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

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

For calendar year 2012 or tax year beginning **DEC 1, 2012**, and ending **NOV 30, 2013**

Name of foundation  
**THE SAMPSON FOUNDATION**

Number and street (or P O box number if mail is not delivered to street address) Room/suite  
**200 MILLER MAIN CIRCLE**

City or town, state, and ZIP code  
**KNOXVILLE, TN 37919-6017**

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) **\$ 6,573,921.** (Part I, column (d) must be on cash basis)

J Accounting method:  Cash  Accrual  
 Other (specify) \_\_\_\_\_

A Employer identification number  
**62-1655037**

B Telephone number  
**(865) 588-7641**

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))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received				N/A	
2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B					
3 Interest on savings and temporary cash investments		19.	19.		STATEMENT 1
4 Dividends and interest from securities		162,070.	162,070.		STATEMENT 2
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		105,279.			
b Gross sales price for all assets on line 6a		2,403,248.			
7 Capital gain net income (from Part IV, line 2)			105,279.		
8 Net short-term capital gain					
9 Income modifications					
10a Gross sales less returns and allowances					
b Less Cost of goods sold					
c Gross profit or (loss)					
11 Other income					
12 Total. Add lines 1 through 11		267,368.	267,368.		
13 Compensation of officers, directors, trustees, etc.		0.	0.		0.
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees					
b Accounting fees		3,050.	0.		3,050.
c Other professional fees		23,203.	23,203.		0.
17 Interest					
18 Taxes		6,837.	0.		0.
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses		18,165.	18,165.		0.
24 Total operating and administrative expenses. Add lines 13 through 23		51,255.	41,368.		3,050.
25 Contributions, gifts, grants paid		255,000.			255,000.
26 Total expenses and disbursements. Add lines 24 and 25		306,255.	41,368.		258,050.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		<38,887.>			
b Net investment income (if negative, enter -0-)			226,000.		
c Adjusted net income (if negative, enter -0-)				N/A	

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		
		Beginning of year (a) Book Value	End of year (b) Book Value (c) Fair Market Value	
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	269,148.	222,628.	222,628.
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations STMT 7	325,873.	418,564.	419,762.
	b Investments - corporate stock STMT 8	3,781,635.	3,585,557.	4,833,049.
	c Investments - corporate bonds STMT 9	941,854.	1,053,226.	1,084,529.
	11 Investments - land, buildings, and equipment basis ▶			
Less: accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other				
14 Land, buildings, and equipment; basis ▶				
Less: accumulated depreciation ▶				
15 Other assets (describe ▶ STATEMENT 10)	5,300.	4,948.	13,953.	
16 Total assets (to be completed by all filers)	5,323,810.	5,284,923.	6,573,921.	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
	23 Total liabilities (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/>			
	24 Unrestricted and complete lines 24 through 26 and lines 30 and 31.			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/>			
	27 Capital stock, trust principal, or current funds	0.	0.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	5,323,810.	5,284,923.	
30 Total net assets or fund balances	5,323,810.	5,284,923.		
31 Total liabilities and net assets/fund balances	5,323,810.	5,284,923.		

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	5,323,810.
2 Enter amount from Part I, line 27a	2	<38,887.>
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	5,284,923.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	5,284,923.

**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.)
<b>1a ATTACHED MARTIN &amp; CO STATEMENT</b>	P		
<b>b SEE ATTACHED UBS STATEMENT</b>	P		
<b>c CAPITAL GAIN DISTRIBUTION</b>	P		
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 608,670.		575,389.	33,281.
b 1,784,274.		1,722,580.	61,694.
c 10,304.			10,304.
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a			33,281.
b			61,694.
c			10,304.
d			
e			

2 Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7	2	105,279.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8		3	N/A

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?  Yes  No  
 If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2011	227,950.	5,683,712.	.040106
2010	183,450.	4,028,856.	.045534
2009	131,850.	2,976,522.	.044297
2008	180,952.	2,675,248.	.067639
2007	199,795.	3,633,725.	.054984

2 Total of line 1, column (d)	2	.252560
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	.050512
4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5	4	6,154,127.
5 Multiply line 4 by line 3	5	310,857.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	2,260.
7 Add lines 5 and 6	7	313,117.
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.	8	258,050.

**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 <input type="checkbox"/> 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 <input type="checkbox"/> and enter 1% of Part I, line 27b	1	4,520.
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	0.
3	Add lines 1 and 2	3	4,520.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0.
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	4,520.
6	Credits/Payments:		
a	2012 estimated tax payments and 2011 overpayment credited to 2012	6a	2,800.
b	Exempt foreign organizations - tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d	7	2,800.
8	Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8	25.
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	1,745.
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	
11	Enter the amount of line 10 to be: Credited to 2013 estimated tax <input type="checkbox"/> Refunded <input type="checkbox"/>	11	

**Part VII-A Statements Regarding Activities**

	Yes	No
1a		X
1b		X
If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		
c		X
d		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. \$ 0.		
2		X
If "Yes," attach a detailed description of the activities.		
3		X
4a		X
4b		
N/A		
5		X
If "Yes," attach the statement required by General Instruction T.		
6	X	
7	X	
If "Yes," complete Part II, col. (c), and Part XV		
8a		
TN		
8b	X	
9		X
10		X

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

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)			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)		X	
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A		X	
14	The books are in care of ► W. JAMES PUGH Telephone no. ► 865-588-7641 Located at ► 200 MILLER MAIN CIRCLE, KNOXVILLE, TN ZIP+4 ► 37919-6017			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year ► 15 N/A			
16	At any time during calendar year 2012, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►		Yes	No
				X

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

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

		Yes	No
1a	During the year did the foundation (either directly or indirectly):		
(1)	Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here N/A ► <input type="checkbox"/>	1b	
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2012?	1c	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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ► _____, _____, _____, _____		
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.) N/A	2b	
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► _____, _____, _____, _____		
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If "Yes," did it have excess business holdings in 2012 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2012.) N/A	3b	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2012?	4b	X

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

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

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

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

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

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

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

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?  Yes  No  
 Organizations relying on a current notice regarding disaster assistance check here  N/A

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

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?  Yes  No  
 If "Yes" to 6b, file Form 8870

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

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?  Yes  No

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (if not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
JEFF KNIGHT 200 MILLER MAIN CIRCLE KNOXVILLE, TN 37919	SECRETARY 0.25	0.	0.	0.
GEORGE B. SAMPSON 200 MILLER MAIN CIRCLE KNOXVILLE, TN 37919	VICE PRESIDENT 0.25	0.	0.	0.
W. JAMES PUGH JR 200 MILLER MAIN CIRCLE KNOXVILLE, TN 37919	VICE PRESIDENT 0.25	0.	0.	0.
MARY S. BREWINGTON 200 MILLER MAIN CIRCLE KNOXVILLE, TN 37919	PRESIDENT 0.25	0.	0.	0.

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

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

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

Part VIII

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

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

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

Total number of others receiving over \$50,000 for professional services 0

Part IX-A Summary of Direct Charitable Activities

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

Part IX-B Summary of Program-Related Investments

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

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	6,021,614.
b	Average of monthly cash balances	1b	226,231.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	6,247,845.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	6,247,845.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	93,718.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	6,154,127.
6	Minimum investment return. Enter 5% of line 5	6	307,706.

**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	307,706.
2a	Tax on investment income for 2012 from Part VI, line 5	2a	4,520.
b	Income tax for 2012. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	4,520.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	303,186.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	303,186.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	303,186.

**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	258,050.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	258,050.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	258,050.

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				303,186.
2 Undistributed income, if any, as of the end of 2012				
a Enter amount for 2011 only			213,348.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2012:				
a From 2007				
b From 2008				
c From 2009				
d From 2010				
e From 2011				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2012 from Part XII, line 4: ▶ \$ 258,050.				
a Applied to 2011, but not more than line 2a			213,348.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2012 distributable amount				44,702.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2011. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2012. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2013				258,484.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2007 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2008				
b Excess from 2009				
c Excess from 2010				
d Excess from 2011				
e Excess from 2012				

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

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

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

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

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

1 **Information Regarding Foundation Managers:**

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

NONE

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

NONE

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

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

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

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

c Any submission deadlines:

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

**Part XV** Supplementary Information (continued)

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<p><i>a Paid during the year</i></p> <p>EAST TENNESSEE FOUNDATION 625 MARKET ST. SUITE 1400 KNOXVILLE, TN 37902</p>	NONE	PUBLIC CHARITY	DESIGNATED FUND CONTRIBUTION	255,000.
<b>Total</b>				▶ 3a 255,000.
<i>b Approved for future payment</i>				
NONE				
<b>Total</b>				▶ 3b 0.





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

SOURCE	AMOUNT
UBS	19.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	19.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
UBS	162,070.	0.	162,070.
TOTAL TO FM 990-PF, PART I, LN 4	162,070.	0.	162,070.

FORM 990-PF ACCOUNTING FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES - PUGH & COMPANY	3,050.	0.		3,050.
TO FORM 990-PF, PG 1, LN 16B	3,050.	0.		3,050.

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT MANAGEMENT FEES - MARTIN & COMPANY	23,203.	23,203.		0.
TO FORM 990-PF, PG 1, LN 16C	23,203.	23,203.		0.

FORM 990-PF	TAXES			STATEMENT 5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES	187.	0.		0.
FEDERAL EXCISE TAX	6,650.	0.		0.
TO FORM 990-PF, PG 1, LN 18	6,837.	0.		0.

FORM 990-PF	OTHER EXPENSES			STATEMENT 6
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT ACCOUNT FEES	17,046.	17,046.		0.
BANK SERVICE FEES	150.	150.		0.
MISCELLANEOUS	969.	969.		0.
TO FORM 990-PF, PG 1, LN 23	18,165.	18,165.		0.

FORM 990-PF	U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS			STATEMENT 7
DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE
AGENCY BONDS PER ATTACHED SCHEDULE		X	177,435.	177,553.
GOVERNMENT BONDS PER ATTACHED SCHEDULE	X		63,179.	62,906.
MUNICIPAL BONDS PER SCH		X	177,950.	179,303.
TOTAL U.S. GOVERNMENT OBLIGATIONS			63,179.	62,906.
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS			355,385.	356,856.
TOTAL TO FORM 990-PF, PART II, LINE 10A			418,564.	419,762.

FORM 990-PF CORPORATE STOCK STATEMENT 8

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
COMMON STOCK PER ATTACHED SCHEDULE	2,729,957.	3,830,911.
UBS COMMON STOCK & FUNDS	855,600.	1,002,138.
TOTAL TO FORM 990-PF, PART II, LINE 10B	3,585,557.	4,833,049.

FORM 990-PF CORPORATE BONDS STATEMENT 9

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE BONDS & FUNDS PER ATTACHED SCHEDULE	1,053,226.	1,084,529.
UBS BONDS	0.	0.
TOTAL TO FORM 990-PF, PART II, LINE 10C	1,053,226.	1,084,529.

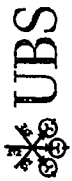
FORM 990-PF OTHER ASSETS STATEMENT 10

DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
ACCRUED DIVIDENDS INCOME	5,300.	4,948.	13,953.
TO FORM 990-PF, PART II, LINE 15	5,300.	4,948.	13,953.

Martin & Company  
 REALIZED GAINS AND LOSSES  
 Sampson Foundation, Inc.  
 From 12-01-12 Through 11-30-13

Date	Quantity	Security	Cost Basis	Amort. or Accretion	Proceeds	Gain Or Loss
12/17/2012	100	Select Sector SPDR - Co	3,842		4,615	772
12/17/2012	50	The Procter & Gamble Co	2,289		3,392	1,102
12/17/2012	50	Select Sector SPDR - En	3,897		3,468	(429)
12/17/2012	50	iShare Dow Jones US Oi	3,390		3,058	(332)
12/17/2012	2,500	Bank of America Corp.	79,396		27,024	(52,372)
12/17/2012	150	General Electric Co.	3,585		3,161	(424)
12/17/2012	50	Select Sector SPDR - Ma	1,862		1,762	(100)
12/17/2012	125	iShares MSCI ACWI Inde	5,633		5,083	(550)
12/17/2012	25	iShares Russell Midcap	2,726		2,720	(6)
1/30/2013	25,000	Bank One Corp 5.250% Due 01-30-13	24,329	671	25,000	0
2/26/2013	725	AbbVie, Inc.	15,450		27,104	11,655
2/26/2013	475	EMC Corp.	5,986		10,792	4,805
2/26/2013	500	Intel Corp.	9,530		10,161	631
2/26/2013	575	Southern Co.	20,331		25,754	5,423
3/15/2013	6,000	Comcast Cable Commu 8.375% Due 03-15-13	7,365	(1,365)	6,000	0
3/22/2013	250	Schlumberger Ltd.	6,953		18,406	11,453
3/22/2013	400	The Travelers Cos., Inc.	19,893		33,399	13,506
3/22/2013	275	Select Sector SPDR - Inc	9,534		11,302	1,768
3/22/2013	450	Du Pont	22,901		22,198	(703)
3/22/2013	175	iShares Russell 2000 Inc	14,576		16,381	1,806
5/22/2013	50,000	Federal Home Loan Mo 4.250% Due 05-22-13	48,385	1,615	50,000	0
5/22/2013	100	Select Sector SPDR - Inc	3,467		4,308	841
5/22/2013	825	Paychex, Inc.	20,613		31,309	10,696
6/1/2013	25,000	McDonald's Corp 4.125% Due 06-01-13	23,459	1,542	25,000	0
6/14/2013	100	Select Sector SPDR - Co	3,842		5,531	1,688
6/14/2013	25	Costco Wholesale Corp	954		2,672	1,718
6/14/2013	50	Wal-Mart Stores, Inc.	2,102		3,642	1,539
6/14/2013	75	Oceaneering Internatio	4,797		5,345	548
6/14/2013	25	Select Sector SPDR - En	1,960		1,902	(58)
6/14/2013	100	Capital One Financial Co	4,792		6,042	1,250
6/14/2013	25	The Goldman Sachs Grc	3,890		4,000	110
6/14/2013	75	Covidien Ltd.	3,111		4,808	1,697
6/14/2013	50	Emerson Electric Co.	2,387		2,727	340
6/14/2013	50	FedEx Corp.	3,926		4,911	985
6/14/2013	25	United Technologies Co	1,536		2,257	721
6/14/2013	10	Apple, Inc.	3,870		4,215	346
6/14/2013	150	Hewlett-Packard Co.	4,997		3,620	(1,378)
6/14/2013	50	iShares MSCI EAFE Inde	2,941		2,898	(43)

6/14/2013	25	iShares S&P MidCap 40	2,339		2,834	495
6/14/2013	50	iShares Russell 2000 Inc	4,164		4,799	635
7/11/2013	-	Mallinckrodt PLC	11		17	6
7/26/2013	275	Select Sector SPDR - Co	10,566		16,167	5,600
7/26/2013	275	Select Sector SPDR - En	21,558		22,637	1,079
7/26/2013	1,625	Hewlett-Packard Co.	54,139		41,970	(12,169)
7/26/2013	450	AT&T Inc.	13,139		15,929	2,791
7/26/2013	225	iShares Russell Midcap	24,538		30,542	6,004
8/22/2013	84	Mallinckrodt PLC	2,437		3,457	1,021
9/19/2013	400	Lowe's Companies, Inc.	10,539		19,356	8,817
11/24/2013	25,000	Metlife Inc	27,181	(2,181)	25,000	0
		5.000% Due 11-24-13				
						-----
				TOTAL GAINS		101,848
				TOTAL LOSSES		(68,566)
		NET	575,107	282	608,670	33,281



# Realized gain/loss

from 12/01/2012 to 11/30/2013

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
015351109	ALXN	3.00	10/11/2011	205.96	05/10/2013	299.48	93.52	45.41%	L
015351109	ALXN	27.00	10/11/2011	1,853.63	06/19/2013	2,487.77	634.14	34.21%	L
015351109	ALXN	3.00	10/12/2011	198.67	06/19/2013	276.42	77.75	39.14%	L
015351109	ALXN	6.00	03/22/2013	559.20	06/19/2013	552.84	-6.36	-1.14%	S
026874784	AIG	20.00	03/11/2013	790.29	05/10/2013	876.24	85.95	10.88%	S
037833100	AAAPL	6.00	10/11/2011	2,394.24	02/22/2013	2,685.95	291.71	12.18%	L
037833100	AAAPL	1.00	07/12/2012	598.12	02/22/2013	447.66	-150.46	-25.16%	S
039483102	ADM	19.00	07/16/2012	513.85	03/22/2013	620.53	106.68	20.76%	S
039483102	ADM	14.00	07/16/2012	378.62	05/10/2013	474.87	96.25	25.42%	S
06740C188	BARCLAYS BANK PLC **REVERSE SPLIT-EFF-11/2013**	60.00	06/12/2013	1,267.19	07/09/2013	1,068.58	-198.61	-15.67%	S
06740C188	BARCLAYS BANK PLC **REVERSE SPLIT-EFF-11/2013**	54.00	06/21/2013	1,221.04	07/09/2013	961.72	-259.32	-21.24%	S
067774109	BARNES & NOBLE INC.	142.00	05/10/2012	2,682.66	01/28/2013	1,842.08	-840.58	-31.33%	S
067774109	BARNES & NOBLE INC	58.00	07/12/2012	869.70	01/28/2013	752.40	-117.30	-13.49%	S
073730103	BEAM INC COM	11.00	10/11/2011	517.33	05/10/2013	736.98	219.65	42.46%	L
073730103	BEAM INC COM	49.00	10/11/2011	2,304.47	08/09/2013	3,226.16	921.69	40.00%	L
073730103	BEAM INC COM	6.00	07/12/2012	367.08	08/09/2013	395.04	27.96	7.62%	L
073730103	BEAM INC COM	6.00	03/22/2013	376.77	08/09/2013	395.04	18.27	4.85%	S
09062X103	BIIB	12.00	10/11/2011	1,199.76	03/22/2013	2,135.47	935.71	77.99%	L
09062X103	BIIB	1.00	10/11/2011	99.98	05/10/2013	210.04	110.06	110.08%	L
105262745	BRANDES EMERGING MARKETS FUND CLASS A	88.54	10/11/2011	725.18	03/22/2013	815.50	90.32	12.45%	L
105262745	BRANDES EMERGING MARKETS FUND CLASS A	252.95	10/11/2011	2,071.66	05/10/2013	2,380.26	308.60	14.90%	L
105262745	BRANDES EMERGING MARKETS FUND CLASS A	2,082.86	10/11/2011	17,058.61	06/21/2013	17,433.52	374.91	2.20%	L
111320107	BROADCOM CORP CL A	13.00	02/25/2013	447.94	05/10/2013	475.14	27.20	6.07%	S
111320107	BROADCOM CORP CL A	37.00	02/25/2013	1,274.90	09/26/2013	975.55	-299.35	-23.48%	S
14040H105	CAPITAL ONE FINCL CORP	1.00	11/02/2011	45.11	02/11/2013	56.50	11.39	25.25%	L
14040H105	CAPITAL ONE FINCL CORP	21.00	11/04/2011	964.27	02/11/2013	1,186.59	222.32	23.06%	L
14040H105	CAPITAL ONE FINCL CORP	2.00	12/05/2011	93.80	02/11/2013	113.01	19.21	20.48%	L



Realized gain/loss - from 12/01/2012 to 11/30/2013 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
CAPITAL ONE FINCL CORP	14040H105	COF	8.00	12/05/2011	375.18	02/27/2013	411.34	36.16	9.64%	L
CAPITAL ONE FINCL CORP	14040H105	COF	24.00	03/19/2012	1,327.41	02/27/2013	1,234.01	-93.40	-7.04%	S
CAPITAL ONE FINCL CORP	14040H105	COF	18.00	03/26/2012	1,015.90	02/27/2013	925.51	-90.39	-8.90%	S
CAPITAL ONE FINCL CORP	14040H105	COF	17.00	06/19/2012	933.12	02/27/2013	874.09	-59.03	-6.33%	S
CAPITAL ONE FINCL CORP	14040H105	COF	19.00	07/12/2012	1,013.65	02/27/2013	976.93	-36.72	-3.62%	S
CAPITAL ONE FINCL CORP	14040H105	COF	21.00	12/19/2012	1,250.02	02/27/2013	1,079.76	-170.26	-13.62%	S
GELANESE CORP NEW SER A	150870103	CE	43.00	12/27/2012	1,864.81	04/05/2013	1,808.34	-56.47	-3.03%	S
CELANESE CORP NEW SER A	150870103	CE	12.00	12/27/2012	524.58	04/18/2013	505.47	-19.11	-3.64%	S
CELANESE CORP NEW SER A	150870103	CE	55.00	02/28/2013	2,585.39	04/18/2013	2,316.72	-268.67	-10.39%	S
CELANESE CORP NEW SER A	150870103	CE	9.00	03/22/2013	407.08	04/18/2013	379.10	-27.98	-6.87%	S
CELGENE CORP	151020104	GELG	4.00	02/08/2013	399.32	03/22/2013	448.75	49.43	12.38%	S
CELGENE CORP	151020104	CELG	3.00	02/08/2013	299.49	05/10/2013	374.96	75.47	25.20%	S
CENTER COAST MLP FOCUS FUND CLASS A	461418584	MFLRAB	277.78	10/11/2011	2,546.93	03/22/2013	3,049.98	503.05	19.75%	L
CENTER COAST MLP FOCUS FUND CLASS A	461418584	MFLRAB	461.53	10/11/2011	4,231.79	05/10/2013	5,178.40	946.61	22.37%	L
CENTER COAST MLP FOCUS FUND CLASS A	461418584	MFLRAB	2,251.58	10/11/2011	20,644.74	06/21/2013	24,429.64	3,784.90	18.33%	L
CHENIERE ENERGY INC NEW	16411R208	LNG	55.00	04/04/2012	865.81	03/22/2013	1,440.61	574.80	66.39%	S
CHENIERE ENERGY INC NEW	16411R208	LNG	8.00	07/19/2012	111.17	03/22/2013	209.54	98.37	88.49%	S
CHENIERE ENERGY INC NEW	16411R208	LNG	84.00	07/19/2012	1,168.62	06/13/2013	2,292.81	1,124.19	96.20%	S
CHENIERE ENERGY INC NEW	16411R208	LNG	49.00	05/10/2013	1,415.12	06/13/2013	1,337.48	-77.64	-5.49%	S
CHICAGO BRIDGE & IRON NV EUR	167250109	CBI	9.00	01/24/2013	452.58	03/22/2013	516.32	63.74	14.08%	S
CHUBB CORP	171232101	CB	13.00	10/21/2011	888.35	03/11/2013	1,111.28	222.93	25.09%	L
CHUBB CORP	171232101	CB	15.00	10/25/2011	1,018.45	03/11/2013	1,282.25	263.80	25.90%	L
CHUBB CORP	171232101	CB	6.00	10/27/2011	415.90	03/11/2013	512.90	97.00	23.32%	L
CHUBB CORP	171232101	CB	1.00	10/27/2011	69.31	03/22/2013	86.01	16.70	24.09%	L
CHUBB CORP	171232101	CB	19.00	10/27/2011	1,317.01	03/26/2013	1,645.93	328.92	24.97%	L
CHUBB CORP	171232101	CB	11.00	07/12/2012	776.49	03/26/2013	952.91	176.42	22.72%	S
CLEAN HARBORS INC	184496107	CLH	34.00	10/11/2011	1,773.78	05/10/2013	1,878.61	104.83	5.91%	L
CLEAN HARBORS INC	184496107	CLH	26.00	10/11/2011	1,356.42	06/20/2013	1,376.19	19.77	1.46%	L



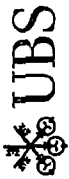
Realized gain/loss - from 12/01/2012 to 11/30/2013 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
184496107	CLH	24.00	07/12/2012	1,339.07	06/20/2013	1,270.33	-68.74	-5.13%	S
184496107	CLH	40.00	07/12/2012	2,231.77	06/26/2013	2,056.03	-175.74	-7.87%	S
184496107	CLH	12.00	03/22/2013	684.96	06/26/2013	616.81	-68.15	-9.95%	S
81369Y407	XLY	163.00	12/07/2012	7,713.13	12/28/2012	7,619.87	-93.26	-1.21%	S
81369Y407	XLY	98.00	12/10/2012	4,637.93	12/28/2012	4,581.27	-56.66	-1.22%	S
81369Y407	XLY	151.00	04/25/2013	8,242.56	06/05/2013	8,358.75	116.19	1.41%	S
81369Y407	XLY	140.00	05/09/2013	7,897.62	06/05/2013	7,749.83	-147.79	-1.87%	S
81369Y407	XLY	134.00	07/08/2013	7,804.09	08/15/2013	7,824.66	20.57	0.26%	S
81369Y407	XLY	133.00	07/10/2013	7,766.43	08/15/2013	7,766.27	-0.16	0.00%	S
81369Y308	XLP	423.00	11/29/2012	15,148.77	12/19/2012	15,172.67	23.90	0.16%	S
81369Y308	XLP	8.00	11/29/2012	286.50	12/26/2012	278.19	-8.31	-2.90%	S
81369Y308	XLP	210.00	12/10/2012	7,600.59	12/26/2012	7,302.52	-298.07	-3.92%	S
81369Y308	XLP	197.00	04/24/2013	8,084.96	05/09/2013	8,097.41	12.45	0.15%	S
225447101	CREE	32.00	04/13/2012	1,014.38	03/22/2013	1,747.48	733.10	72.27%	S
225447101	CREE	24.00	04/13/2012	760.79	04/17/2013	1,295.44	534.65	70.28%	L
225447101	CREE	7.00	04/13/2012	221.90	05/10/2013	426.18	204.28	92.06%	L
225447101	CREE	6.00	05/16/2012	189.94	05/10/2013	365.29	175.35	92.32%	S
225447101	CREE	12.00	05/16/2012	379.89	10/07/2013	866.50	486.61	128.09%	L
225447101	CREE	17.00	05/16/2012	538.18	10/09/2013	1,173.99	635.81	118.14%	L
23331A109	DHI	4.00	12/13/2011	51.44	03/22/2013	99.92	48.48	94.25%	L
23331A109	DHI	26.00	12/16/2011	311.97	03/22/2013	649.46	337.49	108.18%	L
23331A109	DHI	16.00	12/16/2011	191.98	06/05/2013	358.85	166.87	86.92%	L
23331A109	DHI	45.00	12/20/2011	558.36	06/05/2013	1,009.25	450.89	80.75%	L
23331A109	DHI	29.00	12/21/2011	368.88	06/05/2013	650.41	281.53	76.32%	L
23331A109	DHI	20.00	01/05/2012	266.76	06/05/2013	448.56	181.80	68.15%	L
23331A109	DHI	25.00	03/09/2012	386.25	06/05/2013	560.70	174.45	45.17%	L
23331A109	DHI	27.00	05/10/2013	726.84	06/05/2013	605.55	-121.29	-16.69%	S
254709108	DFS	13.00	10/11/2011	322.24	04/17/2013	552.27	230.03	71.38%	L



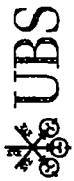
Realized gain/loss - from 12/01/2012 to 11/30/2013 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
DISCOVER FINANCIAL SERVICES	254709108	DFS	31.00	10/11/2011	768.41	04/25/2013	1,369.25	600.84	78.19%	L
DISCOVER FINANCIAL SERVICES	254709108	DFS	9.00	10/11/2011	223.08	05/10/2013	408.35	185.27	83.05%	L
EBAY INC	278642103	EBAY	16.00	10/11/2011	526.71	03/22/2013	849.26	322.55	61.24%	L
EBAY INC	278642103	EBAY	8.00	10/11/2011	263.35	05/10/2013	444.10	180.75	68.63%	L
EBAY INC	278642103	EBAY	23.00	10/11/2011	757.14	10/09/2013	1,204.17	447.03	59.04%	L
ELAN CORP PLC **MERGER-EFF-12/2013** SPON ADR	284131208	ELN	111.00	08/07/2012	1,159.41	02/07/2013	1,086.37	-73.04	-6.30%	S
ENERGY SECTOR SPDR TRUST SHARES	81369Y506	XLE	92.00	09/12/2013	7,751.34	10/03/2013	7,618.14	-133.20	-1.72%	S
ENERGY XXI LTD	G10082140	EXXI	68.00	09/12/2012	2,434.89	10/18/2013	2,185.66	-249.23	-10.24%	L
ENERGY XXI LTD	G10082140	EXXI	63.00	09/17/2012	2,343.73	10/18/2013	2,024.95	-318.78	-13.60%	L
ENERGY XXI LTD	G10082140	EXXI	42.00	02/06/2013	1,340.06	10/18/2013	1,349.96	9.90	0.74%	S
ENERGY XXI LTD	G10082140	EXXI	8.00	03/22/2013	228.48	10/18/2013	257.14	28.66	12.54%	S
EOG RESOURCES INC	26875P101	EOG	1.00	08/08/2012	108.20	03/22/2013	124.38	16.18	14.95%	S
EOG RESOURCES INC	26875P101	EOG	3.00	08/08/2012	324.61	05/10/2013	395.12	70.51	21.72%	S
FACEBOOK INC CL A	30303M102	FB	128.00	04/17/2013	3,436.26	10/28/2013	6,527.21	3,090.95	89.95%	S
FINANCIAL SECTOR SPDR TRUST ETF	81369Y605	XLF	7.00	12/19/2012	115.92	01/16/2013	119.97	4.05	3.49%	S
FINANCIAL SECTOR SPDR TRUST ETF	81369Y605	XLF	31.00	12/19/2012	513.36	03/22/2013	561.71	48.35	9.42%	S
FINANCIAL SECTOR SPDR TRUST ETF	81369Y605	XLF	434.00	12/19/2012	7,187.04	04/05/2013	7,755.84	568.80	7.91%	S
FINANCIAL SECTOR SPDR TRUST ETF	81369Y605	XLF	238.00	12/26/2012	3,889.59	04/05/2013	4,253.21	363.62	9.35%	S
FINANCIAL SECTOR SPDR TRUST ETF	81369Y605	XLF	234.00	01/09/2013	3,948.75	04/05/2013	4,181.72	232.97	5.90%	S
FINANCIAL SECTOR SPDR TRUST ETF	81369Y605	XLF	426.00	05/09/2013	8,194.11	06/13/2013	8,300.34	106.23	1.30%	S
FINANCIAL SECTOR SPDR TRUST ETF	81369Y605	XLF	429.00	05/10/2013	8,226.08	06/13/2013	8,358.79	132.71	1.61%	S
FINANCIAL SECTOR SPDR TRUST ETF	81369Y605	XLF	388.00	07/09/2013	7,773.31	08/07/2013	7,915.49	142.18	1.83%	S
FINANCIAL SECTOR SPDR TRUST ETF	81369Y605	XLF	4.00	07/11/2013	80.49	08/07/2013	81.60	1.11	1.38%	S
FINANCIAL SECTOR SPDR TRUST ETF	81369Y605	XLF	388.00	07/11/2013	7,807.84	08/12/2013	7,893.02	85.18	1.09%	S
FIRST EAGLE GLOBAL FUND CLASS A	32008F507	MFHSSG	530.33	10/11/2011	24,098.15	03/22/2013	26,914.21	2,816.06	11.69%	L
FIRST EAGLE GLOBAL FUND CLASS A	32008F507	MFHSSG	137.97	10/11/2011	6,269.40	05/10/2013	7,232.42	963.02	15.36%	L
FIRST EAGLE GLOBAL FUND CLASS A	32008F507	MFHSSG	20.40	10/11/2011	926.98	06/21/2013	1,027.32	100.34	10.82%	L
FRANKLIN/TEMPLETON GLOBAL BOND FUND CLASS A	880208103	MFLIF	496.06	10/11/2011	6,399.14	05/10/2013	6,840.62	441.48	6.90%	L



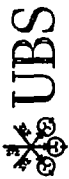
Realized gain/loss - from 12/01/2012 to 11/30/2013 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
35671D857	FCX	42.00	12/12/2012	1,350.08	04/05/2013	1,315.19	-34.89	-2.58%	S
35671D857	FCX	112.00	12/12/2012	3,604.84	04/17/2013	3,140.63	-464.21	-12.88%	S
35671D857	FCX	2.00	03/22/2013	67.98	04/17/2013	56.08	-11.90	-17.51%	S
36191G107	GNC	27.00	05/23/2012	999.03	05/10/2013	1,230.82	231.79	23.20%	S
78355W106	RSP	26.00	12/10/2012	1,374.98	03/22/2013	1,532.24	157.26	11.44%	S
78355W106	RSP	267.00	12/10/2012	14,119.97	04/17/2013	15,585.53	1,465.56	10.38%	S
78355W106	RSP	290.00	01/03/2013	15,883.16	04/17/2013	16,928.11	1,044.95	6.58%	S
78355W106	RSP	209.00	05/30/2013	13,225.81	06/05/2013	12,860.64	-365.17	-2.76%	S
78355W106	RSP	236.00	09/16/2013	15,594.41	10/08/2013	15,211.73	-382.68	-2.45%	S
81369Y209	XLV	170.00	04/24/2013	8,105.72	05/08/2013	8,084.10	-21.62	-0.27%	S
81369Y209	XLV	155.00	07/29/2013	7,903.23	08/16/2013	7,674.87	-228.36	-2.89%	S
42805T105	HTZ	76.00	10/11/2011	783.28	03/22/2013	1,605.33	822.05	104.95%	L
42805T105	HTZ	12.00	10/12/2011	128.52	03/22/2013	253.47	124.95	97.22%	L
42805T105	HTZ	43.00	10/12/2011	460.54	10/09/2013	953.01	492.47	106.93%	L
436106108	HFC	4.00	02/27/2013	223.12	05/10/2013	190.63	-32.49	-14.56%	S
436106108	HFC	65.00	02/27/2013	3,625.72	09/27/2013	2,767.77	-857.95	-23.66%	S
436106108	HFC	5.00	03/22/2013	262.45	09/27/2013	212.91	-49.54	-18.88%	S
437076102	HD	1.00	01/09/2012	43.15	05/10/2013	75.76	32.61	75.57%	L
437076102	HD	10.00	01/18/2012	447.07	05/10/2013	757.58	310.51	69.45%	L
437076102	HD	4.00	01/26/2012	178.88	05/10/2013	303.03	124.15	69.40%	L
81369Y704	XLI	15.00	12/19/2012	577.35	03/22/2013	622.64	45.29	7.84%	S
81369Y704	XLI	189.00	12/19/2012	7,274.61	03/25/2013	7,807.57	532.96	7.33%	S
81369Y704	XLI	8.00	12/26/2012	301.75	03/25/2013	330.48	28.73	9.52%	S
81369Y704	XLI	96.00	12/26/2012	3,621.05	04/05/2013	3,908.43	287.38	7.94%	S
81369Y704	XLI	102.00	01/03/2013	3,980.88	04/05/2013	4,152.70	171.82	4.32%	S
81369Y704	XLI	167.00	09/16/2013	7,830.55	10/08/2013	7,628.76	-201.79	-2.58%	S
457187102	INGR	1.00	08/14/2012	52.92	03/22/2013	69.84	16.92	31.97%	S
457187102	INGR	1.00	08/14/2012	52.93	05/10/2013	70.71	17.78	33.59%	S



Realized gain/loss - from 12/01/2012 to 11/30/2013 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
457187102	INGR	26.00	08/14/2012	1,376.04	08/28/2013	1,613.31	237.27	17.24%	L
457187102	INGR	16.00	08/14/2012	846.80	09/20/2013	1,069.99	223.19	26.36%	L
457187102	INGR	18.00	11/05/2012	1,112.62	09/20/2013	1,203.73	91.11	8.19%	S
457187102	INGR	20.00	12/21/2012	1,317.91	09/20/2013	1,337.49	19.58	1.49%	S
06738C786	OIL	45.00	07/11/2013	1,100.95	09/16/2013	1,137.60	36.65	3.33%	S
06738C786	OIL	60.00	07/11/2013	1,467.93	10/11/2013	1,446.05	-21.88	-1.49%	S
06738C786	OIL	52.00	07/23/2013	1,302.01	10/11/2013	1,253.25	-48.76	-3.74%	S
06738C786	OIL	3.00	08/14/2013	75.23	10/11/2013	72.30	-2.93	-3.89%	S
06738C786	OIL	49.00	08/14/2013	1,228.78	11/25/2013	1,078.14	-150.64	-12.26%	S
06738C786	OIL	13.00	08/19/2013	328.92	11/25/2013	286.04	-42.88	-13.04%	S
464287432	TLT	5.00	08/28/2013	526.47	10/09/2013	528.55	2.08	0.40%	S
464285105	IAU	692.00	10/08/2012	11,928.43	03/22/2013	10,818.14	-1,110.29	-9.31%	S
464285105	IAU	4,398.00	10/08/2012	75,811.01	06/21/2013	55,249.80	-20,561.21	-27.12%	S
464285105	IAU	30.00	10/24/2012	496.69	06/21/2013	376.87	-119.82	-24.12%	S
464298663	HDV	119.00	03/25/2013	7,675.83	05/09/2013	8,100.83	425.00	5.54%	S
464298663	HDV	9.00	03/25/2013	580.53	05/21/2013	621.20	40.67	7.01%	S
464298663	HDV	111.00	04/12/2013	7,454.66	05/21/2013	7,661.53	206.87	2.78%	S
464298663	HDV	21.00	04/12/2013	1,410.34	05/30/2013	1,430.66	20.32	1.44%	S
464298663	HDV	100.00	04/24/2013	6,785.97	05/30/2013	6,812.64	26.67	0.39%	S
464287242	LQD	66.00	05/02/2013	8,070.32	05/10/2013	7,936.69	-133.63	-1.66%	S
464287465	EFA	5.00	12/07/2012	276.92	01/14/2013	290.36	13.44	4.85%	S
464287465	EFA	134.00	12/07/2012	7,421.48	02/21/2013	7,733.43	311.95	4.20%	S
464287465	EFA	280.00	12/10/2012	15,531.74	02/21/2013	16,159.42	627.68	4.04%	S
464287465	EFA	133.00	04/25/2013	8,134.31	05/30/2013	8,146.36	12.05	0.15%	S
464287465	EFA	78.00	05/02/2013	4,811.40	05/30/2013	4,777.57	-33.83	-0.70%	S
464287465	EFA	124.00	09/12/2013	7,773.09	10/09/2013	7,774.07	0.98	0.01%	S
464287465	EFA	122.00	09/16/2013	7,741.19	10/09/2013	7,648.68	-92.51	-1.20%	S
464287234	EEM	177.00	12/10/2012	7,618.52	01/25/2013	7,779.05	160.53	2.11%	S



Realized gain/loss - from 12/01/2012 to 11/30/2013 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
464287234	EEM	184.00	12/10/2012	7,919.82	01/28/2013	8,066.29	146.47	1.85%	S
464287234	EEM	106.00	10/22/2013	4,637.61	11/01/2013	4,525.76	-111.85	-2.41%	S
464286848	EWJ	826.00	11/29/2012	7,705.01	12/13/2012	7,711.12	6.11	0.08%	S
464286848	EWJ	26.00	11/29/2012	242.53	01/14/2013	257.91	15.38	6.34%	S
464286848	EWJ	805.00	11/29/2012	7,509.12	01/17/2013	7,876.91	367.79	4.90%	S
464286848	EWJ	354.00	04/24/2013	4,081.97	05/23/2013	4,006.08	-75.89	-1.86%	S
464286848	EWJ	353.00	04/25/2013	4,089.43	05/23/2013	3,994.76	-94.67	-2.31%	S
464287614	IWF	1,305.00	10/08/2012	87,760.21	06/21/2013	93,420.98	5,660.77	6.45%	S
464287614	IWF	8.00	10/16/2012	536.64	06/21/2013	572.69	36.05	6.72%	S
464287614	IWF	320.00	03/25/2013	22,674.08	06/21/2013	22,907.83	233.75	1.03%	S
464287614	IWF	200.00	09/12/2013	15,587.92	10/08/2013	15,368.13	-219.79	-1.41%	S
464287655	IWM	55.00	01/03/2013	4,789.37	04/08/2013	5,039.71	250.34	5.23%	S
464287655	IWM	78.00	07/08/2013	7,813.94	08/15/2013	7,963.81	149.87	1.92%	S
464287655	IWM	77.00	07/10/2013	7,776.72	08/15/2013	7,861.70	84.98	1.09%	S
464287655	IWM	139.00	10/22/2013	15,411.56	11/01/2013	15,208.54	-203.02	-1.32%	S
464287648	IWO	80.00	01/17/2013	8,017.90	04/08/2013	8,323.50	305.60	3.81%	S
464287648	IWO	67.00	07/09/2013	7,809.30	08/16/2013	7,931.70	122.40	1.57%	S
464287630	IWN	88.00	07/10/2013	7,820.19	08/07/2013	7,981.03	160.84	2.06%	S
464287101	OEF	209.00	08/07/2013	15,849.03	08/15/2013	15,611.82	-237.21	-1.50%	S
464287572	IOO	121.00	01/25/2013	8,106.13	02/21/2013	8,006.39	-99.74	-1.23%	S
464287887	IJT	147.00	09/13/2013	15,635.11	10/09/2013	15,503.76	-131.35	-0.84%	S
464287176	TIP	1.00	01/30/2013	120.38	03/22/2013	120.70	0.32	0.27%	S
464287176	TIP	21.00	01/30/2013	2,527.87	04/25/2013	2,562.49	34.62	1.37%	S
464287200	IVV	103.00	09/12/2013	17,450.43	10/08/2013	17,229.01	-221.42	-1.27%	S
464287200	IVV	80.00	09/12/2013	13,611.81	10/09/2013	13,285.78	-326.03	-2.40%	S
464287200	IVV	26.00	09/16/2013	4,539.27	10/09/2013	4,317.88	-221.39	-4.88%	S
464288828	IHF	54.00	07/11/2013	4,680.53	08/15/2013	4,672.13	-8.40	-0.18%	S
464287739	IYR	112.00	04/25/2013	8,140.20	05/28/2013	8,082.05	-58.15	-0.71%	S



Realized gain/loss - from 12/01/2012 to 11/30/2013 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
485170302	KSU	3.00	03/26/2013	324.22	05/10/2013	328.15	3.93	1.21%	S
493267108	KEY	128.00	06/19/2012	978.61	12/12/2012	1,059.73	81.12	8.29%	S
493267108	KEY	108.00	07/12/2012	807.46	12/12/2012	894.14	86.68	10.73%	S
49455U100	KMR	0.07	10/11/2011	3.75	02/14/2013	5.44	1.69	45.07%	L
49455U100	KMR	1.00	10/11/2011	56.83	03/22/2013	85.34	28.51	50.17%	L
49455U100	KMR	1.00	10/11/2011	56.01	05/10/2013	85.76	29.75	53.12%	L
49455U100	KMR	0.00	10/11/2011	0.25	05/15/2013	0.38	0.13	52.00%	L
49455U100	KMR	0.07	10/11/2011	3.73	08/14/2013	5.44	1.71	45.84%	L
49455U100	KMR	0.22	10/11/2011	11.66	11/14/2013	16.25	4.59	39.37%	L
526057104	LEN	7.00	12/21/2011	139.99	03/22/2013	295.95	155.96	111.41%	L
526057104	LEN	1.00	12/21/2011	20.00	05/10/2013	42.45	22.45	112.25%	L
526057104	LEN	5.00	12/21/2011	100.00	06/20/2013	176.71	76.71	76.71%	L
526057104	LEN	34.00	01/05/2012	704.10	06/20/2013	1,201.65	497.55	70.66%	L
526057104	LEN	27.00	02/17/2012	626.37	06/20/2013	954.26	327.89	52.35%	L
526057104	LEN	16.00	05/16/2012	473.31	06/20/2013	565.48	92.17	19.47%	L
526057104	LEN	45.00	09/24/2012	1,652.13	06/20/2013	1,590.42	-61.71	-3.74%	S
532457108	LLY	13.00	07/18/2012	580.09	03/22/2013	721.22	141.13	24.33%	S
532457108	LLY	36.00	07/18/2012	1,606.39	10/09/2013	1,724.99	118.60	7.38%	L
543487284	MFNVJ	596.32	10/11/2011	8,587.04	05/10/2013	9,773.71	1,186.67	13.82%	L
543487284	MFNVJ	40.74	10/11/2011	586.70	06/21/2013	636.82	50.12	8.54%	L
543916100	MFLALD	277.75	10/11/2011	1,247.12	05/10/2013	1,291.55	44.43	3.56%	L
543916100	MFLALD	651.41	10/11/2011	2,924.82	06/21/2013	2,976.94	52.12	1.78%	L
544147101	LO	15.00	10/11/2011	591.70	01/23/2013	589.00	-2.70	-0.46%	L
544147101	LO	3.00	10/11/2011	118.34	01/24/2013	118.24	-0.10	-0.08%	L
544147101	LO	27.00	04/25/2012	1,157.88	01/24/2013	1,064.12	-93.76	-8.10%	S
544147101	LO	6.00	07/12/2012	273.60	01/24/2013	236.47	-37.13	-13.57%	S
544147101	LO	28.00	06/26/2013	1,217.48	07/25/2013	1,248.20	30.72	2.52%	S



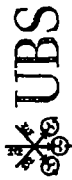
Realized gain/loss - from 12/01/2012 to 11/30/2013 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
LORILLARD INC	544147101	LO	29.00	06/26/2013	1,260.96	07/30/2013	1,255.92	-5.04	-0.40%	S
LYONDELBASSELL INDUSTRIES N V.SHS - A - CL A	N53745100	LYB	4.00	04/17/2012	174.66	03/22/2013	258.50	83.84	48.00%	S
MICROCHIP TECHNOLOGY INC	595017104	MCHP	2.00	10/11/2011	64.88	03/22/2013	71.88	7.00	10.79%	L
MICROCHIP TECHNOLOGY INC	595017104	MCHP	9.00	10/11/2011	291.96	05/10/2013	333.84	41.88	14.34%	L
MORGAN STANLEY	617446448	MS	74.00	07/26/2012	968.87	03/22/2013	1,639.06	670.19	69.17%	S
NORDSTROM INC	655664100	JWN	7.00	10/11/2011	342.58	05/10/2013	412.43	69.85	20.39%	L
NORDSTROM INC	655664100	JWN	36.00	10/11/2011	1,761.84	09/30/2013	2,018.52	256.68	14.57%	L
NORDSTROM INC	655664100	JWN	2.00	10/11/2011	97.88	10/10/2013	113.19	15.31	15.64%	L
NORDSTROM INC	655664100	JWN	15.00	11/14/2011	739.54	10/10/2013	848.96	109.42	14.80%	L
NORDSTROM INC	655664100	JWN	3.00	03/22/2013	159.36	10/10/2013	169.79	10.43	6.54%	S
NORDSTROM INC	655664100	JWN	42.00	04/17/2013	2,323.06	10/10/2013	2,377.06	54.00	2.32%	S
NOVO-NORDISK ADR DENMARK ADR	670100205	NVO	1.00	06/27/2012	139.79	05/10/2013	170.80	31.01	22.18%	S
NOVO-NORDISK ADR DENMARK ADR	670100205	NVO	6.00	06/27/2012	838.77	06/20/2013	931.04	92.27	11.00%	S
NOVO-NORDISK ADR DENMARK ADR	670100205	NVO	7.00	07/11/2012	1,021.17	06/20/2013	1,086.22	65.05	6.37%	S
NOVO-NORDISK ADR DENMARK ADR	670100205	NVO	2.00	07/12/2012	291.90	06/20/2013	310.35	18.45	6.32%	S
OCWEN FINANCIAL CORP-NEW	675746309	OCN	31.00	10/16/2012	1,117.62	05/10/2013	1,303.52	185.90	16.63%	S
OMNICARE INC	681904108	OCR	20.00	10/11/2011	527.60	02/28/2013	742.95	215.35	40.82%	L
OMNICARE INC	681904108	OCR	34.00	10/11/2011	899.08	02/28/2013	1,263.03	363.95	40.48%	L
OMNICARE INC	681904108	OCR	23.00	12/05/2011	776.23	02/28/2013	854.40	78.17	10.07%	L
OMNICARE INC	681904108	OCR	9.00	12/16/2011	304.44	02/28/2013	334.33	29.89	9.82%	L
OMNICARE INC	681904108	OCR	41.00	07/12/2012	1,301.75	02/28/2013	1,523.06	221.31	17.00%	S
OPPENHEIMER DEVELOPING MARKETS FUND CL A	683974109	MFOPDH	1,166.16	10/11/2011	35,334.61	03/22/2013	40,722.27	5,387.66	15.25%	L
OPPENHEIMER DEVELOPING MARKETS FUND CL A	683974109	MFOPDH	24.56	12/12/2011	734.69	03/22/2013	857.46	122.77	16.71%	L
OPPENHEIMER DEVELOPING MARKETS FUND CL A	683974109	MFOPDH	56.17	07/12/2012	1,732.97	03/22/2013	1,961.60	228.63	13.19%	S
OPPENHEIMER DEVELOPING MARKETS FUND CL A	683974109	MFOPDH	69.90	07/12/2012	2,156.32	05/10/2013	2,549.85	393.53	18.25%	S
OPPENHEIMER SENIOR-FLOATING RATE FUND CLASS A	68381K101	MFOPSF	167.72	10/11/2011	1,321.62	05/10/2013	1,415.55	93.93	7.11%	L
OPPENHEIMER SENIOR-FLOATING RATE FUND CLASS A	68381K101	MFOPSF	344.77	10/11/2011	2,716.77	06/21/2013	2,885.71	168.94	6.22%	L
PENTAIR LTD	H6169Q108	PNR	3.84	10/11/2011	124.39	03/22/2013	205.23	80.84	64.99%	L



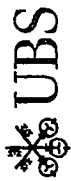
Realized gain/loss - from 12/01/2012 to 11/30/2013 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
H6169Q108	PNR	2.16	07/12/2012	81.64	03/22/2013	115.40	33.76	41.35%	S
714290103	PERRIGO CO **MERGER-EFF-12/2013**	30.00	10/11/2011	2,955.60	01/30/2013	2,995.26	39.66	1.34%	L
714290103	PERRIGO CO **MERGER-EFF-12/2013**	1.00	05/09/2012	99.44	01/30/2013	99.84	0.40	0.40%	S
714290103	PERRIGO CO **MERGER-EFF-12/2013**	5.00	07/12/2012	564.40	01/30/2013	499.21	-65.19	-11.55%	S
717081103	PFEZER INC	19.00	07/19/2012	450.39	03/22/2013	537.88	87.49	19.43%	S
718172109	PHILIP MORRIS INTL INC	11.00	07/05/2012	980.09	05/10/2013	1,030.79	50.70	5.17%	S
718172109	PHILIP MORRIS INTL INC	8.00	07/11/2012	726.77	05/10/2013	749.66	22.89	3.15%	S
718172109	PHILIP MORRIS INTL INC	3.00	07/11/2012	272.54	08/28/2013	249.52	-23.02	-8.45%	L
718172109	PHILIP MORRIS INTL INC	2.00	07/12/2012	180.76	08/28/2013	166.34	-14.42	-7.98%	L
718172109	PHILIP MORRIS INTL INC	2.00	07/12/2012	180.76	08/29/2013	166.49	-14.27	-7.89%	L
718172109	PHILIP MORRIS INTL INC	26.00	07/19/2012	2,347.60	08/29/2013	2,164.37	-183.23	-7.80%	L
718172109	PHILIP MORRIS INTL INC	5.00	03/22/2013	458.15	08/29/2013	416.22	-41.93	-9.15%	S
72201R882	PIMCO 25+ YR ZERO CPN US TREAS INDEX EXCHANGE-TRADED FD	12.00	10/23/2012	1,336.08	12/18/2012	1,319.07	-17.01	-1.27%	S
72201R882	PIMCO 25+ YR ZERO CPN US TREAS INDEX EXCHANGE-TRADED FD	10.00	10/23/2012	1,113.40	12/19/2012	1,097.59	-15.81	-1.42%	S
72201R882	PIMCO 25+ YR ZERO CPN US TREAS INDEX EXCHANGE-TRADED FD	1.00	11/08/2012	113.66	12/19/2012	109.76	-3.90	-3.43%	S
72201R882	PIMCO 25+ YR ZERO CPN US TREAS INDEX EXCHANGE-TRADED FD	11.00	11/08/2012	1,250.26	01/30/2013	1,127.69	-122.57	-9.80%	S
72201R882	PIMCO 25+ YR ZERO CPN US TREAS INDEX EXCHANGE-TRADED FD	14.00	07/11/2013	1,274.00	08/14/2013	1,217.29	-56.71	-4.45%	S
72201R882	PIMCO 25+ YR ZERO CPN US TREAS INDEX EXCHANGE-TRADED FD	14.00	07/11/2013	1,274.00	08/19/2013	1,165.62	-108.38	-8.51%	S
72201R882	PIMCO 25+ YR ZERO CPN US TREAS INDEX EXCHANGE-TRADED FD	30.00	09/24/2013	2,700.30	10/09/2013	2,623.15	-77.15	-2.86%	S
72200Q232	PIMCO ALL ASSETS ALL AUTH-A	1,534.58	10/11/2011	15,591.32	03/22/2013	16,757.59	1,166.27	7.48%	L
72200Q232	PIMCO ALL ASSETS ALL AUTH-A	428.04	10/11/2011	4,348.84	05/10/2013	4,742.64	393.80	9.06%	L
729251108	PLUM CREEK TIMBER CO INC REIT	8.00	09/13/2012	337.33	03/22/2013	403.59	66.26	19.64%	S
729251108	PLUM CREEK TIMBER CO INC REIT	30.00	09/13/2012	1,265.00	08/28/2013	1,327.78	62.78	4.96%	S
729251108	PLUM CREEK TIMBER CO INC REIT	47.00	09/13/2012	1,981.82	09/16/2013	2,188.94	207.12	10.45%	L
729251108	PLUM CREEK TIMBER CO INC REIT	7.00	05/10/2013	365.96	09/16/2013	326.01	-39.95	-10.92%	S



Realized gain/loss - from 12/01/2012 to 11/30/2013 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
POWERSHARES DB US DLR INDEX TRUST BULLISH FUND	73936D107	UUP	341.00	07/08/2013	7,794.03	07/17/2013	7,631.28	-162.75	-2.09%	S
POWERSHARES ETF TR II S&P500 ETF	73937B779	SPLV	9.00	03/04/2013	268.52	03/22/2013	273.80	5.28	1.97%	S
POWERSHARES ETF TR II S&P500 ETF	73937B779	SPLV	250.00	03/04/2013	7,458.88	05/08/2013	8,028.59	569.71	7.64%	S
POWERSHARES ETF TR II S&P500 ETF	73937B779	SPLV	155.00	03/04/2013	4,624.50	05/09/2013	4,951.32	326.82	7.07%	S
POWERSHARES ETF TR II S&P500 ETF	73937B779	SPLV	100.00	04/12/2013	3,177.59	05/09/2013	3,194.40	16.81	0.53%	S
POWERSHARES ETF TR II S&P500 ETF	73937B779	SPLV	19.00	04/12/2013	603.74	05/21/2013	614.83	11.09	1.84%	S
POWERSHARES ETF TR II S&P500 ETF	73937B779	SPLV	234.00	04/24/2013	7,487.23	05/21/2013	7,572.07	84.84	1.13%	S
POWERSHARES ETF TR II S&P500 ETF	73937B779	SPLV	6.00	04/24/2013	191.98	05/28/2013	191.18	-0.80	-0.42%	S
POWERSHARES ETF TR II S&P500 ETF	73937B779	SPLV	253.00	04/25/2013	8,103.84	05/28/2013	8,061.30	-42.54	-0.52%	S
POWERSHARES QQQ TRUST ETF SER 1	73935A104	QQQ	118.00	01/03/2013	7,930.83	02/26/2013	7,809.47	-121.36	-1.53%	S
POWERSHARES QQQ TRUST ETF SER 1	73935A104	QQQ	119.00	04/12/2013	8,288.11	04/18/2013	8,030.71	-257.40	-3.11%	S
POWERSHARES QQQ TRUST ETF SER 1	73935A104	QQQ	226.00	05/21/2013	16,782.71	06/06/2013	16,239.87	-542.84	-3.23%	S
POWERSHARES QQQ TRUST ETF SER 1	73935A104	QQQ	108.00	05/28/2013	8,016.29	06/06/2013	7,760.65	-255.64	-3.19%	S
POWERSHARES QQQ TRUST ETF SER 1	73935A104	QQQ	212.00	07/11/2013	15,820.86	08/19/2013	16,024.23	203.37	1.29%	S
POWERSHARES QQQ TRUST ETF SER 1	73935A104	QQQ	103.00	07/17/2013	7,789.06	08/19/2013	7,785.36	-3.70	-0.05%	S
POWERSHARES QQQ TRUST ETF SER 1	73935A104	QQQ	99.00	08/12/2013	7,586.66	08/19/2013	7,483.01	-103.65	-1.37%	S
POWERSHARES QQQ TRUST ETF SER 1	73935A104	QQQ	197.00	10/03/2013	15,512.51	10/09/2013	15,086.75	-425.76	-2.74%	S
PROSHARES TR ULTRASHORT QQQ ETF	74347X237	QID	72.00	10/09/2013	1,430.68	10/16/2013	1,311.71	-118.97	-8.32%	S
PROSHARES TR ULTRASHORT QQQ ETF	74347X237	QID	59.00	10/09/2013	1,172.37	11/11/2013	1,016.79	-155.58	-13.27%	S
PROSHARES TR ULTRA SHORT RUSSELL 2000 ETF	74348A202	TWM	17.00	06/01/2012	297.74	05/20/2013	297.74	0.00	0.00%	S
PROSHARES TR ULTRA SHORT RUSSELL 2000 ETF	74348A202	TWM	27.00	07/12/2012	556.73	05/20/2013	472.88	-83.85	-15.06%	S
PROSHARES TR ULTRA SHORT RUSSELL 2000 ETF	74348A202	TWM	40.00	11/08/2012	1,153.14	05/20/2013	700.57	-452.57	-39.25%	S
PROSHARES TR ULTRA SHORT RUSSELL 2000 ETF	74348A202	TWM	78.00	11/12/2012	2,284.03	05/20/2013	1,366.10	-917.93	-40.19%	S
PROSHARES TR ULTRA SHORT RUSSELL 2000 ETF	74348A202	TWM	1.00	11/12/2012	29.28	06/20/2013	18.68	-10.60	-36.20%	S
PROSHARES TR ULTRA SHORT RUSSELL 2000 ETF	74348A202	TWM	64.00	02/21/2013	1,388.07	06/20/2013	1,195.55	-192.52	-13.87%	S
PROSHARES TR ULTRA SHORT RUSSELL 2000 ETF	74348A202	TWM	32.00	03/22/2013	637.01	06/20/2013	597.78	-39.23	-6.16%	S
PROSHARES TR ULTRA SHORT RUSSELL 2000 ETF	74348A202	TWM	89.00	04/05/2013	1,903.50	06/20/2013	1,662.56	-240.94	-12.66%	S



Realized gain/loss - from 12/01/2012 to 11/30/2013 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
74348A202	TWM	39.00	05/10/2013	1,362.66	06/20/2013	728.54	-634.12 ws10	-46.54%	S
74347X575	EEV	98.00	06/12/2013	2,458.41	07/23/2013	2,318.34	-140.07 ws11	-5.70%	S
74347X575	EEV	14.00	06/13/2013	364.46	07/23/2013	331.19	-33.27	-9.13%	S
74347X575	EEV	60.00	06/13/2013	1,274.70	09/16/2013	1,274.70	0.00 ws12	0.00%	S
74347X575	EEV	17.00	06/13/2013	353.45	09/24/2013	353.45	0.00 ws13	0.00%	S
74347X575	EEV	47.00	06/21/2013	1,305.89	09/24/2013	977.17	-328.72 ws14	-25.17%	S
74347X575	EEV	38.00	08/22/2013	1,069.90	09/24/2013	790.05	-279.85 ws15	-26.16%	S
74347X575	EEV	20.00	08/28/2013	528.72	09/24/2013	415.82	-112.90	-21.35%	S
74347X575	EEV	83.00	08/28/2013	2,618.70	10/02/2013	1,776.59	-842.11 ws16	-32.16%	S
74347B201	TBT	35.00	06/20/2013	2,556.03	07/11/2013	2,648.36	92.33	3.61%	S
74347B201	TBT	18.00	06/21/2013	1,313.81	07/11/2013	1,362.02	48.21	3.67%	S
74347B300	SDS	24.00	11/15/2012	1,458.51	12/18/2012	1,277.48	-181.03	-12.41%	S
74347B300	SDS	14.00	11/15/2012	850.80	12/19/2012	739.84	-110.96	-13.04%	S
74347B300	SDS	29.00	06/21/2013	1,153.96	07/01/2013	1,153.96	0.00 ws17	0.00%	S
74347B300	SDS	26.00	06/24/2013	1,115.89	07/01/2013	1,034.58	-81.31	-7.29%	S
74347B300	SDS	43.00	06/24/2013	1,489.13	09/19/2013	1,489.13	0.00 ws18	0.00%	S
74347B300	SDS	19.00	06/24/2013	863.56	10/16/2013	662.92	-200.64 ws19	-23.23%	S
74347B300	SDS	67.00	10/09/2013	2,562.13	10/16/2013	2,337.67	-224.46 ws20	-8.76%	S
74347B300	SDS	39.00	10/09/2013	1,820.66	10/21/2013	1,317.79	-502.87 ws21	-27.62%	S
G72800108	PRTA	0.71	08/07/2012	5.30	12/21/2012	5.25	-0.05	-0.94%	S
G72800108	PRTA	2.00	08/07/2012	14.99	01/02/2013	13.96	-1.03	-6.87%	S
693656100	PVH	31.00	10/11/2011	1,974.08	04/05/2013	3,241.35	1,267.27	64.20%	L
693656100	PVH	6.00	11/04/2011	436.85	04/05/2013	627.36	190.51	43.61%	L
693656100	PVH	1.00	07/12/2012	73.57	04/05/2013	104.56	30.99	42.12%	S
693656100	PVH	1.00	03/22/2013	112.57	04/05/2013	104.56	-8.01	-7.12%	S



Realized gain/loss - from 12/01/2012 to 11/30/2013 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
QUESTAR CORP	748356102	STR	6.00	10/11/2011	114.64	03/22/2013	143.15	28.51	24.87%	L
QUESTAR CORP	748356102	STR	73.00	10/11/2011	1,394.76	08/28/2013	1,616.79	222.03	15.92%	L
QUESTAR CORP	748356102	STR	46.00	10/11/2011	878.89	09/13/2013	1,013.29	134.40	15.29%	L
QUESTAR CORP	748356102	STR	12.00	06/26/2012	248.14	09/13/2013	264.34	16.20	6.53%	L
QUESTAR CORP	748356102	STR	44.00	06/26/2012	909.86	09/18/2013	964.08	54.22	5.96%	L
QUESTAR CORP	748356102	STR	31.00	07/12/2012	641.28	09/18/2013	679.24	37.96	5.92%	L
QUESTAR CORP	748356102	STR	8.00	05/10/2013	201.20	09/18/2013	175.29	-25.91	-12.88%	S
REGENERON PHARMACEUTICALS INC	75886F107	REGN	10.00	11/14/2012	1,484.23	05/10/2013	2,675.44	1,191.21	80.26%	S
ROBERT HALF INTL INC	770323103	RHI	43.00	10/11/2011	1,014.24	02/12/2013	1,517.76	503.52	49.65%	L
ROBERT HALF INTL INC	770323103	RHI	6.00	10/11/2011	141.52	03/22/2013	218.63	77.11	54.49%	L
ROBERT HALF INTL INC	770323103	RHI	39.00	10/11/2011	919.90	04/25/2013	1,277.79	357.89	38.91%	L
ROBERT HALF INTL INC	770323103	RHI	86.00	10/11/2011	2,028.48	05/03/2013	2,814.55	786.07	38.75%	L
ROBERT HALF INTL INC	770323103	RHI	17.00	07/12/2012	469.84	05/03/2013	556.36	86.52	18.41%	S
ROPER INDS INC NEW	776696106	ROP	4.00	10/11/2011	305.00	03/22/2013	499.31	194.31	63.71%	L
ROPER INDS INC NEW	776696106	ROP	21.00	10/11/2011	1,601.25	08/22/2013	2,624.74	1,023.49	63.92%	L
ROPER INDS INC NEW	776696106	ROP	6.00	05/10/2013	729.15	08/22/2013	749.93	20.78	2.85%	S
SCOUT MID CAP FUND	81063U206	MFEKBD	376.80	07/12/2012	4,860.75	05/10/2013	5,994.92	1,134.17	23.33%	S
SCOUT MID CAP FUND	81063U206	MFEKBD	276.85	07/12/2012	3,571.36	06/21/2013	4,293.95	722.59	20.23%	S
SECTOR SPDR TRUST SHS BEN INT-MATERIALS	81369Y100	XLB	185.00	09/13/2013	7,806.57	10/03/2013	7,736.85	-69.72	-0.89%	S
SLM CORP VTG	78442P106	SUM	24.00	10/11/2011	323.02	03/22/2013	487.03	164.01	50.77%	L
SLM CORP VTG	78442P106	SUM	63.00	10/11/2011	847.93	07/18/2013	1,559.42	711.49	83.91%	L
SLM CORP VTG	78442P106	SUM	82.00	10/11/2011	1,103.66	09/30/2013	2,042.92	939.26	85.10%	L
SLM CORP VTG	78442P106	SUM	109.00	10/11/2011	1,467.05	10/10/2013	2,689.45	1,222.40	83.32%	L
SLM CORP VTG	78442P106	SUM	3.00	05/10/2013	62.96	10/10/2013	74.02	11.06	17.57%	S
SMITHFIELD FOODS INC **MERGER-EFF-09/2013**	832248108	ITR	123.00	08/30/2012	2,354.34	12/31/2012	2,583.69	229.35	9.74%	S
SPDR BARCLAYS INTER TERM CORP BOND ETF	78464A375	ITR	33.00	10/11/2011	1,084.34	05/10/2013	1,148.04	63.70	5.87%	L
SPDR BARCLAYS INTER TERM CORP BOND ETF	78464A375	ITR	36.00	10/11/2011	1,182.92	06/21/2013	1,205.98	23.06	1.95%	L
SPDR DJIA TRUST ETF SER 1	78467X109	DIA	117.00	02/28/2013	16,458.06	04/22/2013	16,919.20	461.14	2.80%	S



Realized gain/loss - from 12/01/2012 to 11/30/2013 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
SPDR DJIA TRUST ETF SER 1	78467X109	DIA	108.00	04/12/2013	15,987.84	04/22/2013	15,617.72	-370.12	-2.32%	S
SPDR DJIA TRUST ETF SER 1	78467X109	DIA	161.00	05/28/2013	24,873.37	06/06/2013	23,987.70	-885.67	-3.56%	S
SPDR DJIA TRUST ETF SER 1	78467X109	DIA	53.00	05/30/2013	8,136.42	06/06/2013	7,896.57	-239.85	-2.95%	S
SPDR GOLD TRUST	78463V107	GLD	7.00	09/07/2012	1,177.54	12/12/2012	1,163.56	-13.98	-1.19%	S
SPDR GOLD TRUST	78463V107	GLD	8.00	09/07/2012	1,345.75	12/18/2012	1,310.92	-34.83	-2.59%	S
SPDR GOLD TRUST	78463V107	GLD	7.00	09/07/2012	1,177.54	12/19/2012	1,130.04	-47.50	-4.03%	S
SPDR GOLD TRUST	78463V107	GLD	14.00	09/07/2012	2,355.07	01/30/2013	2,276.30	-78.77	-3.34%	S
SPDR GOLD TRUST	78463V107	GLD	2.00	09/14/2012	343.43	01/30/2013	325.18	-18.25	-5.31%	S
SPDR GOLD TRUST	78463V107	GLD	12.00	09/14/2012	2,060.59	02/15/2013	1,865.61	-194.98	-9.46%	S
SPDR INDEX SHS FDS EURO STOXX 50 ETF	78463X202	FEZ	377.00	10/21/2013	15,325.16	11/08/2013	14,991.41	-333.75	-2.18%	S
SPDR S&P 500 ETF TR	78462F103	SPY	163.00	12/07/2012	23,162.22	12/31/2012	22,893.92	-268.30	-1.16%	S
SPDR S&P 500 ETF TR	78462F103	SPY	154.00	05/02/2013	24,583.36	06/05/2013	24,913.92	330.56	1.34%	S
SPDR S&P 500 ETF TR	78462F103	SPY	48.00	05/08/2013	7,830.36	06/05/2013	7,765.38	-64.98	-0.83%	S
SPDR S&P 500 ETF TR	78462F103	SPY	50.00	05/09/2013	8,160.70	06/05/2013	8,088.93	-71.77	-0.88%	S
SPDR S&P 500 ETF TR	78462F103	SPY	95.00	07/09/2013	15,663.10	08/19/2013	15,746.23	83.13	0.53%	S
SPDR S&P 500 ETF TR	78462F103	SPY	94.00	07/10/2013	15,502.24	08/19/2013	15,580.47	78.23	0.50%	S
SPDR S&P 500 ETF TR	78462F103	SPY	45.00	07/29/2013	7,580.09	08/19/2013	7,458.74	-121.35	-1.60%	S
SPDR S&P MIDCAP 400 ETF TR	78467Y107	MDY	42.00	12/07/2012	7,675.87	03/04/2013	8,392.81	716.94	9.34%	S
SPDR S&P MIDCAP 400 ETF TR	78467Y107	MDY	23.00	12/10/2012	4,231.38	03/04/2013	4,596.06	364.68	8.62%	S
SPDR S&P MIDCAP 400 ETF TR	78467Y107	MDY	62.00	12/10/2012	11,406.32	04/16/2013	12,646.30	1,239.98	10.87%	S
SPDR S&P MIDCAP 400 ETF TR	78467Y107	MDY	72.00	07/09/2013	15,684.91	08/15/2013	15,870.48	185.57	1.18%	S
TECHNOLOGY SECTOR SPDR TRUST SHS	81369Y803	XLK	261.00	05/08/2013	8,234.78	06/06/2013	8,141.31	-93.47	-1.14%	S
TECHNOLOGY SECTOR SPDR TRUST SHS	81369Y803	XLK	259.00	05/09/2013	8,183.80	06/06/2013	8,078.93	-104.87	-1.28%	S
TRANSDIGM GROUP INC	893641100	TDG	26.00	10/11/2011	2,212.34	02/01/2013	3,561.62	1,349.28	60.99%	L
TW TELECOM INC CL A	87311L104	TWTC	75.00	10/11/2011	1,248.59	03/12/2013	1,857.04	608.45	48.73%	L
TW TELECOM INC CL A	87311L104	TWTC	3.00	10/11/2011	49.94	03/22/2013	74.18	24.24	48.54%	L
TW TELECOM INC CL A	87311L104	TWTC	92.00	10/11/2011	1,531.60	03/26/2013	2,253.73	722.13	47.15%	L
TW TELECOM INC CL A	87311L104	TWTC	8.00	05/03/2012	187.34	03/26/2013	195.98	8.64	4.61%	S



Realized gain/loss - from 12/01/2012 to 11/30/2013 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
87311L104	TWTC	4.00	07/12/2012	101.36	03/26/2013	97.99	-3.37	-3.32%	S
90384S303	ULTA	30.00	10/11/2011	2,026.80	02/15/2013	2,636.60	609.80	30.09%	L
90384S303	ULTA	2.00	07/12/2012	180.40	02/15/2013	175.77	-4.63	-2.57%	S
81369Y886	XLU	200.00	04/24/2013	8,192.42	05/09/2013	7,988.30	-204.12	-2.49%	S
921908844	VIG	112.00	10/11/2011	5,722.04	05/10/2013	7,623.96	1,901.92	33.24%	L
921908844	VIG	374.00	10/11/2011	19,107.51	06/21/2013	24,638.73	5,531.22	28.95%	L
921943858	VEA	2,115.00	10/11/2011	67,630.93	03/22/2013	77,392.47	9,761.54	14.43%	L
921943858	VEA	171.00	10/11/2011	5,468.03	05/10/2013	6,614.85	1,146.82	20.97%	L
921943858	VEA	374.00	10/11/2011	11,959.33	11/13/2013	15,041.01	3,081.68	25.77%	L
922042874	VGK	289.00	09/13/2013	15,553.14	10/09/2013	15,460.22	-92.92	-0.60%	S
922908413		9.00	01/28/2013	618.19	03/22/2013	639.29	21.10	3.41%	S
922908413		110.00	01/28/2013	7,555.69	04/18/2013	7,772.76	217.07	2.87%	S
922908413		352.00	02/28/2013	24,555.73	04/18/2013	24,872.82	317.09	1.29%	S
922908413		109.00	04/12/2013	7,901.22	04/18/2013	7,702.09	-199.13	-2.52%	S
92204A702	VGT	194.00	09/12/2013	15,597.33	10/09/2013	15,263.55	-333.78	-2.14%	S
92343V104	VZ	39.00	08/02/2012	1,730.51	12/03/2012	1,722.82	-7.69	-0.44%	S
92343V104	VZ	13.00	08/02/2012	576.83	12/12/2012	578.98	2.15	0.37%	S
92343V104	VZ	26.00	08/06/2012	1,162.86	12/12/2012	1,157.97	-4.89	-0.42%	S
949746101	WFC	5.00	06/22/2012	164.52	03/22/2013	185.94	21.42	13.02%	S
949746101	WFC	11.00	06/22/2012	361.94	05/10/2013	417.22	55.28	15.27%	S
962166104	WY	11.00	09/10/2012	279.92	03/22/2013	339.01	59.09	21.11%	S
962166104	WY	131.00	09/10/2012	3,333.64	06/12/2013	3,667.37	333.73	10.01%	S
962166104	WY	37.00	09/13/2012	986.90	06/12/2013	1,035.82	48.92	4.96%	S
962166104	WY	3.00	05/10/2013	94.44	06/12/2013	83.99	-10.45	-11.07%	S
963320106	WHR	1.00	03/14/2012	78.68	03/22/2013	114.17	35.49	45.11%	L
963320106	WHR	21.00	03/14/2012	1,652.22	04/25/2013	2,474.20	821.98	49.75%	L



Realized gain/loss - from 12/01/2012 to 11/30/2013 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
963320106	WHR	2.00	07/12/2012	162.46	04/25/2013	235.64	73.18	45.04%	S
97717W851	DXJ	21.00	12/13/2012	719.97	01/14/2013	815.03	95.06	13.20%	S
97717W851	DXJ	17.00	12/13/2012	582.83	03/22/2013	740.67	157.84	27.08%	S
97717W851	DXJ	16.00	12/13/2012	548.55	03/22/2013	697.58	149.03	27.17%	S
97717W851	DXJ	173.00	12/13/2012	5,931.19	04/01/2013	7,119.26	1,188.07	20.03%	S
97717W851	DXJ	16.00	01/30/2013	636.93	04/01/2013	658.43	21.50	3.38%	S
97717W851	DXJ	28.00	01/30/2013	1,114.64	05/10/2013	1,384.85	270.21	24.24%	S
97717W851	DXJ	89.00	01/30/2013	3,542.95	05/23/2013	4,351.95	809.00	22.83%	S
97717W851	DXJ	46.00	02/15/2013	1,861.87	05/23/2013	2,249.32	387.45	20.81%	S
97717W851	DXJ	35.00	04/05/2013	1,529.81	05/23/2013	1,711.44	181.63	11.87%	S
97717W851	DXJ	37.00	04/05/2013	1,617.23	07/26/2013	1,698.00	80.77	4.99%	S
97717W851	DXJ	85.00	04/24/2013	3,900.82	07/26/2013	3,900.82	0.00	0.00%	S
97717W851	DXJ	85.00	04/25/2013	3,900.83	07/26/2013	3,900.83	0.00	0.00%	S
97717W851	DXJ	122.00	07/08/2013	5,753.07	07/26/2013	5,598.82	-154.25	-2.68%	S
97717W851	DXJ	41.00	07/08/2013	2,041.05	08/28/2013	1,827.41	-213.64	-10.47%	S
97717W851	DXJ	5.00	07/11/2013	249.10	08/28/2013	222.86	-26.24	-10.53%	S
98310W108	WYN	4.00	01/19/2012	159.63	03/22/2013	249.03	89.40	56.00%	L
98310W108	WYN	1.00	01/19/2012	39.91	05/10/2013	64.10	24.19	60.61%	L
98310W108	WYN	35.00	01/19/2012	1,396.80	05/20/2013	2,126.04	729.24	52.21%	L
98310W108	WYN	1.00	07/12/2012	50.20	05/20/2013	60.74	10.54	21.00%	S
<b>TOTAL REALIZED GAIN/(LOSS):</b>							<b>1,784,273.50</b>	<b>61,693.86</b>	<b>3.58%</b>

1,722,579.64



Realized gain/loss - from 12/01/2012 to 11/30/2013 (continued)

<b>TOTAL GAINS:</b>	106,343.01
<b>TOTAL LOSSES:</b>	-44,649.15
<b>SHORT TERM - TOTAL REALIZED GAIN/(LOSS):</b>	-6,315.76
<b>LONG TERM - TOTAL REALIZED GAIN/(LOSS):</b>	68,009.62

- ws1 : Wash Sale adjustment amount of \$-14.95
- ws2 : Wash Sale adjustment amount of \$14.95
- ws3 : Wash Sale adjustment amount of \$1.25
- ws4 : Wash Sale adjustment amount of \$-1.74
- ws5 : Wash Sale adjustment amount of \$1.74
- ws6 : Wash Sale adjustment amount of \$-74.77
- ws7 : Wash Sale adjustment amount of \$74.77
- ws8 : Wash Sale adjustment amount of \$-311.30
- ws9 : Wash Sale adjustment amount of \$-295.39
- ws10 : Wash Sale adjustment amount of \$636.09
- ws11 : Wash Sale adjustment amount of \$-88.71
- ws12 : Wash Sale adjustment amount of \$-287.29
- ws13 : Wash Sale adjustment amount of \$-89.11
- ws14 : Wash Sale adjustment amount of \$-48.11
- ws15 : Wash Sale adjustment amount of \$88.71
- ws16 : Wash Sale adjustment amount of \$424.51
- ws17 : Wash Sale adjustment amount of \$-73.42
- ws18 : Wash Sale adjustment amount of \$-356.39
- ws19 : Wash Sale adjustment amount of \$48.10
- ws20 : Wash Sale adjustment amount of \$33.15
- ws21 : Wash Sale adjustment amount of \$348.56
- ws22 : Wash Sale adjustment amount of \$39.58
- ws23 : Wash Sale adjustment amount of \$-176.38
- ws24 : Wash Sale adjustment amount of \$-193.76
- ws25 : Wash Sale adjustment amount of \$-67.14
- ws26 : Wash Sale adjustment amount of \$85.08
- ws27 : Wash Sale adjustment amount of \$10.38

73145310 Sampson Foundation, Inc  
 1113 990  
 1015 041 SUMMARY OF INVESTMENTS  
 11/30/13

**FOR 990 PF PG 2 PART II**

	<u>COST</u>		<u>FMV</u>
GOVERNMENT BONDS- MARTIN -1100	63,179		62,906
MUNICIPAL BONDS UBS/ MARTIN & CO	177,951		179,303
AGENCY BONDS UBS/ MARTIN & CO- 1110	177,435		177,553
TOTAL US AND STATE GOVERNMT LINE 10A	<u>418,565</u>		<u>419,762</u>
COMMON STOCK UBS/ MARTIN & CO	1,641,400		2,501,425
COMMON STOCK UBS	<u>1,088,557</u>		<u>1,329,486</u>
	2,729,957		3,830,911
COMMON STOCK & FUNDS UBS/ MARTIN & CO	495,718		598,868
UBS MANAGED INVESTMENTS -A/C 1150	<u>359,882</u>		<u>403,270</u>
	855,600		1,002,138
TOTAL CORPORATE STOCK - LINE 10B	<u>3,585,557</u>		<u>4,833,049</u>
CORPORATE BONDS UBS/MARTIN & CO -1130	419,977		421,741
CORPORATE BONDS FUNDS UBS -1131	<u>633,249</u>		<u>662,788</u>
TOTAL CORPORATE BONDS LINE 10C	<u>1,053,226</u>		<u>1,084,529</u>
	<u>5,057,348</u>		<u>6,337,340</u>
<b>PER INVESTMENT DETAIL - ATTACHED</b>			
UBS- TOTAL INVESTMENTS - pg 18 of attachments	2,121,361		2,428,331
RETURN OF CAPITAL	(6,885)		-
LESS CASH	<u>(32,787)</u>	2,081,689	<u>(32,787)</u> 2,395,544
MARTIN- TOTAL INVESTMENTS - pg 26 of attachments	3,167,002		4,142,144
LESS ACCRUED DIVIDENDS	(4,948)		(4,948)
LESS ACCRUED INTEREST	-		(9,005)
LESS CASH GOVT PORTFOLIO	<u>(186,395)</u>	2,975,659	<u>(186,395)</u> 3,941,796
	<u>5,057,348</u>		<u>6,337,340</u>



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

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Cost basis (\$)	Price per share on Nov 29 (\$)	Value on Nov 29 (\$)	Unrealized gain or loss (\$)	Holding period
	Sep 6, 12	36,000	27.333	984.00	40.250	1,449.00	465.00	LT
	Feb 6, 13	46,000	30.096	1,384.42	40.250	1,851.50	467.08	ST
	Apr 17, 13	53,000	31.925	1,692.07	40.250	2,133.25	441.18	ST
Security total		189,000	29.211	5,520.89	--	7,607.25	2,086.36	
<b>BIOGEN IDEC INC</b>								
Symbol BIIB Exchange OTC	Oct 11, 11	17,000	99.980	1,699.66	290.970	4,946.49	3,246.83	LT
	Jun 20, 12	5,000	143.164	715.82	290.970	1,454.85	739.03	LT
	Jul 12, 12	6,000	141.180	847.08	290.970	1,745.82	898.74	LT
	Oct 16, 13	6,000	241.208	1,447.25	290.970	1,745.82	298.57	ST
Security total		34,000	138.524	4,709.81		9,892.98	5,183.17	
<b>BROADCOM CORP CL A</b>								
Symbol BRCM Exchange OTC	Feb 25, 13	100,000	34.456	3,445.69	26.690	2,669.00	-776.69	ST
EAI \$88 Current yield: 1.64%	Apr 25, 13	70,000	35.357	2,475.00	26.690	1,868.30	-606.70	ST
	Jul 17, 13	31,000	33.496	1,038.39	26.690	827.39	-211.00	ST
Security total		201,000	34.622	6,959.08		5,364.69	-1,594.39	
<b>CELGENE CORP</b>								
Symbol CELG Exchange OTC	Feb 8, 13	20,000	99.830	1,996.60	161.770	3,235.40	1,238.80	ST
	Apr 25, 13	24,000	118.062	2,833.49	161.770	3,882.48	1,048.99	ST
	Jun 20, 13	13,000	115.023	1,495.30	161.770	2,103.01	607.71	ST
Security total		57,000	110.972	6,325.39		9,220.89	2,895.50	
<b>CHICAGO BRIDGE &amp; IRON NV EUR</b>								
Symbol CBI Exchange NYSE	Jan 24, 13	68,000	50.286	3,419.50	76.680	5,214.24	1,794.74	ST
EAI \$25 Current yield 0.26%	Mar 27, 13	42,000	58.372	2,451.64	76.680	3,220.56	768.92	ST
EUR Exchange rate 0.73445	May 10, 13	7,000	57.212	400.49	76.680	536.76	136.27	ST
	Sep 26, 13	7,000	66.772	467.41	76.680	536.76	69.35	ST
Security total		124,000	54.347	6,739.04		9,508.32	2,769.28	
<b>CIT GROUP INC</b>								
Symbol CIT Exchange NYSE	Sep 30, 13	83,000	48.771	4,048.07	50.480	4,189.84	141.77	ST
EAI \$33 Current yield 0.79%								

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Your assets • Equities • Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Cost basis (\$)	Price per share on Nov 29 (\$)	Value on Nov 29 (\$)	Unrealized gain or loss (\$)	Holding period
<b>CME GROUP INC</b>								
Symbol: CME Exchange: OTC								
EAI: \$47 Current yield: 2.21%	Jul 26, 13	26,000	73.508	1,911.22	81.950	2,130.70	219.48	ST
<b>COGNIZANT TECH SOLUTIONS CRP</b>								
Symbol: CTSH Exchange: OTC	Sep 6, 13	34,000	77.271	2,627.22	93.890	3,192.26	565.04	ST
	Sep 27, 13	32,000	82.325	2,634.43	93.890	3,004.48	370.05	ST
	Nov 5, 13	14,000	88.341	1,236.78	93.890	1,314.46	77.68	ST
Security total		80,000	81.230	6,498.43		7,511.20	1,012.77	
<b>CREE INC</b>								
Symbol: CREE Exchange: OTC	May 16, 12	6,000	31.656	189.94	55.800	334.80	144.86	LT
	Jul 12, 12	64,000	22.624	1,447.96	55.800	3,571.20	2,123.24	LT
	Oct 19, 12	6,000	28.630	171.78	55.800	334.80	163.02	LT
Security total		76,000	23.812	1,809.68		4,240.80	2,431.12	
<b>DISCOVER FINANCIAL SERVICES</b>								
Symbol: DFS Exchange: NYSE								
EAI: \$159 Current yield: 1.50%	Oct 11, 11	147,000	24.787	3,643.75	53.300	7,835.10	4,191.35	LT
	Oct 27, 11	18,000	24.419	439.55	53.300	959.40	519.85	LT
	Mar 22, 13	13,000	44.883	583.49	53.300	692.90	109.41	ST
	Oct 16, 13	21,000	52.834	1,109.52	53.300	1,119.30	9.78	ST
Security total		199,000	29.027	5,776.31		10,606.70	4,830.39	
<b>EATON CORP PLC</b>								
Symbol: ETN Exchange: NYSE								
EAI: \$134 Current yield: 2.31%	Jul 30, 13	23,000	68.300	1,570.91	72.660	1,671.18	100.27	ST
	Aug 9, 13	37,000	65.644	2,428.84	72.660	2,688.42	259.58	ST
	Nov 18, 13	20,000	72.583	1,451.67	72.660	1,453.20	1.53	ST
Security total		80,000	68.143	5,451.42		5,812.80	361.38	
<b>EBAY INC</b>								
Symbol: EBAY Exchange: OTC	Oct 11, 11	26,000	32.919	855.90	50.520	1,313.52	457.62	LT
	Jul 12, 12	13,000	39.060	507.78	50.520	656.76	148.98	LT
	Apr 18, 13	36,000	53.740	1,934.65	50.520	1,818.72	-115.93	ST
	Apr 25, 13	22,000	52.913	1,164.09	50.520	1,111.44	-52.65	ST
Security total		97,000	46.004	4,462.42		4,900.44	438.02	

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Nov 29 (\$)	Value on Nov 29 (\$)	Unrealized gain or loss (\$)	Holding period
<b>EOG RESOURCES INC</b>								
Symbol EOG Exchange NYSE	Aug 8, 12	18 000	108 203	1,947 66	165 000	2,970 00	1,022 34	LT
EAI \$29 Current yield 0.45%	Aug 14, 12	21 000	110.137	2,312 88	165 000	3,465.00	1,152.12	LT
Security total		39 000	109 245	4,260 54		6,435.00	2,174 46	
<b>FACEBOOK INC CL A</b>								
Symbol FB Exchange OTC	Apr 17, 13	17 000	26 845	456 38	47 010	799 17	342 79	ST
	May 3, 13	128 000	28 652	3,667.51	47 010	6,017 28	2,349 77	ST
	May 10, 13	13 000	26 976	350 69	47 010	611 13	260 44	ST
Security total		158.000	28 320	4,474 58		7,427 58	2,953 00	
<b>FANUC CORP ADR</b>								
Symbol FANUY Exchange OTC	Nov 6, 13	53 000	25.925	1,374 04	28.050	1,486 65	112 61	ST
EAI \$29 Current yield 0.98%	Nov 14, 13	53 000	27 600	1,462 85	28.050	1,486.65	23 80	ST
Security total		106.000	26 763	2,836 89		2,973 30	136.41	
<b>GNC HOLDINGS INC</b>								
Symbol GNC Exchange NYSE	May 23, 12	26 000	37.001	962 03	60 180	1,564.68	602.65	LT
EAI \$92 Current yield 0.99%	May 24, 12	10 000	39.250	392.50	60 180	601 80	209 30	LT
	Jul 12, 12	14,000	37 502	525.04	60.180	842 52	317 48	LT
	Feb 15, 13	65 000	40 668	2,643 45	60.180	3,911 70	1,268 25	ST
	Mar 22, 13	3 000	38 140	114 42	60 180	180 54	66 12	ST
	Oct 17, 13	36,000	55.395	1,994 23	60.180	2,166 48	172 25	ST
Security total		154 000	43 063	6,631 67		9,267 72	2,636 05	
<b>HERTZ GLOBAL HOLDINGS INC</b>								
Symbol HTZ Exchange NYSE	Oct 12, 11	27 000	10 710	289 18	24 260	655 02	365 84	LT
	Oct 14, 11	41 000	10 860	445 26	24 260	994 66	549 40	LT
	Oct 27, 11	30 000	11 549	346 47	24 260	727 80	381.33	LT
	Dec 5, 11	74 000	11 918	881.98	24 260	1,795 24	913 26	LT
	Jul 12, 12	73 000	12 356	902 02	24 260	1,770 98	868 96	LT
	Dec 5, 12	49 000	15 859	777 11	24 260	1,188 74	411 63	ST
	May 10, 13	26 000	24 690	641 94	24 260	630 76	-11 18	ST
Security total		320 000	13 387	4,283 96		7,763 20	3,479 24	

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

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Nov 29 (\$)	Value on Nov 29 (\$)	Unrealized gain or loss (\$)	Holding period
<b>HOME DEPOT INC</b>								
Symbol HD Exchange: NYSE								
EAI: \$189 Current yield: 1.94%	Jan 26, 12	41 000	44 718	1,833 47	80 670	3,307 47	1,474 00	LT
	Jul 12, 12	11 000	51 540	566 94	80 670	887 37	320 43	LT
	Mar 13, 13	46 000	70 673	3,250 96	80 670	3,710 82	459 86	ST
	Jun 19, 13	23 000	77 081	1,772 88	80 670	1,855 41	82 53	ST
Security total		121 000	61 357	7,424 25		9,761 07	2,336 82	
<b>ICICI BANK LTD SPON ADR</b>								
Symbol IBN Exchange: NYSE								
EAI: \$52 Current yield: 1.86%	Sep 16, 13	78 000	32 000	2,496 00	35 860	2,797 08	301 08	ST
<b>INCYTE CORP</b>								
Symbol INCY Exchange OTC	Oct 11, 13	72 000	37 049	2,667 57	46 600	3,355 20	687 63	ST
<b>KANSAS CITY STHN NEW</b>								
Symbol KSU Exchange: NYSE								
EAI: \$40 Current yield: 0.70%	Mar 26, 13	33 000	108 072	3,566 38	121 020	3,993 66	427 28	ST
	Apr 17, 13	14 000	102 947	1,441 26	121 020	1,694 28	253 02	ST
Security total		47 000	106 546	5,007 64		5,687 94	680 30	
<b>KINDER MORGAN MGMT LLC</b>								
Symbol. KMR Exchange NYSE	Oct 11, 11	57 906	54 186	3,137 70	76 570	4,433 87	1,296 17	LT
	Jul 12, 12	12 094	71 590	865 81	76 570	926 03	60 22	LT
Security total		70 000	57 193	4,003 51		5,359 90	1,356 39	
<b>LILLY ELI &amp; CO</b>								
Symbol LLY Exchange: NYSE								
EAI: \$225 Current yield: 3.90%	Jul 18, 12	4 000	44 622	178 49	50 220	200 88	22 39	LT
	Jul 31, 12	26 000	44 296	1,151 70	50 220	1,305 72	154 02	LT
	Aug 1, 12	26 000	44 121	1,147 15	50 220	1,305 72	158 57	LT
	Aug 3, 12	25 000	44 139	1,103 49	50 220	1,255 50	152 01	LT
	Sep 25, 12	23 000	47 723	1,097 64	50 220	1,155 06	57 42	LT
	May 10, 13	11 000	54 556	600 12	50 220	552 42	-47 70	ST
Security total		115 000	45 901	5,278 59		5,775 30	496 71	

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

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Cost basis (\$)	Price per share on Nov 29 (\$)	Value on Nov 29 (\$)	Unrealized gain or loss (\$)	Holding period
<b>LYONDELLBASELL INDUSTRIES N V</b>								
SHS - A - CL A								
Symbol: LYB Exchange: NYSE								
EAI: \$254 Current yield: 3.10%								
	Apr 17, 12	28,000	43.664	1,222.60	77.180	2,161.04	938.44	LT
	Jul 12, 12	20,000	38.191	770.892	77.180	1,543.60	772.71	LT
	Sep 17, 12	21,000	51.930	1,090.53	77.180	1,620.78	530.25	LT
	Jan 23, 13	23,000	61.419	1,412.64	77.180	1,775.14	362.50	ST
	May 10, 13	1,000	60.850	60.85	77.180	77.18	16.33	ST
	Oct 16, 13	13,000	76.381	992.96	77.180	1,003.34	10.38	ST
Security total		106,000	52.363	5,550.47		8,181.08	2,630.61	
<b>MICROCHIP TECHNOLOGY INC</b>								
Symbol: MCHP Exchange: OTC								
EAI: \$231 Current yield: 3.27%								
	Oct 11, 11	17,000	32.440	551.48	43.290	735.93	184.45	LT
	May 3, 12	29,000	33.962	984.90	43.290	1,255.41	270.51	LT
	Jul 12, 12	10,000	30.127	314.872	43.290	432.90	118.03	LT
	Feb 11, 13	75,000	36.393	2,729.54	43.290	3,246.75	517.21	ST
	Apr 25, 13	32,000	36.284	1,161.11	43.290	1,385.28	224.17	ST
Security total		163,000	35.226	5,741.90		7,056.27	1,314.37	
<b>MORGAN STANLEY</b>								
Symbol: MS Exchange: NYSE								
EAI: \$72 Current yield: 0.64%								
	Jul 26, 12	102,000	13.092	1,335.48	31.300	3,192.60	1,857.12	LT
	Aug 7, 12	80,000	14.571	1,165.74	31.300	2,504.00	1,338.26	LT
	Sep 7, 12	138,000	16.862	2,326.97	31.300	4,319.40	1,992.43	LT
	May 10, 13	41,000	23.430	960.63	31.300	1,283.30	322.67	ST
Security total		361,000	16.036	5,788.82		11,299.30	5,510.48	
<b>NOMURA HOLDINGS INC NEW SPON</b>								
ADR								
Symbol: NMR Exchange: NYSE								
EAI: \$70 Current yield: 0.96%								
	May 20, 13	425,000	9.598	4,079.49	7.980	3,391.50	-687.99	ST
	Jun 21, 13	350,000	7.378	2,582.55	7.980	2,793.00	210.45	ST
	Jul 10, 13	140,000	8.173	1,144.25	7.980	1,117.20	-27.05	ST
Security total		915,000	8.531	7,806.29		7,301.70	-504.59	

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Your assets • Equities • Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Cost basis (\$)	Price per share on Nov 29 (\$)	Value on Nov 29 (\$)	Unrealized gain or loss (\$)	Holding period
<b>OCWEN FINANCIAL CORP NEW</b>								
Symbol	OCN Exchange	NYSE						
	Oct 16, 12	37,000	36.052	1,333.94	56.660	2,096.42	762.48	LT
	Oct 24, 12	8,000	37.383	299.07	56.660	453.28	154.21	LT
	Oct 25, 12	20,000	37.949	758.99	56.660	1,133.20	374.21	LT
	Nov 2, 12	41,000	35.633	1,460.99	56.660	2,323.06	862.07	LT
	Mar 22, 13	10,000	35.030	350.30	56.660	566.60	216.30	ST
Security total		116,000	36.235	4,203.29		6,572.56	2,369.27	
<b>PFIZER INC</b>								
Symbol	PFE Exchange	NYSE						
EAI: \$302 Current yield: 3.02%								
	Jul 19, 12	81,000	23.704	1,920.08	31.730	2,570.13	650.05	LT
	Jul 24, 12	49,000	23.246	1,139.09	31.730	1,554.77	415.68	LT
	Aug 1, 12	44,000	24.131	1,061.78	31.730	1,396.12	334.34	LT
	Aug 3, 12	44,000	24.288	1,068.71	31.730	1,396.12	327.41	LT
	Sep 25, 12	56,000	24.913	1,395.18	31.730	1,776.88	381.70	LT
	May 10, 13	4,000	28.670	114.68	31.730	126.92	12.24	ST
	Jun 18, 13	37,000	29.428	1,088.85	31.730	1,174.01	85.16	ST
Security total		315,000	24.725	7,788.37		9,994.95	2,206.58	
<b>PROTO LABS INC</b>								
Symbol	PRLB Exchange	NYSE						
	Sep 16, 13	34,000	75.007	2,550.24	74.300	2,526.20	-24.04	ST
	Oct 31, 13	21,000	80.046	1,680.98	74.300	1,560.30	-120.68	ST
Security total		55,000	76.931	4,231.22		4,086.50	-144.72	
<b>RAYTHEON CO NEW</b>								
Symbol	RTN Exchange	NYSE						
EAI: \$167 Current yield 2.48%								
	Jul 11, 13	55,000	69.400	3,817.02	88.680	4,877.40	1,060.38	ST
	Jul 29, 13	21,000	70.799	1,486.78	88.680	1,862.28	375.50	ST
Security total		76,000	69.787	5,303.80		6,739.68	1,435.88	
<b>REGENERON PHARMACEUTICALS INC</b>								
Symbol	REGN Exchange	OTC						
	Nov 14, 12	6,000	148.421	890.53	293.860	1,763.16	872.63	LT
	Jan 8, 13	8,000	173.505	1,388.04	293.860	2,350.88	962.84	ST
	Aug 22, 13	11,000	236.830	2,605.13	293.860	3,232.46	627.33	ST
Security total		25,000	195.348	4,883.70		7,346.50	2,462.80	

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

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Cost basis (\$)	Price per share on Nov 29 (\$)	Value on Nov 29 (\$)	Unrealized gain or loss (\$)	Holding period
<b>STRATASYS LTD ILS</b>								
Symbol: SSYS Exchange: OTC	Sep 13, 13	17 000	93.015	1,581.27	117 770	2,002 09	420 82	ST
ILS Exchange rate: 3 52280	Oct 7, 13	25 000	97 425	2,435 63	117 770	2,944 25	508 62	ST
	Oct 16, 13	11 000	109 720	1,206.93	117 770	1,295 47	88 54	ST
Security total		53,000	98 563	5,223 83		6,241 81	1,017 98	
<b>TIMKEN CO</b>								
Symbol: TKR Exchange: NYSE	Sep 19, 13	42 000	63 732	2,676 77	51 760	2,173 92	-502 85	ST
EAI \$62 Current yield: 1.79%	Oct 3, 13	25 000	59 820	1,495.51	51 760	1,294.00	-201 51	ST
Security total		67 000	62 273	4,172 28		3,467 92	-704 36	
<b>WELLS FARGO &amp; CO NEW</b>								
Symbol: WFC Exchange: NYSE	Jun 22, 12	73 000	32.904	2,402 00	44 020	3,213.46	811 46	LT
EAI \$220 Current yield: 2.73%	Jul 12, 12	16 000	32 990	527 84	44 020	704 32	176 48	LT
	Oct 18, 12	57 000	34 533	1,968 42	44 020	2,509 14	540 72	LT
	Dec 19, 12	37 000	34 878	1,290 49	44.020	1,628 74	338.25	ST
Security total		183 000	33 818	6,188 75		8,055 66	1,866 91	
<b>WESTPORT INNOVATIONS INC NEW</b>								
Symbol: WPRT Exchange: OTC	Sep 26, 13	53 000	25 073	1,328 88	21 470	1,137 91	-190 97	ST
CAD Exchange rate: 1 05870								
<b>WORKDAY INC CL A</b>								
Symbol: WDAY Exchange: NYSE	Jun 10, 13	39 000	65 984	2,573 40	82 350	3,211 65	638 25	ST
	Aug 29, 13	19 000	73 164	1,390 13	82 350	1,564.65	174 52	ST
	Oct 16, 13	15 000	81 299	1,219 49	82 350	1,235 25	15 76	ST
Security total		73 000	71 000	5,183 02		6,011 55	828 53	
<b>Total</b>				<b>\$189,252.53</b>		<b>\$248,446.29</b>	<b>\$59,193.76</b>	

**Total estimated annual income: \$2,723**

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



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

Holding	Number of shares	Purchase price/Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Nov 29 (\$)	Value on Nov 29 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
<b>ISHARES RUSSELL 1000 ETF</b>									
Symbol: IWB									
Trade date: Oct 22, 13	79,000	98.128	7,752.12	7,752.12	100.950	7,975.05	222.93	222.93	ST
EAI: \$140 Current yield: 1.76%									
<b>ISHARES S&amp;P 100 ETF</b>									
Symbol: OEF									
Trade date: Nov 1, 13	193,000	78.731	15,195.10	15,195.10	80.980	15,629.14	434.04	434.04	ST
EAI: \$310 Current yield: 1.98%									
<b>SPDR DJIA TRUST ETF SER 1</b>									
Symbol: DIA									
Trade date: Nov 14, 13	97,000	158.525	15,376.97	15,376.97	160.720	15,589.84	212.87	212.87	ST
EAI: \$335 Current yield: 2.15%									
<b>SPDR S&amp;P MIDCAP 400 ETF TR</b>									
Symbol: MDY									
Trade date: Oct 21, 13	65,000	234.569	15,247.02	15,247.02	237.430	15,432.95	185.93	185.93	ST
EAI: \$176 Current yield: 1.14%									
<b>SPDR S&amp;P 500 ETF TR</b>									
Symbol: SPY									
Trade date: Oct 21, 13	263,000	174.334	45,849.87	45,849.87	181.000	47,603.00	1,753.13	1,753.13	ST
EAI: \$892 Current yield: 1.87%									
<b>TECHNOLOGY SECTOR SPDR TRUST</b>									
Symbol: XLK									
Trade date: Oct 22, 13	458,000	33.449	15,319.92	15,319.92	34.690	15,888.02	568.10	568.10	ST
EAI: \$277 Current yield: 1.74%									
<b>VANGUARD INDEX FUNDS VANGUARD</b>									
<b>SMALL CAP ETF</b>									
Symbol: VB									
Trade date: Jun 24, 13	1,436,000	90.360	129,757.53	129,757.53	108.620	155,978.32	26,220.79		ST
Trade date: Jul 10, 13	23,000	97.500	2,242.50	2,242.50	108.620	2,498.26	255.76		ST
EAI: \$2,167 Current yield: 1.37%									

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

Holding	Number of shares	Purchase price/Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Nov 29 (\$)	Value on Nov 29 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
Security total	1,459,000	90.473	132,000.03	132,000.03	90.310	158,476.58	26,476.55	26,476.55	
VANGUARD INDEX FUNDS VANGUARD									
GROWTH ETF									
Symbol: VUUG									
Trade date Oct 22, 13	87,000	88.005	7,656.48	7,656.48	90.310	7,856.97	200.49	200.49	ST
EAI \$103 Current yield 1.31%									
VANGUARD FTSE DEVELOPED MKT									
ETF									
Symbol: VEA									
Trade date Oct 11, 11	1,612,000	31.976	51,546.60	51,546.60	41.120	66,285.44	14,738.84		LT
Trade date Oct 18, 11	35,000	32.080	1,122.80	1,122.80	41.120	1,439.20	316.40		LT
Trade date Dec 29, 11	230,000	30.336	6,977.28	6,977.28	41.120	9,457.60	2,480.32		LT
Trade date Oct 3, 12	75,000	33.120	2,484.00	2,484.00	41.120	3,084.00	600.00		LT
Trade date Dec 28, 12	35,000	34.776	1,217.18	1,217.18	41.120	1,439.20	222.02		ST
Trade date Mar 28, 13	22,000	36.480	802.56	802.56	41.120	904.64	102.08		ST
Trade date Jun 21, 13	13,000	35.560	462.28	462.28	41.120	534.56	72.28		ST
Trade date Jun 24, 13	67,000	34.410	2,305.47	2,305.47	41.120	2,755.04	449.57		ST
Trade date Jul 2, 13	39,000	35.740	1,393.86	1,393.86	41.120	1,603.68	209.82		ST
Trade date Oct 22, 13	374,000	41.467	15,508.81	15,508.81	41.120	15,378.88	-129.93		ST
EAI \$3.042 Current yield: 2.96%									
Security total	2,502,000	33.502	83,820.84	83,820.84		102,882.24	19,061.40	19,061.40	
VANGUARD DIVID APPRECIATION									
ETF									
Symbol: VIG									
Trade date Oct 11, 11	968,000	51.089	49,454.73	49,454.73	74.190	71,815.92	22,361.19		LT
Trade date Dec 29, 11	9,000	54.740	492.66	492.66	74.190	667.71	175.05		LT
Trade date Dec 28, 12	10,000	59.100	591.00	591.00	74.190	741.90	150.90		ST
Trade date Mar 25, 13	1,016,000	65.237	66,281.30	66,281.30	74.190	75,377.04	9,095.74		ST
Trade date Jul 1, 13	10,000	66.740	667.40	667.40	74.190	741.90	74.50		ST
EAI \$2.995 Current yield 2.01%									
Security total	2,013,000	58.364	117,487.09	117,487.09		149,344.47	31,857.38	31,857.38	

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

Holding	Number of shares	Purchase price/Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Nov 29 (\$)	Value on Nov 29 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
<b>WISDOMTREE TRUST JAPAN HEDGED EQUITY FD</b>									
Symbol DX									ST
Trade date: Jul 11, 13	161,000	47,743	8,028.50	8,028.50 <sup>2</sup>	50.310	8,099.91	71.41		ST
Trade date: Nov 21, 13	40,000	50,157	2,006.30	2,006.30	50.310	2,012.40	6.10		ST
EAI S96 Current yield 0.95%									
Security total	201,000	49,924	10,034.80	10,034.80	10,112.31	10,112.31	77.51	77.51	
<b>Total</b>			<b>\$603,204.09</b>	<b>\$603,204.09</b>		<b>\$709,221.44</b>	<b>\$106,017.35</b>	<b>\$106,017.35</b>	

Total estimated annual income: \$11,864

<sup>2</sup> Value has been adjusted to include the amount of the disallowed loss as a result of a Wash Sale transaction

**Mutual funds**

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

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

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

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

Holding	Number of shares	Purchase price/Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Nov 29 (\$)	Value on Nov 29 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
<b>BRANDES EMERGING MARKETS FUND CLASS A</b>									
Symbol BEMAX									LT
Trade date: Oct 11, 11	4,747,199	8,190	38,879.56	38,879.56	9.460	44,908.49	6,028.93		LT
Trade date: Jul 12, 12	42,588	8,369	356.46	356.46	9.460	402.88	46.42		LT
Total reinvested	483,976	8,597	4,161.22	4,161.22	9.460	4,578.41	417.19		
EAI \$1.139 Current yield 2.28%									
Security total	5,273,763	8,229	39,236.02	43,397.24	49,889.79	49,889.79	6,492.54	10,653.76	

**CENTER COAST MLP FOCUS FUND CLASS A**

Symbol CCCAX									LT
Trade date: Oct 11, 11	5,034,774	9,168	46,163.84	46,163.84	11,020	55,483.21	9,319.37		LT
Trade date: Jul 12, 12	3,884,485	9,889	38,413.68	38,413.68	11,020	42,807.02	4,393.34		LT

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**Your assets • Equities • Mutual funds (continued)**

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Nov 29 (\$)	Value on Nov 29 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
	Oct 8, 12	202,359	10.282	2,080.85	2,080.85	11.020	2,230.00	149.15		LT
Total reinvested		1,469,060	10.367		15,230.04	11.020	16,189.04	959.00		
EAI: 57,127	Current yield	6.11%								
Security total		10,590,678	9.621	86,658.37	101,888.41		116,709.27	14,820.86		30,050.90
OPPENHEIMER DEVELOPING										
MARKETS FUND CL A										
Symbol: ODMAX										
	Jul 12, 12	1,247,837	30.849	38,495.76	38,495.76	37.910	47,305.49	8,809.73		LT
	Jun 21, 13	11,344	32.948	373.77	373.77	37.910	430.05	56.28		ST
	Jun 24, 13	69,847	32.330	2,258.16	2,258.16	37.910	2,647.90	389.74		ST
Total reinvested		10,371	34.230		355.00	37.910	393.16	38.16		
EAI: 5185	Current yield:	0.36%								
Security total		1,339,399	30.971	41,127.69	41,482.69		50,776.61	9,293.91		9,648.91
SCOUT MID CAP FUND										
Symbol: UMBMX										
	Jul 12, 12	5,612,992	12.900	72,407.60	72,407.60	18.140	101,819.67	29,412.07		LT
	Mar 25, 13	2,754,625	15.169	41,787.66	41,787.66	18.140	49,968.89	8,181.23		ST
Total reinvested		146,309	13.819		2,021.90	18.140	2,654.05	632.15		
EAI: 5962	Current yield	0.62%								
Security total		8,513,926	13.650	114,195.26	116,217.16		154,442.61	38,225.45		40,247.35
<b>Total</b>				<b>\$281,217.34</b>	<b>\$302,985.50</b>		<b>\$371,818.28</b>	<b>\$68,832.76</b>		<b>\$90,600.94</b>
<b>Total estimated annual income: \$9,413</b>										



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

**Mutual funds**

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

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

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

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

Holding	Number of shares	Purchase price/Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Nov 29 (\$)	Value on Nov 29 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
<b>FRANKLIN/TEMPLETON</b>									
<b>GLOBAL BOND FUND CLASS A</b>									
Symbol: TPINX									
Trade date: Oct 11, 11	11,642,804	12.899	150,192,17	150,192,17	13.070	152,171,45	1,979,28		LT
Trade date: Jul 12, 12	68,651	12.880	884,23	884,23	13.070	897,27	13,04		LT
Trade date: Oct 8, 12	117,322	13.419	1,574,46	1,574,46	13.070	1,533,40	-41,06		LT
Trade date: Jun 24, 13	395,863	12.699	5,027,46	5,027,46	13.070	5,173,93	146,47		ST
Total reinvested	1,791,222	12.999		23,285,03	13.070	23,411,27	126,24		
EAI: \$9,727 Current yield: 5.31%									
Security total	14,015,862	12.911	157,678,32	180,963,35	183,187,31	2,223,97		25,509,00	
<b>LOOMIS SAYLES</b>									
<b>STRATEGIC INCOME FUND CLASS A</b>									
Symbol: NEFZX									
Trade date: Oct 11, 11	8,820,146	14.399	127,010,10	127,010,10	16.300	143,768,38	16,758,28		LT
Trade date: Mar 25, 13	2,901,870	15.829	45,936,60	45,936,60	16.300	47,300,48	1,363,88		ST
Total reinvested	1,209,845	15.292		18,502,00	16.300	19,720,47	1,218,47		
EAI: \$10,178 Current yield: 4.83%									
Security total	12,931,861	14.804	172,946,70	191,448,70	210,789,33	19,340,63		37,842,63	
<b>LORD ABBETT SHORT DURATION INCOME FUND CLASS A</b>									
Symbol: LALDX									
Trade date: Oct 11, 11	16,972,797	4.490	76,207,86	76,207,86	4.570	77,565,68	1,357,82		LT

**Your assets • Fixed income • Mutual funds (continued)**

Holding	Number of shares	Purchase price/Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Nov 29 (\$)	Value on Nov 29 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
Trade date: Jul 12, 12	261,878	4,600	1,204,64	1,204,64	4,570	1,196,78	-7,86		LT
Trade date: Mar 25, 13	675,612	4,640	3,134,84	3,134,84	4,570	3,087,55	-47,29		ST
Total-reinvested:	1,651,396	4,598	7,594,01	7,594,01	4,570	7,546,88	-47,13		
EAI: \$3,325 Current yield: 3.72%									
Security total	19,561,683	4,506	80,547,34	88,141,35		89,396,89	1,255,54		8,849,55
<b>OPPENHEIMER SENIOR FLOATING RATE FUND</b>									
CLASS A									
Symbol: OOSAX									
Trade date: Oct 11, 11	6,911,722	7,880	54,464,37	54,464,37	8,410	58,127,58	3,663,21		LT
Trade date: Oct 8, 12	191,641	8,299	1,590,62	1,590,62	8,410	1,611,70	21,08		LT
Trade date: Mar 25, 13	151,805	8,389	1,273,64	1,273,64	8,410	1,276,68	3,04		ST
Total reinvested	792,200	8,273		6,554,43	8,410	6,662,40	107,97		
EAI: \$3,243 Current yield: 4.79%									
Security total	8,047,368	7,938	57,328,63	63,883,06		67,678,36	3,795,30		10,349,73
<b>Total</b>			<b>\$468,500.99</b>	<b>\$524,436.46</b>		<b>\$551,051.89</b>	<b>\$26,615.44</b>		<b>\$82,550.90</b>
Total estimated annual income: \$26,473									

**Commodities**

**Closed end funds & Exchange traded products**

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

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

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

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

Holding	Number of shares	Purchase price/Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Nov 29 (\$)	Value on Nov 29 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
IPATH GS CRUDE OIL TOTL RETURN INDEX									
Symbol: OIL									
Trade date: Aug 19, 13	35,000	25,302	885,57	885,57	21,820	763,70	-121,87		ST

continued next page

**Your assets • Commodities • Closed end funds & Exchange traded products (continued)**

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Nov 29 (\$)	Value on Nov 29 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
	Aug 28, 13	97,000	26.002	2,522.21	2,522.21	21.820	2,116.54	-405.67		ST
Security total		132,000	25.817	3,407.78	3,407.78		2,880.24	-527.54		

**Other**

**Mutual funds**

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

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

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

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

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Nov 29 (\$)	Value on Nov 29 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
<b>FIRST EAGLE GLOBAL FUND</b>										
<b>CLASS A</b>										
Symbol										
SGENX										
Trade date	Oct 11, 11	4,004,447	45.439	181,962.06	181,962.06	55.280	221,365.82	39,403.76		LT
Trade date	Jul 12, 12	52,148	46.400	2,419.68	2,419.68	55.280	2,882.74	463.06		LT
Total reinvested		338,147	46.701	15,791.90	15,791.90	55.280	18,692.77	2,900.87		
EAI	\$2.250	Current yield	0.93%							
Security total		4,394,742	45.548	184,381.74	200,173.64		242,941.33	42,767.69	58,559.59	
<b>PIMCO ALL ASSETS ALL</b>										
<b>AUTH-A</b>										
Symbol										
PAUAX										
Trade date	Oct 11, 11	12,698,917	10.160	129,021.00	129,021.00	10.270	130,417.88	1,396.88		LT
Trade date	Jun 21, 13	82,486	10.140	836.41	836.41	10.270	847.13	10.72		ST
Trade date	Jun 24, 13	539,657	10.079	5,439.74	5,439.74	10.270	5,542.28	102.54		ST
Total reinvested		2,009,806	10.450	21,003.59	21,003.59	10.270	20,640.71	-362.88		
EAI	\$8.094	Current yield	5.14%							
Security total		15,330,866	10.195	135,297.15	156,300.74		157,447.99	1,147.26	22,150.85	
<b>Total</b>				<b>\$319,678.89</b>	<b>\$356,474.38</b>		<b>\$400,389.32</b>	<b>\$43,914.95</b>	<b>\$80,710.43</b>	

Your assets (continued)

Your total assets

	Value on Nov 29 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
<b>Cash</b>	<b>32,787.49</b>	<b>1.35%</b>	<b>32,787.49</b>		
<b>Equities</b>					
Cash and money balances	32,787.49				
Common stock	248,446.29		189,252.53	2,723.00	59,193.76
Closed end funds & Exchange traded products	709,221.44		603,204.09	11,864.00	106,017.35
Mutual funds	371,818.28		302,985.50	9,413.00	68,832.76
<b>Total equities</b>	<b>1,329,486.01</b>	<b>54.75%</b>	<b>1,095,442.12</b>	<b>24,000.00</b>	<b>234,043.87</b>
<b>Fixed income</b>					
Closed end funds & Exchange traded products	111,736.24		108,812.47	3,136.00	2,923.77
Mutual funds	551,051.89		524,436.46	26,473.00	26,615.44
<b>Total fixed income</b>	<b>662,788.13</b>	<b>27.29%</b>	<b>633,248.93</b>	<b>29,609.00</b>	<b>29,539.21</b>
<b>Commodities</b>					
Closed end funds & Exchange traded products	2,880.24	0.12%	3,407.78		-527.54
<b>Other</b>	<b>400,389.32</b>	<b>16.49%</b>	<b>356,474.38</b>	<b>10,344.00</b>	<b>43,914.95</b>
<b>Total</b>	<b>\$2,428,331.19</b>	<b>100.00%</b>	<b>\$2,121,360.70</b>	<b>\$63,953.00</b>	<b>\$306,970.49</b>

Martin & Company  
**PORTFOLIO APPRAISAL**  
*Sampson Foundation, Inc.*  
 November 30, 2013

Quantity	Security	Unit Cost	Total Cost	Price	Market Value	Pct. Assets	Unit Income	Annual Income	Cur. Yield
<b>COMMON STOCK</b>									
250	3M Co.	90.74	22,684.58	133.51	33,377.50	0.8	2,540	635.00	1.9
700	AT&T Inc.	29.20	20,437.72	35.21	24,647.00	0.6	1,800	1,260.00	5.1
725	Abbott Laboratories	19.65	14,246.95	38.19	27,687.75	0.7	0,560	406.00	1.5
300	Amgen, Inc.	60.85	18,254.90	114.08	34,224.00	0.8	1,880	564.00	1.6
215	Apache Corp.	91.53	19,678.24	91.49	19,670.35	0.5	0,800	172.00	0.9
90	Apple, Inc	386.96	34,826.13	556.07	50,046.30	1.2	12,200	1,098.00	2.2
400	Baxter International, Inc.	36.87	14,746.79	68.45	27,380.00	0.7	1,960	784.00	2.9
475	Berkshire Hathaway, Inc.	81.24	38,590.28	116.53	55,351.75	1.3	0,000	0.00	0.0
500	Capital One Financial Corp.	47.92	23,957.77	71.63	35,815.00	0.9	1,200	600.00	1.7
425	ChevronTexaco Corp.	66.64	28,323.96	122.44	52,037.00	1.3	4,000	1,700.00	3.3
350	Chubb Corp.	42.82	14,985.59	96.45	33,757.50	0.8	1,760	616.00	1.8
2,400	Cisco Systems, Inc.	15.22	36,334.91	21.25	51,000.00	1.2	0,680	1,632.00	3.2
1,000	Coca-Cola Co.	28.92	28,917.94	40.19	40,190.00	1.0	1,120	1,120.00	2.8
750	Comcast Corp. Spl Cl A	24.07	18,054.00	48.15	36,112.50	0.9	0,780	585.00	1.6
300	ConocoPhillips	58.38	17,512.74	72.80	21,840.00	0.5	2,760	828.00	3.8
300	Costco Wholesale Corp.	38.16	11,447.35	125.43	37,629.00	0.9	1,240	372.00	1.0
675	Covidien Ltd.	37.49	25,307.23	68.26	46,075.50	1.1	1,280	864.00	1.9
500	Emerson Electric Co	47.74	23,871.58	66.99	33,495.00	0.8	1,720	860.00	2.6
620	Exxon Mobil Corp.	49.06	30,418.88	93.48	57,957.60	1.4	2,520	1,562.40	2.7
225	FedEx Corp.	78.52	17,668.02	138.70	31,207.50	0.8	0,600	135.00	0.4
2,000	General Electric Co	23.90	47,803.84	26.66	53,320.00	1.3	0,760	1,520.00	2.9
60	Google, Inc.	478.55	28,713.02	1,059.59	63,575.40	1.5	0,000	0.00	0.0
375	Home Depot, Inc.	27.59	15,862.56	80.67	46,385.25	1.1	1,560	897.00	1.9
1,100	Intel Corp.	19.06	20,965.54	23.84	26,224.00	0.6	0,900	990.00	3.8
250	International Business Machines Corp.	165.36	41,341.10	179.68	44,920.00	1.1	3,800	950.00	2.1

Martin & Company  
**PORTFOLIO APPRAISAL**  
*Sampson Foundation, Inc.*  
*November 30, 2013*

Quantity	Security	Unit Cost	Total Cost	Price	Market Value	Pct. Assets	Unit Income	Annual Income	Cur. Yield
925	J.P. Morgan Chase & Co.	37.04	34,259.67	57.22	52,928.50	1.3	1,520	1,406.00	2.7
625	Johnson & Johnson	51.49	32,184.14	94.66	59,162.50	1.4	2,640	1,650.00	2.8
500	Loew's Companies, Inc.	26.35	13,173.87	47.48	23,740.00	0.6	0,720	360.00	1.5
275	McDonald's Corp.	83.65	23,003.12	97.37	26,776.75	0.6	3,240	891.00	3.3
700	Merck & Co., Inc.	34.89	24,424.26	49.83	34,881.00	0.8	1,760	1,232.00	3.5
2,100	Microsoft Corp	28.23	59,280.98	38.13	80,073.00	1.9	1,120	2,352.00	2.9
350	Oceanairing International, Inc.	63.96	22,384.83	77.19	27,016.50	0.7	0,880	308.00	1.1
800	Oracle Corp.	11.72	9,373.38	35.29	28,232.00	0.7	0,480	384.00	1.4
475	PepsiCo, Inc.	44.90	21,329.61	84.46	40,118.50	1.0	2,270	1,078.25	2.7
1,200	Pfizer, Inc.	20.50	24,602.60	31.73	38,076.00	0.9	0,960	1,152.00	3.0
600	QUALCOMM, Inc.	42.97	25,782.57	73.58	44,148.00	1.1	1,400	840.00	1.9
275	Schlumberger Ltd.	27.81	7,648.33	88.42	24,315.50	0.6	1,250	343.75	1.4
1,075	Select Sector SPDR - Consumer Discret	38.42	41,305.41	65.60	70,520.00	1.7	0,820	881.53	1.3
950	Select Sector SPDR - Consumer Staples	31.80	30,212.85	43.01	40,859.50	1.0	1,103	1,048.10	2.6
375	Select Sector SPDR - Energy	78.39	29,397.20	86.44	32,415.00	0.8	1,495	560.66	1.7
1,950	Select Sector SPDR - Financial	16.07	31,344.45	21.48	41,886.00	1.0	0,324	631.47	1.5
700	Select Sector SPDR - Health Care	35.58	24,905.23	55.26	38,682.00	0.9	0,838	586.72	1.5
1,300	Select Sector SPDR - Industrial	34.67	45,070.23	50.40	65,520.00	1.6	0,897	1,165.76	1.8
2,000	Select Sector SPDR - Materials	37.84	75,686.17	44.34	88,680.00	2.1	1,008	2,015.64	2.3

Martin & Company  
**PORTFOLIO APPRAISAL**  
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 November 30, 2013

Quantity	Security	Unit Cost	Total Cost	Price	Market Value	Pct. Assets	Unit Income	Annual Income	Cur. Yield
1,200	Select Sector SPDR - Technology	25.73	30,876.62	34.69	41,628.00	1.0	0.605	725.93	1.7
2,100	Select Sector SPDR - Utilities	34.29	72,009.91	38.03	79,863.00	1.9	1.465	3,076.61	3.9
775	Sysco Corp.	26.12	20,239.52	33.63	26,063.25	0.6	1.160	899.00	3.4
400	Target Corp.	40.67	16,268.16	63.93	25,572.00	0.6	1.720	688.00	2.7
350	The Boeing Co.	71.87	25,154.40	134.25	46,987.50	1.1	1.940	679.00	1.4
125	The Goldman Sachs Group, Inc.	155.60	19,449.58	168.94	21,117.50	0.5	2.000	250.00	1.2
500	The Procter & Gamble Co.	45.79	22,893.62	84.22	42,110.00	1.0	2.406	1,203.00	2.9
850	The Walt Disney Co.	24.82	21,094.06	70.54	59,959.00	1.4	0.750	637.50	1.1
325	United Technologies Corp.	61.45	19,971.32	110.86	36,029.50	0.9	2.140	695.50	1.9
600	Vcrizon Communications	29.05	17,430.38	49.62	29,772.00	0.7	2.120	1,272.00	4.3
600	Wal-Mart Stores, Inc.	42.05	25,228.14	81.01	48,606.00	1.2	1.880	1,128.00	2.3
750	Wells Fargo Company	34.99	26,244.31	44.02	33,015.00	0.8	1.200	900.00	2.7
500	iShare Dow Jones US Oil & Gas Expl & Prod	67.80	33,899.56	81.64	40,820.00	1.0	0.679	339.35	0.8
575	iShares Dow Jones US Real Estate Index	59.40	34,152.76	63.10	36,282.50	0.9	2.585	1,486.41	4.1
2,825	iShares Dow Jones US Regional Bank Index	23.35	65,966.73	32.44	91,643.00	2.2	0.505	1,426.74	1.6
			1,641,399.60	TB	2,501,424.90	60.4		54,444.31	2.2

Martin & Company  
**PORTFOLIO APPRAISAL**  
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Quantity	Security	Unit Cost	Total Cost	Price	Market Value	Pct. Assets	Unit Income	Annual Income	Cur. Yield
<b>MID CAP ETF</b>									
375	iShares Russell Midcap Index Fund	109.06	40,896.04	146.34	54,877.50	1.3	2.156	808.41	1.5
675	iShares S&P MidCap 400 Index Fund	93.56	63,154.85	130.43	88,040.25	2.1	1.831	1,235.75	1.4
			104,050.89		142,917.75	3.5		2,044.16	1.4
<b>SMALL CAP ETF</b>									
825	iShares Core S&P SmallCap Index Fund	68.40	56,430.93	108.00	89,100.00	2.2	1.337	1,103.33	1.2
500	iShares Russell 2000 Index Fund	83.29	41,644.70	113.51	56,755.00	1.4	1.704	852.07	1.5
250	iShares Russell Microcap Index Fund	51.34	12,835.00	73.86	18,465.00	0.4	0.944	235.88	1.3
			110,910.63		164,320.00	4.0		2,191.28	1.3
<b>INTERNATIONAL ETF</b>									
250	SPDR S&P Emerging Markets SmallCap Fund	55.35	13,837.50	46.95	11,737.50	0.3	1.065	266.27	2.3
1,500	Vanguard Emerging Market Fund	45.79	68,681.94	41.48	62,220.00	1.5	1.359	2,038.50	3.3
1,800	iShares MSCI ACWI Index Fund	45.16	81,279.20	46.49	83,682.00	2.0	1.091	1,964.46	2.3
1,550	iShares MSCI EAFE Index Fund	58.82	91,174.58	66.24	102,672.00	2.5	1.761	2,729.59	2.7
625	iShares MSCI EAFE SmallCap Index Fund	41.25	25,783.13	50.11	31,318.75	0.8	1.320	824.85	2.6
			280,756.35		291,630.25	7.0		7,823.67	2.7

Martin & Company  
**PORTFOLIO APPRAISAL**  
*Sampson Foundation, Inc.*  
 November 30, 2013

Quantity	Security	Unit Cost	Total Cost	Price	Market Value	Pct. Assets	Unit Income	Annual Income	Cur. Yield
<b>U.S. TIPS</b>									
24,524	Treasury Inflation Protected Security	101.33	24,850.54	102.75	25,198.82	0.6	1,625	398.52	1.6
35,390	1.625% Due 01-15-15 Treasury Inflation Protected Security	108.30	38,328.31	106.55	37,707.37	0.9	2,000	707.81	1.9
	2.000% Due 01-15-16 Accrued Interest		63,178.85		414.87	0.0			
					63,321.07	1.5		1,106.33	1.8
<b>AGENCY</b>									
30,000	Federal Home Loan Mortgage Corp	97.69	29,305.50	100.79	30,236.22	0.7	5,000	1,500.00	5.0
25,000	5.000% Due 01-30-14 Federal Home Loan Bank	103.99	25,998.50	102.66	25,665.83	0.6	2,750	687.50	2.7
75,000	2.750% Due 12-12-14 Federal Farm Credit Bank	109.09	81,817.50	108.51	81,384.00	2.0	4,800	3,600.00	4.4
40,000	4.800% Due 10-19-15 Federal National Mortgage Assoc.	100.78	40,313.25	100.67	40,267.00	1.0	1,000	400.00	1.0
	1.000% Due 02-27-17 Accrued Interest		177,434.75		1,334.17	0.0			
					178,887.21	4.3		6,187.50	3.5

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**PORTFOLIO APPRAISAL**  
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 November 30, 2013

Quantity	Security	Unit Cost	Total Cost	Price	Market Value	Pct. Assets	Unit Income	Annual Income	Cur. Yield
<b>CORPORATE</b>									
20,000	Fedex Corp 7.375% Due 01-15-14	103.46	20,692.20	100.78	20,155.86	0.5	7,375	1,475.00	7.3
25,000	Goldman Sachs Group Inc	108.21	27,053.25	100.53	25,131.73	0.6	5,150	1,287.50	5.1
25,000	5.150% Due 01-15-14 Valero Energy Corp	105.91	26,478.50	101.36	25,340.40	0.6	4,750	1,187.50	4.7
25,000	4.750% Due 04-01-14 Viacom Inc	100.97	25,242.50	100.53	25,131.75	0.6	1,250	312.50	1.2
25,000	1.250% Due 02-27-15 Capital One Financial Corp	102.38	25,594.50	101.76	25,440.20	0.6	2,150	537.50	2.1
25,000	2.150% Due 03-23-15 Dominion Resources Inc	110.42	27,605.50	106.88	26,719.88	0.6	5,150	1,287.50	4.8
25,000	5.150% Due 07-15-15 JP Morgan Chase & Co	104.25	26,063.00	103.42	25,854.63	0.6	2,600	650.00	2.5
25,000	2.600% Due 01-15-16 General Electric Capital Corp	115.56	28,889.25	114.84	28,708.90	0.7	5,625	1,406.25	4.9
20,000	5.625% Due 09-15-17 Exelon Generation Co LLC	117.69	23,537.85	114.45	22,889.12	0.6	6,200	1,240.00	5.4
25,000	6.200% Due 10-01-17 Watson Pharmaceuticals Inc	99.57	24,891.80	99.77	24,942.58	0.6	1,875	468.75	1.9
25,000	1.875% Due 10-01-17 Bank of America Corp	115.89	28,971.75	114.54	28,633.98	0.7	5,750	1,437.50	5.0
	5.750% Due 12-01-17								

Martin & Company  
**PORTFOLIO APPRAISAL**  
*Sampson Foundation, Inc.*  
 November 30, 2013

Quantity	Security	Unit Cost	Total Cost	Price	Market Value	Pct. Assets	Unit Income	Annual Income	Cur. Yield
25,000	Meirill Lynch & Co 6 875% Due 04-25-18	102.45	25,611.50	119.39	29,846.33	0.7	6,875	1,718.75	5.8
25,000	Alcoa Inc 6.750% Due 07-15-18	116.33	29,082.00	112.43	28,107.20	0.7	6,750	1,687.50	6.0
25,000	BB&T Corp 6.850% Due 04-30-19	113.92	28,480.75	122.39	30,597.30	0.7	6,850	1,712.50	5.6
25,000	Comcast Corp 5.700% Due 07-01-19	106.21	26,552.50	116.91	29,227.40	0.7	5,700	1,425.00	4.9
25,000	Hewlett-Packard Co 3.750% Due 12-01-20	100.92	25,230.50	100.06	25,013.83	0.6	3,750	937.50	3.7
	Accrued Interest				5,424.21	0.1			
			419,977.35		427,165.27	10.3		18,771.25	4.5
<b>MUNICIPALS (TAXABLE)</b>									
25,000	New York NY Taxable - Ser F-2	100.43	25,108.25	104.86	26,214.00	0.6	3,170	792.50	3.0
25,000	3 170% Due 12-01-15 Massachusetts St Hsg Fin Agy Taxable Ser D	100.17	25,042.75	99.45	24,863.50	0.6	1,306	326.50	1.3
50,000	1.306% Due 06-01-16 Metro Govt Nashville & Davidson Co TN Sports Auth Taxable Ser A	100.01	50,005.25	99.48	49,741.50	1.2	1,464	732.00	1.5
25,000	1.464% Due 07-01-16 Maine St Hsg Auth Mfge Rev Taxable Ser C	100.02	25,005.25	98.84	24,711.00	0.6	1,406	351.50	1.4
	1.406% Due 11-15-17								

Martin & Company  
**PORTFOLIO APPRAISAL**  
*Sampson Foundation, Inc.*  
 November 30, 2013

Quantity	Security	Unit Cost	Total Cost	Price	Market Value	Pct. Assets	Unit Income	Annual Income	Cur. Yield
25.000	University of North Carolina Asheville Build America Bonds Taxable	101.08	25,271.00	106.06	26,515.75	0.6	4.556	1,139.00	4.3
	4.556% Due 06-01-19				1,340.71	0.0			
	Accrued Interest		150,432.50		153,386.46	3.7		3,341.50	2.2
<b>MUNICIPAL</b>									
25.000	Johnson City TN H&E Fac Brd Hosp Rev Mtn States Hlth Alliance	110.07	27,518.25	109.03	27,257.00	0.7	4.750	1,187.50	4.4
	4.750% Due 07-01-19				491.49	0.0			
	Accrued Interest		27,518.25		27,748.49	0.7		1,187.50	4.4
<b>CASH AND EQUIVALENTS</b>									
	Accrued Dividends		4,947.85		4,947.85	0.1	0.000	0.00	0.0
	LUBS RMA US Govt Portfolio		186,394.83		186,394.83	4.5	0.010	18.64	0.0
			191,342.68		191,342.68	4.6		18.64	0.0
<b>TOTAL PORTFOLIO</b>			<b>3,167,001.86</b>		<b>4,142,144.08</b>	<b>100.0</b>		<b>97,116.13</b>	<b>2.3</b>

**Distribution to Donor Advised Fund**

The Sampson Foundation

EIN: 62-1655037

11/30/2013

Recipient:	East Tennessee Foundation
Amount of Gifts During Current Tax Year:	\$255,000
Amount Treated as Qualifying Distribution.	\$255,000

The Sampson Foundation and related parties have been donating to a donor-advised fund (the "Fund") administered by the East Tennessee Foundation since December 31, 1990. Except for a small administrative cost, all donations to the Fund are distributed to qualifying charities in a timely manner fulfilling The Sampson Foundation's charitable purpose within section 170(c)(2)(B).

A list is attached showing the qualifying charities that have received donations from the Fund for the year

## East Tennessee Foundation

Gift History - Year-to-Date

Sampson Enterprises Inc. Fund

Gift Date	Donor Name	Gift Description	Amount
09/27/2013	Sampson Foundation	Cash	90,000.00
07/25/2013	Sampson Foundation	Cash	90,000.00
05/17/2013	Sampson Foundation	Cash	75,000.00
<b>3 Gifts Listed:</b>			<b>255,000.00</b>

 [Export Gifts](#)

## East Tennessee Foundation

Grants Paid - Year -to-Date

Sampson Enterprises Inc. Fund

Date Paid	Grantee Name	Amount
12/20/2013	Blount Mansion Association in support of the Capital Campaign	5,000.00
12/20/2013	United Way of Washington County in support of annual giving	5,000.00
12/06/2013	Hospitality Pantries, Inc. in support of a new cargo van	2,000.00
11/15/2013	Junior League of Knoxville, Inc. in support of annual campaign	3,000.00
11/15/2013	The Next Door - Knoxville as a matching grant in support of the annual luncheon	10,000.00
10/24/2013	UT Knoxville in support of the McClung Museum's bronze dinosaur entrance sculpture	5,000.00
10/17/2013	The Great Schools Partnership Charitable Trust in support of Gates Challenge Grant recommended by the Cherokee Distributing Company	10,000.00
10/04/2013	CMOHS Convention - Knoxville in support of the Knoxville Convention	20,000.00
09/26/2013	United Way of Greater Knoxville in support of Annual Gift	35,000.00
09/20/2013	Legacy Parks Foundation in support of annual luncheon	1,000.00
09/12/2013	East Tennessee Historical Society in support of annual gift	5,000.00
07/01/2013	National Association to Protect Children in support of the HEROS program	43,000.00
06/07/2013	Fort Loudoun Lake Association in support of annual giving	2,500.00
06/07/2013	Thompson Cancer Survival Center Foundation in support of Buddy's Race Against Cancer	4,000.00
05/17/2013	Knox Heritage, Inc. in support of the Capital Campaign	30,000.00
05/10/2013	CMOHS Convention - Knoxville in support of the Convention	20,000.00
05/10/2013	Sequoyah Elementary Foundation in support of Annual Support	5,000.00
05/01/2013	Knox Youth Sports, Inc. in support of an Annual Gift	4,000.00
02/25/2013	West High School Foundation in support of the Spring Soiree	5,000.00
02/08/2013	CMOHS Convention - Knoxville in support of the 2014 Congressional Medal of Honor Convention	20,000.00

12,000

02/08/2013	Helen Ross McNabb Center, Inc. in support of the Bass Tournament and Clay Tournament	12,500.00
01/23/2013	American Heart Association, Inc. Greater Southeast Affiliate, Knoxville in memory of Herb Ogle	1,000.00
01/23/2013	Knoxville Habitat for Humanity in support of the St. John's Cathedral Build	5,000.00
<b>23 Grants Paid:</b>		<b>253,000.00</b>

December 2013

<12,000>

December 2012

7,000

248,000