.41	0.27	9,280.68	0.00	4.64
Total Cash and Short Term Investments			9,280.41		9,280.41	0.27	9,280.68	0.00	4.64

EQUITIES 96.84% SORTED ALPHABETICALLY

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock									
ACXIOM CORP Ticker/CUSIP : ACXM/005125109 Sector : Information Technology	266	20.220	5,378.55	33.28 29 Nov 13	8,852.48	0.00	8,852.48	3,473.93	0.00
ANGIES LIST Ticker/CUSIP : ANGI/034754101 Sector : Information Technology	326	17.079	5,567.67	13.02 29 Nov 13	4,244.52	0.00	4,244.52	(1,323.15)	0.00
ANSYS INC Ticker/CUSIP : ANSS/036620105 Sector : Information Technology	81	79.340	6,426.54	85.67 29 Nov 13	6,939.27	0.00	6,939.27	512.73	0.00
BERRY PLASTICS GROUP INC Ticker/CUSIP : BERY/08579W103 Sector : Industrials	307	18.209	5,590.01	21.45 29 Nov 13	6,585.15	0.00	6,585.15	995.14	0.00
CAESARSTONE SDOT-YAM LTD ORD SHS Ticker/CUSIP : CSTE/M20598104 Sector : Industrials	99	32.992	3,266.23	49.15 29 Nov 13	4,865.85	57.42	4,923.27	1,599.62	0.00

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Baron High Growth - c7B019018005

Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency: USD

INVESTMENT POSITIONS - PRINCIPAL

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock CONTINUED									
CARBO CERAMICS INC Ticker/CUSIP : CRR/140781105 Yield : 98% Sector : Energy	35	87.080	3,047.80	123.03 29 Nov 13	4,306.05	0.00	4,306.05	1,258.25	42.00
CARMAX INC Ticker/CUSIP : KMX/143130102 Sector : Consumer Discretionary	125	41.580	5,197.50	50.35 29 Nov 13	6,293.75	0.00	6,293.75	1,096.25	0.00
CEPHEID INC Ticker/CUSIP : CPHD/15670R107 Sector : Health Care	85	36.951	3,140.83	45.42 29 Nov 13	3,860.70	0.00	3,860.70	719.87	0.00
CITRIX SYSTEMS INC Ticker/CUSIP : CTXS/177376100 Sector : Information Technology	111	69.274	7,689.43	59.32 29 Nov 13	6,584.52	0.00	6,584.52	(1,104.91)	0.00
CONCHO RESOURCES INC Ticker/CUSIP : CXO/20605P101 Sector : Energy	40	98.505	3,940.18	103.93 29 Nov 13	4,157.20	0.00	4,157.20	217.02	0.00
CONCUR TECHNOLOGIES INC Ticker/CUSIP : CNQR/20670B109 Sector : Information Technology	14	95.122	1,331.71	97.09 29 Nov 13	1,359.26	0.00	1,359.26	27.55	0.00
COSTAR GROUP INC Ticker/CUSIP : CSGP/22160N109 Sector : Consumer Discretionary	32	106.930	3,421.76	186.24 29 Nov 13	5,959.68	0.00	5,959.68	2,537.92	0.00
DIGITAL GLOBE INC Ticker/CUSIP : DGI/25389M877 Sector : Telecommunication Services	224	28.579	6,401.62	39.60 29 Nov 13	8,870.40	0.00	8,870.40	2,468.78	0.00
DISCOVERY COMMUNICATION INC Ticker/CUSIP : DISCX/25470F302 Sector : Consumer Discretionary	88	69.775	6,140.20	80.77 29 Nov 13	7,107.76	0.00	7,107.76	967.56	0.00

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Baron High Growth - C7B019018005

Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency USD

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est. Annual Income
Common Stock CONTINUED									
DREAMWORKS ANIMATION INC CL A Ticker/CUSIP : DWA/26153C103 Sector : Consumer Discretionary	245	27.816	6,814.87	31.86 29 Nov 13	7,805.70	0.00	7,805.70	990.83	0.00
EQUINIX INC Ticker/CUSIP : EQIX/29444U502 Sector : Information Technology	38	207.517	7,885.65	160.70 29 Nov 13	6,106.60	0.00	6,106.60	(1,779.05)	0.00
FACTSET RESEARCH SYSTEMS INC Ticker/CUSIP : FDS/303075105 Yield 1.24% Sector : Consumer Discretionary	38	90.930	3,455.34	113.00 29 Nov 13	4,294.00	13.30	4,307.30	838.66	53.20
FOSSIL INC COM Ticker/CUSIP : FOSJ/34988V106 Sector : Industrials	31	94.535	2,930.59	127.27 29 Nov 13	3,945.37	0.00	3,945.37	1,014.78	0.00
GARTNER INC NEW Ticker/CUSIP : IT/366651107 Sector : Consumer Discretionary	173	54.630	9,451.01	64.65 29 Nov 13	11,184.45	0.00	11,184.45	1,733.44	0.00
GOLAR LNG LTD, BERMUDA-USD Ticker/CUSIP : GLNG/69456A100 Yield 4.95% Sector : Industrials	114	35.303	4,024.50	36.33 29 Nov 13	4,141.62	0.00	4,141.62	117.12	205.20
GROUPON INC Ticker/CUSIP : GRPN/399473107 Sector : Information Technology	464	10.318	4,787.71	9.05 29 Nov 13	4,199.20	0.00	4,199.20	(588.51)	0.00
GUIDEWIRE SOFTWARE INC Ticker/CUSIP : GWRE/40171V100 Sector : Information Technology	201	36.991	7,435.17	47.73 29 Nov 13	9,593.73	0.00	9,593.73	2,158.56	0.00
HOMEAWAY INC Ticker/CUSIP : AWAY/43739Q100 Sector : Information Technology	85	30.470	2,589.95	36.50 29 Nov 13	3,102.50	0.00	3,102.50	512.55	0.00

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Baron High Growth - C7B019018005

Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency USD

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock CONTINUED									
IHS INC CLASS A Ticker/CUSIP : IHS/451734107 Sector : Information Technology	39	100.525	3,920.47	114.43 29 Nov 13	4,462.77	0.00	4,462.77	542.30	0.00
ILLUMINA INC Ticker/CUSIP : ILMN/452327109 Sector : Health Care	125	56.952	7,118.98	98.00 29 Nov 13	12,250.00	0.00	12,250.00	5,131.02	0.00
IMPERVA INC Ticker/CUSIP : IMPV/45321L100 Sector : Information Technology	98	38.185	3,742.12	44.98 29 Nov 13	4,408.04	0.00	4,408.04	665.92	0.00
INTERCONTINENTAL EXCHANGE INC COM Ticker/CUSIP : ICE/45866F104 Sector : Financials	16	175.516	2,808.25	213.29 29 Nov 13	3,412.64	0.00	3,412.64	604.39	0.00
LIBERTY MEDIA CORP Ticker/CUSIP : LMCA/531229102 Sector : Consumer Discretionary	60	112.210	6,732.61	153.46 29 Nov 13	9,207.60	0.00	9,207.60	2,474.99	0.00
LINKEDIN CORP Ticker/CUSIP : LNKD/53578A108 Sector : Information Technology	20	192.369	3,847.38	224.03 29 Nov 13	4,480.60	0.00	4,480.60	633.22	0.00
LULULEMON ATHLETICA INC Ticker/CUSIP : LULU/550021109 Sector : Consumer Discretionary	45	64.638	2,908.70	69.72 29 Nov 13	3,137.40	0.00	3,137.40	228.70	0.00
MANCHESTER UNITED PLC Ticker/CUSIP : MANU/65784H106 Sector : Consumer Discretionary	278	16.763	4,660.01	17.08 29 Nov 13	4,748.24	0.00	4,748.24	88.23	0.00
MASIMO CORP Ticker/CUSIP : MAS/574795100 Sector : Health Care	225	20.030	4,506.75	28.63 29 Nov 13	6,441.75	0.00	6,441.75	1,935.00	0.00

Baron High Growth - C7B019018005
Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency: USD

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock CONTINUED									
MEDDATA SOLUTIONS INC Ticker/CUSIP : MDSO/58471A105 Sector : Information Technology	37	111.117	4,111.33	118.91 29 Nov 13	4,399.67	0.00	4,399.67	288.34	0.00
MELLANOX TECHNOLOGIES LTD Ticker/CUSIP : MLNX/M51363113 Sector : Information Technology	105	43.331	4,549.71	38.94 29 Nov 13	4,088.70	0.00	4,088.70	(461.01)	0.00
MIDDLEBY CORP Ticker/CUSIP : MIDD/596278101 Sector : Industrials	16	147.350	2,357.60	220.84 29 Nov 13	3,533.44	0.00	3,533.44	1,175.84	0.00
NETFLIX INC Ticker/CUSIP : NFLX/64110L106 Sector : Information Technology	10	258.703	2,587.03	365.80 29 Nov 13	3,658.00	0.00	3,658.00	1,070.97	0.00
OASIS PETROLEUM INC Ticker/CUSIP : OAS/674215108 Sector : Energy	79	36.984	2,921.72	46.13 29 Nov 13	3,644.27	0.00	3,644.27	722.55	0.00
PANDORA MEDIA INC Ticker/CUSIP : P698354107 Sector : Information Technology	115	24.148	2,777.04	28.40 29 Nov 13	3,266.00	0.00	3,266.00	488.96	0.00
POLYPOR INTL INC Ticker/CUSIP : PPO/73179V103 Sector : Industrials	78	39.140	3,052.92	37.98 29 Nov 13	2,962.44	0.00	2,962.44	(90.48)	0.00
PRICELINE.COM INC (NEW) Ticker/CUSIP : PCLN/741503403 Sector : Information Technology	6	719.867	4,319.20	1,192.33 29 Nov 13	7,153.98	0.00	7,153.98	2,834.78	0.00
REALPAGE INC Ticker/CUSIP : RP/75606N109 Sector : Information Technology	228	20.376	4,645.62	22.41 29 Nov 13	5,109.48	0.00	5,109.48	463.86	0.00

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Baron High Growth - C7B019018005

Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency: USD

INVESTMENT POSITIONS - PRINCIPAL

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock CONTINUED									
RED HAT INC Ticker/CUSIP : RHT/756577102 Sector : Information Technology	110	46.958	5,165.43	46.85 29 Nov 13	5,153.50	0.00	5,153.50	(11.93)	0.00
RESTORATION HARDWARE HOLDINGS Ticker/CUSIP : RH/761283100 Sector : Consumer Discretionary	31	61.569	1,908.64	75.50 29 Nov 13	2,340.50	0.00	2,340.50	431.86	0.00
SALESFORCE.COM INC Ticker/CUSIP : CRM/794661302 Sector : Information Technology	78	42.265	3,296.66	52.09 29 Nov 13	4,063.02	0.00	4,063.02	766.36	0.00
SBA COMMUNICATIONS CORP Ticker/CUSIP : SBAC/78388J106 Sector : Information Technology	97	72.389	7,021.71	85.17 29 Nov 13	8,261.49	0.00	8,261.49	1,239.78	0.00
SHUTTERFLY INC Ticker/CUSIP : SFLY/82568P304 Sector : Information Technology	122	42.824	5,224.57	47.23 29 Nov 13	5,762.06	0.00	5,762.06	537.49	0.00
SHUTTERSTOCK INC.COM Ticker/CUSIP : SSTK/825690100 Sector : Information Technology	109	47.318	5,157.69	73.98 29 Nov 13	8,063.82	0.00	8,063.82	2,906.13	0.00
SODASTREAM INTL LTD ORD Ticker/CUSIP : SODA/M9068E105 Sector : Consumer Staples	55	60.245	3,313.46	57.48 29 Nov 13	3,161.40	0.00	3,161.40	(152.06)	0.00
TABLEAU SOFTWARE INC Ticker/CUSIP : DATA/87336U105 Sector : Information Technology	64	57.100	3,654.40	65.54 29 Nov 13	4,194.56	0.00	4,194.56	540.16	0.00
UNDER ARMOUR INC CLASS A Ticker/CUSIP : UA/904311107 Sector : Consumer Discretionary	53	52.915	2,804.52	80.70 29 Nov 13	4,277.10	0.00	4,277.10	1,472.58	0.00

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Baron High Growth - C7B019018005

Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency: USD

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est. Annual Income
Common Stock CONTINUED									
VERISK ANALYTICS INC CL A Ticker/CUSIP : VRSK/92345Y106 Sector : Consumer Discretionary	106	60.787	6,443.46	65.11 29 Nov 13	6,901.66	0.00	6,901.66	458.20	0.00
XOOM CORP Ticker/CUSIP : XOOM/984190101 Sector : Consumer Discretionary	145	21.428	3,107.06	27.635 29 Nov 13	4,007.07	0.00	4,007.07	900.01	0.00
YELP INC CL A Ticker/CUSIP : YELP/985817105 Sector : Information Technology	11	65.776	723.54	60.69 29 Nov 13	667.59	0.00	667.59	(55.95)	0.00
ZILLOW INC Ticker/CUSIP : Z/98954A107 Sector : Information Technology	39	60.867	2,373.82	78.62 29 Nov 13	3,066.18	0.00	3,066.18	692.36	0.00
Total Equities			237,677.22		284,644.73	70.72	284,715.45	46,967.51	300.40
TOTAL INVESTMENT POSITIONS - PRINCIPAL									
			246,957.63		293,925.14	70.99	293,996.13	46,967.51	305.04



Baron High Growth - C7B019018005
Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency USD

INVESTMENT POSITIONS - INCOME

CASH AND SHORT TERM INVESTMENTS 100.00% SORTED BY LIQUIDITY									
Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est. Annual Income
Cash									
USD	0.00	0.000	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Short Term Investments									
CITIBANK M.D.A. (L)	13.22	1.000	13.22	1.00	13.22	0.00	13.22	0.00	0.01
CUSIP 9900CST72 Yield .05%				—					
Total Cash and Short Term Investments			13.22		13.22	0.00	13.22	0.00	0.01
TOTAL INVESTMENT POSITIONS - INCOME									
			13.22		13.22	0.00	13.22	0.00	0.01
TOTAL INVESTMENT POSITIONS - PRINCIPAL AND INCOME									
			246,970.85		293,938.36	70.99	294,009.35	46,967.51	305.05

Polen Capital - Large Cap Growth - c78019182005
Statement Period 1 Nov 2013 - 30 Nov 2013



INVESTMENT POSITIONS - PRINCIPAL

Reference Currency USD

CASH AND SHORT TERM INVESTMENTS 6.78% SORTED BY LIQUIDITY

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Cash									
USD	0.00	0.000	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Short Term Investments									
CITIBANK M.D.A. (L)	21,350.7	1.000	21,350.70	1.00	21,350.70	0.88	21,351.58	0.00	10.68
CUSIP 9900CST72 Yield 05%									
Total Cash and Short Term Investments			21,350.70		21,350.70	0.88	21,351.58	0.00	10.68

EQUITIES 93.22% SORTED ALPHABETICALLY

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock									
ABBOTT LABORATORIES Ticker/CUSIP : ABT/002824100 Yield 2.3% Sector : Health Care	527	35.366	18,637.94	38.19 29 Nov 13	20,126.13	0.00	20,126.13	1,488.19	463.76
ACCENTURE PLC Ticker/CUSIP : ACN/G1151C101 Yield 2.4% Sector : Information Technology	199	76.768	15,276.83	77.47 29 Nov 13	15,416.53	0.00	15,416.53	139.70	370.14
ALLERGAN INC Ticker/CUSIP : AGN/018490102 Yield 2.1% Sector : Health Care	184	111.574	20,529.62	97.05 29 Nov 13	17,857.20	12.25	17,869.45	(2,672.42)	36.80
APPLE INC Ticker/CUSIP : AAPL/037833100 Yield 2.19% Sector : Information Technology	22	337.690	7,429.18	556.07 29 Nov 13	12,233.54	0.00	12,233.54	4,804.36	268.40
AUTOMATIC DATA PROCESSING INC Ticker/CUSIP : ADP/053015103 Yield 2.4% Sector : Consumer Discretionary	120	73.183	8,781.96	80.02 29 Nov 13	9,602.40	0.00	9,602.40	820.44	230.40

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Polen Capital - Large Cap Growth - c7B019182005

Statement Period 1 Nov 2013 - 30 Nov 2013

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency: USD

EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est. Annual Income
Common Stock CONTINUED									
C.H. ROBINSON WORLDWIDE INC Ticker/CUSIP : CHRW/12541W209 Yield 2.39% Sector : Industrials	115	58.708	6,751.39	58.65 29 Nov 13	6,744.75	0.00	6,744.75	(6.64)	161.00
EBAY INC Ticker/CUSIP : EBAY/278642103 Sector : Information Technology	294	52.041	15,300.01	50.52 29 Nov 13	14,852.88	0.00	14,852.88	(447.13)	0.00
FACEBOOK INC - A Ticker/CUSIP : FB/30303M102 Sector : Information Technology	158	35.659	5,634.09	47.01 29 Nov 13	7,427.58	0.00	7,427.58	1,793.49	0.00
FACTSET RESEARCH SYSTEMS INC Ticker/CUSIP : FDS/303075105 Yield 1.24% Sector : Consumer Discretionary	93	91.660	8,524.37	113.00 29 Nov 13	10,509.00	32.55	10,541.55	1,984.63	130.20
FASTENAL CO Ticker/CUSIP : FAST/311900104 Yield 2.15% Sector : Industrials	112	49.695	5,565.84	46.53 29 Nov 13	5,211.36	0.00	5,211.36	(354.48)	112.00
GARTNER INC NEW Ticker/CUSIP : IT/366651107 Sector : Consumer Discretionary	106	54.873	5,816.59	64.65 29 Nov 13	6,852.90	0.00	6,852.90	1,036.31	0.00
GOOGLE INC Ticker/CUSIP : GOOG/38259P508 Sector : Information Technology	26	634.860	16,506.36	1,059.59 29 Nov 13	27,549.34	0.00	27,549.34	11,042.98	0.00
MASTERCARD INC Ticker/CUSIP : MA/576360104 Yield .32% Sector : Consumer Discretionary	9	622.300	5,600.70	760.81 29 Nov 13	6,847.29	0.00	6,847.29	1,246.59	21.60
NIKE INC CL B Ticker/CUSIP : NKE/654106103 Yield 1.21% Sector : Consumer Discretionary	254	59.029	14,993.24	79.14 29 Nov 13	20,101.56	0.00	20,101.56	5,108.32	243.84

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Polen Capital - Large Cap Growth - c7B019182005

Statement Period 1 Nov 2013 - 30 Nov 2013

Reference Currency USD

INVESTMENT POSITIONS - PRINCIPAL
EQUITIES CONTINUED

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
Common Stock CONTINUED									
ORACLE CORP Ticker/CUSIP : ORCL/68389X105 Yield 1.36% Sector : Information Technology	525	32.659	17,145.72	35.29 29 Nov 13	18,527.25	0.00	18,527.25	1,381.53	252.00
QUALCOMM INC Ticker/CUSIP : QCOM/747525103 Yield 1.9% Sector : Information Technology	285	62.199	17,726.63	73.58 29 Nov 13	20,970.30	99.75	21,070.05	3,243.67	399.00
STARBUCKS CORP Ticker/CUSIP : SBUX/855244109 Yield 1.28% Sector : Consumer Discretionary	232	46.559	10,801.60	81.46 29 Nov 13	18,898.72	0.00	18,898.72	8,097.12	241.28
T ROWE PRICE GROUP INC Ticker/CUSIP : TROW/74144T108 Yield 1.89% Sector : Financials	250	74.908	18,726.95	80.46 29 Nov 13	20,115.00	0.00	20,115.00	1,388.05	380.00
VISA INC COM CL A Ticker/CUSIP : V/92826C839 Yield 79% Sector : Financials	107	171.473	18,347.61	203.46 29 Nov 13	21,770.22	56.80	21,827.02	3,422.61	171.20
W W GRAINGER INC Ticker/CUSIP : GWW/384802104 Yield 1.44% Sector : Industrials	46	228.592	10,515.23	257.92 29 Nov 13	11,864.32	55.80	11,920.12	1,349.09	171.12
Total Equities			248,611.86		293,478.27	257.15	293,735.42	44,866.41	3,652.74
TOTAL INVESTMENT POSITIONS - PRINCIPAL									
			269,962.56		314,828.97	258.03	315,087.00	44,866.41	3,663.47

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Polen Capital - Large Cap Growth - c7B019182005

Statement Period 1 Nov 2013 - 30 Nov 2013



INVESTMENT POSITIONS - INCOME

Reference Currency: USD

CASH AND SHORT TERM INVESTMENTS 100.00% SORTED BY LIQUIDITY

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Cash									
USD	0.00	0.000	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Short Term Investments									
CITIBANK M D A (L)	1,709.14	1.000	1,709.14	1.00	1,709.14	0.06	1,709.20	0.00	0.85
CUSIP 9900CST72 Yield .05%									
Total Cash and Short Term Investments			1,709.14		1,709.14	0.06	1,709.20	0.00	0.85
TOTAL INVESTMENT POSITIONS - INCOME									
			1,709.14		1,709.14	0.06	1,709.20	0.00	0.85
TOTAL INVESTMENT POSITIONS - PRINCIPAL AND INCOME									
			271,671.70		316,538.11	258.09	316,796.20	44,866.41	3,664.27

- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** and check this box ☒ **X**.
- Note.** Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868.
- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** (on page 1).

Part II Additional (Not Automatic) 3-Month Extension of Time. Only file the original (no copies needed).

Type or print File by the due date for filing your return. See instructions.	Name of exempt organization or other filer, see instructions		Enter filer's identifying number, see instructions	
	31-C7B007575005 THE RICHARD AND SUSAN BRADDOCK FAMILY FOUNDATION, INC.		Employer identification number (EIN) or	
	Number, street, and room or suite no. If a P O box, see instructions		06-1565971	
	10 GRACIE SQUARE APT. 9F		Social security number (SSN)	
City, town or post office, state, and ZIP code. For a foreign address, see instructions				
NEW YORK, NY 10028				

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01		
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

STOP! Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.

- The books are in the care of **CITIBANK, N.A.**
Telephone No **(800) 770-8444** FAX No
- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) . If this is for the whole group, check this box ☐. If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.

- 4 I request an additional 3-month extension of time until **10/15, 2014**
- 5 For calendar year , or other tax year beginning **12/01, 2012**, and ending **11/30, 2013**
- 6 If the tax year entered in line 5 is for less than 12 months, check reason: ☐ Initial return ☐ Final return
☐ Change in accounting period
- 7 State in detail why you need the extension **ADDITIONAL TIME IS NEEDED TO PREPARE AN ACCURATE AND COMPLETE TAX RETURN.**

8a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	8a \$	7,000.
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868.	8b \$	15,830.
c Balance Due. Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	8c \$	NONE

Signature and Verification must be completed for Part II only.

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form

Signature Title Date **07/07/2014**

Form **8868** (Rev 1-2013)

**Application for Extension of Time To File an
Exempt Organization Return**

OMB No 1545-1709

► **File a separate application for each return.**

- If you are filing for an **Automatic 3-Month Extension**, complete **only Part I** and check this box ☒ **X**
- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete **only Part II** (on page 2 of this form)

Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868

Electronic filing (e-file). You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit www.irs.gov/efile and click on **e-file for Charities & Nonprofits**.

Part I Automatic 3-Month Extension of Time. Only submit original (no copies needed).

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete

Part I only ☐

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns

Enter filer's identifying number, see instructions

**Type or
print**File by the
due date for
filing your
return. See
instructions

Name of exempt organization or other filer, see instructions

31-C7B007575005 THE RICHARD AND SUSAN
BRADDOCK FAMILY FOUNDATION, INC.

Employer identification number (EIN) or

06-1565971

Number, street, and room or suite no. If a P.O. box, see instructions

10 GRACIE SQUARE APT. 9F

Social security number (SSN)

City, town or post office, state, and ZIP code. For a foreign address, see instructions

NEW YORK, NY 10028

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 4720- (individual)	03	Form 4720	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

- The books are in the care of ► CITIBANK, N.A.

Telephone No. ► (800) 770-8444

FAX No. ►

- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) _____ If this is for the whole group, check this box ☐. If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.

- 1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until 07/15, 20 14, to file the exempt organization return for the organization named above. The extension is for the organization's return for:
- ☐ calendar year 20 ____ or
- ☒ tax year beginning 12/01, 2012, and ending 11/30, 2013

- 2 If the tax year entered in line 1 is for less than 12 months, check reason: ☐ Initial return ☐ Final return
- ☐ Change in accounting period

3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a \$	7,000.
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b \$	15,830.
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c \$	NONE

Caution. If you are going to make an electronic fund withdrawal with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions

For Privacy Act and Paperwork Reduction Act Notice, see Instructions.

Form **8868** (Rev. 1-2013)