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Form 990-PF

Department of the Treasury  
Internal Revenue Service

## Return of Private Foundation

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

Do not enter Social Security numbers on this form as it may be made public.

Information about Form 990-PF and its separate instructions is at [www.irs.gov/form990pf](http://www.irs.gov/form990pf).

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning

, and ending

Name of foundation

A Employer identification number

SWARTZ FOUNDATION

04-3255974

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

Room/suite

C/O ROPES &amp; GRAY LLP, 800 BOYLSTON ST

B Telephone number

(617) 951-7000

City or town, state or province, country, and ZIP or foreign postal code

BOSTON, MA 02199-3600

C If exemption application is pending, check here ☐

Check all that apply:

☐ Initial return☐ Initial return of a former public charity☐ Final return☐ Amended return☐ Address change☐ Name changeD 1. Foreign organizations, check here ☐2. Foreign organizations meeting the 85% test, check here and attach computation ☐

Check type of organization:

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

Fair market value of all assets at end of year

J Accounting method: ☒ Cash ☐ Accrual

(From Part II, col (c), line 16)

☐ Other (specify)

\$ 212,302,850. (Part I, column (d) must be on cash basis.)

## 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 ☒ if the foundation is not required to attach Sch B

3 Interest on savings and temporary cash investments

5,146.

5,146.

STATEMENT 1

4 Dividends and interest from securities

3,406,047.

3,709,739.

STATEMENT 2

5a Gross rents

b Net rental income or (loss)

6a Net gain or (loss) from sale of assets not on line 10

17,159,892.

b Gross sales price for all assets on line 6a 132,400,479.

7 Capital gain net income (from Part IV, line 2)

17,159,892.

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

28,740.

1,427,418.

STATEMENT 3

12 Total Add lines 1 through 11

20,599,825.

22,302,195.

13 Compensation of officers, directors, trustees, etc

235,812.

153,278.

82,534.

14 Other employee salaries and wages

15 Pension plans, employee benefits

16a Legal fees STMT 4

28,724.

18,346.

10,378.

b Accounting fees STMT 5

71,584.

47,723.

23,861.

c Other professional fees STMT 6

440,319.

440,319.

0.

17 Interest

18 Taxes STMT 7

125,753.

70,751.

0.

19 Depreciation and depletion

20 Occupancy

21 Travel, conferences, and meetings

22 Printing and publications

23 Other expenses STMT 8

58,001.

1,262,582.

0.

24 Total operating and administrative expenses Add lines 13 through 23

960,193.

1,992,999.

116,773.

25 Contributions, gifts, grants paid

12,379,094.

12,379,094.

26 Total expenses and disbursements Add lines 24 and 25

13,339,287.

1,992,999.

12,495,867.

27 Subtract line 26 from line 12:

a Excess of revenue over expenses and disbursements

7,260,538.

b Net investment income (if negative, enter -0-)

20,309,196.

c Adjusted net income (if negative, enter -0-)

N/A

323501  
10-10-13

LHA For Paperwork Reduction Act Notice, see instructions

Form 990-PF (2013)

| Part II Balance Sheets      |     | Attached schedules and amounts in the description column should be for end-of-year amounts only |                | Beginning of year     | End of year  |              |
|-----------------------------|-----|-------------------------------------------------------------------------------------------------|----------------|-----------------------|--------------|--------------|
|                             |     | (a) Book Value                                                                                  | (b) Book Value | (c) Fair Market Value |              |              |
| Assets                      | 1   | Cash - non-interest-bearing                                                                     |                |                       |              |              |
|                             | 2   | Savings and temporary cash investments                                                          |                | 32,247,083.           | 24,416,138.  | 24,416,138.  |
|                             | 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                                             |                |                       |              |              |
|                             | b   | Investments - corporate stock                                                                   | STMT 11        | 56,155,253.           | 73,477,152.  | 73,495,167.  |
|                             | c   | Investments - corporate bonds                                                                   | STMT 12        | 37,440,089.           | 31,476,480.  | 31,137,479.  |
| Liabilities                 | 11  | Investments - land, buildings, and equipment basis ▶                                            |                |                       |              |              |
|                             |     | Less: accumulated depreciation ▶                                                                |                |                       |              |              |
|                             | 12  | Investments - mortgage loans                                                                    |                |                       |              |              |
|                             | 13  | Investments - other                                                                             | STMT 13        | 10,857,244.           | 0.           | 0.           |
|                             | 14  | Land, buildings, and equipment: basis ▶                                                         |                |                       |              |              |
|                             |     | Less: accumulated depreciation ▶                                                                |                |                       |              |              |
|                             | 15  | Other assets (describe ▶ STATEMENT 14)                                                          |                | 77,125,705.           | 74,157,153.  | 83,254,066.  |
|                             | 16  | Total assets (to be completed by all filers - see the instructions. Also, see page 1, item 1)   |                | 213,825,374.          | 203,526,923. | 212,302,850. |
|                             | 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"/>                         |                |                       |              |              |
|                             |     | and complete lines 24 through 26 and lines 30 and 31.                                           |                |                       |              |              |
|                             | 24  | Unrestricted                                                                                    |                |                       |              |              |
|                             | 25  | Temporarily restricted                                                                          |                |                       |              |              |
|                             | 26  | Permanently restricted                                                                          |                |                       |              |              |
|                             |     | Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/>       |                |                       |              |              |
|                             |     | and complete lines 27 through 31.                                                               |                |                       |              |              |
|                             | 27  | Capital stock, trust principal, or current funds                                                |                | 115,914,320.          | 115,914,320. |              |
|                             | 28  | Paid-in or capital surplus, or land, bldg., and equipment fund                                  |                | 0.                    | 0.           |              |
|                             | 29  | Retained earnings, accumulated income, endowment, or other funds                                |                | 97,911,054.           | 87,612,603.  |              |
|                             | 30  | Total net assets or fund balances                                                               |                | 213,825,374.          | 203,526,923. |              |
|                             | 31  | Total liabilities and net assets/fund balances                                                  |                | 213,825,374.          | 203,526,923. |              |

## 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<br>(must agree with end-of-year figure reported on prior year's return) | 1 | 213,825,374. |
| 2 | Enter amount from Part I, line 27a                                                                                                                            | 2 | 7,260,538.   |
| 3 | Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 9                                                                                            | 3 | 3,177,954.   |
| 4 | Add lines 1, 2, and 3                                                                                                                                         | 4 | 224,263,866. |
| 5 | Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 10                                                                                                 | 5 | 20,736,943.  |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30                                                         | 6 | 203,526,923. |

**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<br>P - Purchase<br>D - Donation | (c) Date acquired<br>(mo., day, yr.) | (d) Date sold<br>(mo., day, yr.) |
|------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------|--------------------------------------|----------------------------------|
| <b>1a</b>                                                                                                                          |                                                  |                                      |                                  |
| <b>b</b> SEE ATTACHED STATEMENTS                                                                                                   |                                                  |                                      |                                  |
| <b>c</b>                                                                                                                           |                                                  |                                      |                                  |
| <b>d</b>                                                                                                                           |                                                  |                                      |                                  |
| <b>e</b>                                                                                                                           |                                                  |                                      |                                  |

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| <b>a</b>              |                                            |                                                 |                                              |
| <b>b</b>              |                                            |                                                 |                                              |
| <b>c</b>              |                                            |                                                 |                                              |
| <b>d</b>              |                                            |                                                 |                                              |
| <b>e</b> 132,400,479. |                                            | 115,240,587.                                    | 17,159,892.                                  |

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

| (i) F.M.V. as of 12/31/69 | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col. (i)<br>over col. (j), if any | (l) Gains (Col. (h) gain minus<br>col. (k), but not less than -0-) or<br>Losses (from col. (h)) |
|---------------------------|--------------------------------------|-------------------------------------------------|-------------------------------------------------------------------------------------------------|
| <b>a</b>                  |                                      |                                                 |                                                                                                 |
| <b>b</b>                  |                                      |                                                 |                                                                                                 |
| <b>c</b>                  |                                      |                                                 |                                                                                                 |
| <b>d</b>                  |                                      |                                                 |                                                                                                 |
| <b>e</b>                  |                                      |                                                 | 17,159,892.                                                                                     |

**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** 17,159,892.

**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<br>Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio<br>(col. (b) divided by col. (c)) |
|-------------------------------------------------------------------|---------------------------------------|-------------------------------------------|----------------------------------------------------------|
| 2012                                                              | 16,513,450.                           | 225,549,057.                              | .073214                                                  |
| 2011                                                              | 14,888,530.                           | 223,165,998.                              | .066715                                                  |
| 2010                                                              | 10,744,050.                           | 142,153,100.                              | .075581                                                  |
| 2009                                                              | 8,173,410.                            | 128,424,880.                              | .063644                                                  |
| 2008                                                              | 11,262,352.                           | 153,706,218.                              | .073272                                                  |

**2** Total of line 1, column (d) **2** .352426

**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** .070485

**4** Enter the net value of noncharitable-use assets for 2013 from Part X, line 5 **4** 207,381,997.

**5** Multiply line 4 by line 3 **5** 14,617,320.

**6** Enter 1% of net investment income (1% of Part I, line 27b) **6** 203,092.

**7** Add lines 5 and 6 **7** 14,820,412.

**8** Enter qualifying distributions from Part XII, line 4 **8** 12,495,867.

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

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

|                                                                                                                                                                                                                                        |    |          |          |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|----------|----------|
| 1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1.<br>Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions) |    | 1        | 406,184. |
| 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                                                                                      |    | 2        | 0.       |
| c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).                                                                                                             |    | 3        | 406,184. |
| 2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)                                                                                                                            |    | 4        | 0.       |
| 3 Add lines 1 and 2                                                                                                                                                                                                                    |    | 5        | 406,184. |
| 4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)                                                                                                                          |    |          |          |
| 5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-                                                                                                                                              |    |          |          |
| 6 Credits/Payments:                                                                                                                                                                                                                    |    |          |          |
| a 2013 estimated tax payments and 2012 overpayment credited to 2013                                                                                                                                                                    | 6a | 59,714.  |          |
| b Exempt foreign organizations - tax withheld at source                                                                                                                                                                                | 6b |          |          |
| c Tax paid with application for extension of time to file (Form 8868)                                                                                                                                                                  | 6c | 250,000. |          |
| d Backup withholding erroneously withheld                                                                                                                                                                                              | 6d |          |          |
| 7 Total credits and payments. Add lines 6a through 6d                                                                                                                                                                                  | 7  | 309,714. |          |
| 8 Enter any penalty for underpayment of estimated tax. Check here <input checked="" type="checkbox"/> if Form 2220 is attached                                                                                                         | 8  | 7,643.   |          |
| 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed                                                                                                                                                        | 9  | 104,113. |          |
| 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 2014 estimated tax <input type="checkbox"/> Refunded <input type="checkbox"/>                                                                                                        | 11 |          |          |

**Part VII-A Statements Regarding Activities**

|                                                                                                                                                                                                                                                                                                                                               | Yes | No |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?                                                                                                                                                                       |     | X  |
| 1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)?<br>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 |     | X  |
| c Did the foundation file Form 1120-POL for this year?                                                                                                                                                                                                                                                                                        |     | X  |
| d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year:<br>(1) On the foundation. <input type="checkbox"/> \$ 0. (2) On foundation managers. <input type="checkbox"/> \$ 0.                                                                                                                      |     |    |
| e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. <input type="checkbox"/> \$ 0.                                                                                                                                                                        |     |    |
| 2 Has the foundation engaged in any activities that have not previously been reported to the IRS?<br>If "Yes," attach a detailed description of the activities                                                                                                                                                                                |     | X  |
| 3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes                                                                                                                  |     | X  |
| 4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?                                                                                                                                                                                                                                                | X   |    |
| b If "Yes," has it filed a tax return on Form 990-T for this year?                                                                                                                                                                                                                                                                            | X   |    |
| 5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?<br>If "Yes," attach the statement required by General Instruction T                                                                                                                                                                          |     | X  |
| 6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either:<br>• By language in the governing instrument, or<br>• By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?          | X   |    |
| 7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV                                                                                                                                                                                                            | X   |    |
| 8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> MA                                                                                                                                                                                                             |     |    |
| b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation                                                                                                                                 | X   |    |
| 9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV                                                                                        |     | X  |
| 10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses                                                                                                                                                                                                         |     | X  |

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

|    |                                                                                                                                                                                                                                                                                                                                   |    |     |    |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|-----|----|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)                                                                                                                                           | 11 |     | X  |
| 12 | Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)                                                                                                                                          | 12 |     | X  |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application?<br>Website address ► <u>N/A</u>                                                                                                                                                                               | 13 | X   |    |
| 14 | The books are in care of ► <u>ROPES &amp; GRAY LLP</u> Telephone no. ► <u>617-951-7000</u><br>Located at ► <u>800 BOYLSTON STREET, BOSTON, MA</u> ZIP+4 ► <u>02199-3600</u>                                                                                                                                                       |    |     |    |
| 15 | Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year<br>► <u>15</u> N/A                                                                                                                            |    |     |    |
| 16 | At any time during calendar year 2013, 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?<br>See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ► | 16 | Yes | No |
|    |                                                                                                                                                                                                                                                                                                                                   |    |     | X  |

**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 checked="" type="checkbox"/> Yes <input 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)?<br>Organizations relying on a current notice regarding disaster assistance check here ► <input type="checkbox"/>                                                                                                                                                          | 1b                                                                  | X  |
| 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 2013?                                                                                                                                                                                                                                                                                                        | 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 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013?<br>If "Yes," list the years ► _____, _____, _____                                                                                                                                                                                                                                                                                            | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |    |
| 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.<br>► _____, _____, _____                                                                                                                                                                                                                                                                                                                                                      |                                                                     |    |
| 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 2013 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 2013) | 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 2013?                                                                                                                                                                                                                                                              | 4b                                                                  | X  |

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

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)?

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No**b** If any answer is "Yes" to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

N/A

☐ Yes ☐ No

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

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

6b

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

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

☐ Yes ☒ No

7b

**7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

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

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|----------------------|-----------------------------------------------------------|-------------------------------------------|-----------------------------------------------------------------------|---------------------------------------|
| SEE STATEMENT 15     |                                                           | 235,812.                                  | 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

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**Part VIII** Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors *(continued)***3** Five highest-paid independent contractors for professional services. 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<br>SEE STATEMENT 16 | 116,773. |
| 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                                                          |        |
| 3 All other program-related investments. See instructions. |        |
| Total. Add lines 1 through 3                               | 0.     |

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

|          |                                                                                                             |           |              |
|----------|-------------------------------------------------------------------------------------------------------------|-----------|--------------|
| <b>1</b> | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes: |           |              |
| <b>a</b> | Average monthly fair market value of securities                                                             | <b>1a</b> | 0.           |
| <b>b</b> | Average of monthly cash balances                                                                            | <b>1b</b> | 25,601,612.  |
| <b>c</b> | Fair market value of all other assets                                                                       | <b>1c</b> | 184,938,486. |
| <b>d</b> | <b>Total</b> (add lines 1a, b, and c)                                                                       | <b>1d</b> | 210,540,098. |
| <b>e</b> | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)   | <b>1e</b> | 0.           |
| <b>2</b> | Acquisition indebtedness applicable to line 1 assets                                                        | <b>2</b>  | 0.           |
| <b>3</b> | Subtract line 2 from line 1d                                                                                | <b>3</b>  | 210,540,098. |
| <b>4</b> | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)   | <b>4</b>  | 3,158,101.   |
| <b>5</b> | <b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4 | <b>5</b>  | 207,381,997. |
| <b>6</b> | <b>Minimum investment return.</b> Enter 5% of line 5                                                        | <b>6</b>  | 10,369,100.  |

**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.)

|           |                                                                                                           |           |             |
|-----------|-----------------------------------------------------------------------------------------------------------|-----------|-------------|
| <b>1</b>  | Minimum investment return from Part X, line 6                                                             | <b>1</b>  | 10,369,100. |
| <b>2a</b> | Tax on investment income for 2013 from Part VI, line 5                                                    | <b>2a</b> | 406,184.    |
| <b>b</b>  | Income tax for 2013. (This does not include the tax from Part VI.)                                        | <b>2b</b> |             |
| <b>c</b>  | Add lines 2a and 2b                                                                                       | <b>2c</b> | 406,184.    |
| <b>3</b>  | Distributable amount before adjustments. Subtract line 2c from line 1                                     | <b>3</b>  | 9,962,916.  |
| <b>4</b>  | Recoveries of amounts treated as qualifying distributions                                                 | <b>4</b>  | 0.          |
| <b>5</b>  | Add lines 3 and 4                                                                                         | <b>5</b>  | 9,962,916.  |
| <b>6</b>  | Deduction from distributable amount (see instructions)                                                    | <b>6</b>  | 0.          |
| <b>7</b>  | <b>Distributable amount as adjusted.</b> Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | <b>7</b>  | 9,962,916.  |

**Part XII****Qualifying Distributions** (see instructions)

|          |                                                                                                                                   |           |             |
|----------|-----------------------------------------------------------------------------------------------------------------------------------|-----------|-------------|
| <b>1</b> | Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:                                        |           |             |
| <b>a</b> | Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26                                                     | <b>1a</b> | 12,495,867. |
| <b>b</b> | Program-related investments - total from Part IX-B                                                                                | <b>1b</b> | 0.          |
| <b>2</b> | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes                         | <b>2</b>  |             |
| <b>3</b> | Amounts set aside for specific charitable projects that satisfy the:                                                              |           |             |
| <b>a</b> | Suitability test (prior IRS approval required)                                                                                    | <b>3a</b> |             |
| <b>b</b> | Cash distribution test (attach the required schedule)                                                                             | <b>3b</b> |             |
| <b>4</b> | <b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4                 | <b>4</b>  | 12,495,867. |
| <b>5</b> | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b | <b>5</b>  | 0.          |
| <b>6</b> | <b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4                                                             | <b>6</b>  | 12,495,867. |

**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)<br>Corpus | (b)<br>Years prior to 2012 | (c)<br>2012 | (d)<br>2013 |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|----------------------------|-------------|-------------|
| <b>1</b> Distributable amount for 2013 from Part XI, line 7                                                                                                                       |               |                            |             | 9,962,916.  |
| <b>2</b> Undistributed income, if any, as of the end of 2013                                                                                                                      |               |                            |             |             |
| <b>a</b> Enter amount for 2012 only                                                                                                                                               |               |                            | 0.          |             |
| <b>b</b> Total for prior years:                                                                                                                                                   |               | 0.                         |             |             |
| <b>3</b> Excess distributions carryover, if any, to 2013:                                                                                                                         |               |                            |             |             |
| <b>a</b> From 2008                                                                                                                                                                | 3,605,439.    |                            |             |             |
| <b>b</b> From 2009                                                                                                                                                                | 1,816,608.    |                            |             |             |
| <b>c</b> From 2010                                                                                                                                                                | 3,799,769.    |                            |             |             |
| <b>d</b> From 2011                                                                                                                                                                | 6,005,104.    |                            |             |             |
| <b>e</b> From 2012                                                                                                                                                                | 5,399,523.    |                            |             |             |
| <b>f</b> Total of lines 3a through e                                                                                                                                              | 20,626,443.   |                            |             |             |
| <b>4</b> Qualifying distributions for 2013 from Part XII, line 4: ► \$ 12,495,867.                                                                                                |               |                            |             |             |
| <b>a</b> Applied to 2012, but not more than line 2a                                                                                                                               |               |                            | 0.          |             |
| <b>b</b> Applied to undistributed income of prior years (Election required - see instructions)                                                                                    |               | 0.                         |             |             |
| <b>c</b> Treated as distributions out of corpus (Election required - see instructions)                                                                                            | 0.            |                            |             |             |
| <b>d</b> Applied to 2013 distributable amount                                                                                                                                     |               |                            |             | 9,962,916.  |
| <b>e</b> Remaining amount distributed out of corpus                                                                                                                               | 2,532,951.    |                            |             |             |
| <b>5</b> Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a))                                         | 0.            |                            |             | 0.          |
| <b>6</b> Enter the net total of each column as indicated below:                                                                                                                   |               |                            |             |             |
| <b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5                                                                                                                          | 23,159,394.   |                            |             |             |
| <b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b                                                                                                         |               | 0.                         |             |             |
| <b>c</b> 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.                         |             |             |
| <b>d</b> Subtract line 6c from line 6b. Taxable amount - see instructions                                                                                                         |               | 0.                         |             |             |
| <b>e</b> Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instr.                                                                                |               |                            | 0.          |             |
| <b>f</b> Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014                                                              |               |                            |             | 0.          |
| <b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)                                                     | 0.            |                            |             |             |
| <b>8</b> Excess distributions carryover from 2008 not applied on line 5 or line 7                                                                                                 | 3,605,439.    |                            |             |             |
| <b>9</b> Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a                                                                                              | 19,553,955.   |                            |             |             |
| <b>10</b> Analysis of line 9:                                                                                                                                                     |               |                            |             |             |
| <b>a</b> Excess from 2009                                                                                                                                                         | 1,816,608.    |                            |             |             |
| <b>b</b> Excess from 2010                                                                                                                                                         | 3,799,769.    |                            |             |             |
| <b>c</b> Excess from 2011                                                                                                                                                         | 6,005,104.    |                            |             |             |
| <b>d</b> Excess from 2012                                                                                                                                                         | 5,399,523.    |                            |             |             |
| <b>e</b> Excess from 2013                                                                                                                                                         | 2,532,951.    |                            |             |             |

|                 |                                                                                    |
|-----------------|------------------------------------------------------------------------------------|
| <b>Part XIV</b> | <b>Private Operating Foundations</b> (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 2013, 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)

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

| Recipient<br>Name and address (home or business)                                                 | If recipient is an individual,<br>show any relationship to<br>any foundation manager<br>or substantial contributor | Foundation<br>status of<br>recipient | Purpose of grant or<br>contribution | Amount             |
|--------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|--------------------------------------|-------------------------------------|--------------------|
| <b>a Paid during the year</b>                                                                    |                                                                                                                    |                                      |                                     |                    |
| ACTION FOR POST-SOVIET JEWRY<br>24 CRESCENT ST, SUITE 306<br>WALTHAM, MA 02453                   | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 500.               |
| AMERICAN FRIENDS OF MEIR PANIM<br>5316 NEW UTRECHT AVENUE<br>BROOKLYN, NY 11219                  | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 1,800.             |
| AMERICAN HEART ASSOCIATION<br>1101 NORTHCHASE PARKWAY, SUITE 1<br>MARIETTA, GA 30067             | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 500.               |
| AMERICAN ISRAEL EDUCATION FOUNDATION<br>251 H STREET, NW<br>WASHINGTON, DC 20001                 | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 1,450,000.         |
| ANTI-DEFAMATION LEAGUE OF B'NAI<br>B'RITH<br>823 UNITED NATIONS PLAZA<br>NEW YORK, NY 10017-3518 | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 2,000.             |
| <b>Total</b>                                                                                     | <b>SEE CONTINUATION SHEET(S)</b>                                                                                   |                                      |                                     | <b>12,379,094.</b> |
| <b>b Approved for future payment</b>                                                             |                                                                                                                    |                                      |                                     |                    |
| NONE                                                                                             |                                                                                                                    |                                      |                                     |                    |
|                                                                                                  |                                                                                                                    |                                      |                                     |                    |
|                                                                                                  |                                                                                                                    |                                      |                                     |                    |
|                                                                                                  |                                                                                                                    |                                      |                                     |                    |
| <b>Total</b>                                                                                     |                                                                                                                    |                                      |                                     | <b>0.</b>          |



|                  |                                                                                                                      |
|------------------|----------------------------------------------------------------------------------------------------------------------|
| <b>Part XVII</b> | <b>Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations</b> |
|------------------|----------------------------------------------------------------------------------------------------------------------|

- |          |                                                                                                                                                                                                                                                                                                                                                                                              | Yes          |
|----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|
| <b>1</b> | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?                                                                                                                                          |              |
| <b>a</b> | Transfers from the reporting foundation to a noncharitable exempt organization of:                                                                                                                                                                                                                                                                                                           |              |
|          | (1) Cash                                                                                                                                                                                                                                                                                                                                                                                     | <b>1a(1)</b> |
|          | (2) Other assets                                                                                                                                                                                                                                                                                                                                                                             | <b>1a(2)</b> |
| <b>b</b> | Other transactions:                                                                                                                                                                                                                                                                                                                                                                          |              |
|          | (1) Sales of assets to a noncharitable exempt organization                                                                                                                                                                                                                                                                                                                                   | <b>1b(1)</b> |
|          | (2) Purchases of assets from a noncharitable exempt organization                                                                                                                                                                                                                                                                                                                             | <b>1b(2)</b> |
|          | (3) Rental of facilities, equipment, or other assets                                                                                                                                                                                                                                                                                                                                         | <b>1b(3)</b> |
|          | (4) Reimbursement arrangements                                                                                                                                                                                                                                                                                                                                                               | <b>1b(4)</b> |
|          | (5) Loans or loan guarantees                                                                                                                                                                                                                                                                                                                                                                 | <b>1b(5)</b> |
|          | (6) Performance of services or membership or fundraising solicitations                                                                                                                                                                                                                                                                                                                       | <b>1b(6)</b> |
| <b>c</b> | Sharing of facilities, equipment, mailing lists, other assets, or paid employees                                                                                                                                                                                                                                                                                                             | <b>1c</b>    |
| <b>d</b> | If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received. |              |

|       | Yes | No |
|-------|-----|----|
| 1a(1) |     | X  |
| 1a(2) |     | X  |
| 1b(1) |     | X  |
| 1b(2) |     | X  |
| 1b(3) |     | X  |
| 1b(4) |     | X  |
| 1b(5) |     | X  |
| 1b(6) |     | X  |
| 1c    |     | X  |

[illegible]

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

- b** If "Yes," complete the following schedule.

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

**Sign  
Here**

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

**RNS** *[Signature]*  
Signature of officer or trustee

Date \_\_\_\_\_

TRUSTEE

Title

May the IRS discuss this return with the preparer shown below (see instr)?

☒ Yes ☐ No

**Paid  
Preparer  
Use Only**

Print/Type preparer's name

JOE A. WATERS

Preparer's signature \_\_\_\_\_

Joseph A. Wirth

Date \_\_\_\_\_

11/12/24

Check ☐ self-employed

|      |
|------|
| PTIN |
|------|

P00576174

Firm's name ► **ROPES & GRAY**

NAME: \_\_\_\_\_

|              |            |
|--------------|------------|
| Firm's EIN ▶ | 04-2233412 |
|--------------|------------|

71555412

Firm's address ▶ 800 BOYLSTON ST, 36TH FL  
BOSTON, MA 02199-3600

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Phone no. (617) 951-7000

Form 990-BE 12

## SWARTZ FOUNDATION

**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,<br>2-story brick warehouse; or common stock, 200 shs. MLC Co. |                                                   | (b) How acquired<br>P - Purchase<br>D - Donation | (c) Date acquired<br>(mo., day, yr.) | (d) Date sold<br>(mo., day, yr.) |
|--------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------|--------------------------------------------------|--------------------------------------|----------------------------------|
| 1a                                                                                                                                   | RCP FUND II, LP                                   | P                                                |                                      |                                  |
| b                                                                                                                                    | BAUPOST VALUE PARTNERS, LP - IV                   | P                                                |                                      |                                  |
| c                                                                                                                                    | BAUPOST VALUE PARTNERS, LP - IV                   | P                                                |                                      |                                  |
| d                                                                                                                                    | ADAMAS PARTNERS, L.P.                             | P                                                |                                      |                                  |
| e                                                                                                                                    | ADAMAS PARTNERS, L.P.                             | P                                                |                                      |                                  |
| f                                                                                                                                    | ADAMAS OPPORTUNITIES, L.P. (1YR)                  | P                                                |                                      |                                  |
| g                                                                                                                                    | ADAMAS OPPORTUNITIES, L.P. (1YR)                  | P                                                |                                      |                                  |
| h                                                                                                                                    | ADAMAS OPPORTUNITIES, L.P. (3YR)                  | P                                                |                                      |                                  |
| i                                                                                                                                    | ADAMAS OPPORTUNITIES, L.P. (3YR)                  | P                                                |                                      |                                  |
| j                                                                                                                                    | METRO REAL ESTATE PARTNER II, L.P.                | P                                                |                                      |                                  |
| k                                                                                                                                    | METRO REAL ESTATE PARTNER II, L.P.                | P                                                |                                      |                                  |
| l                                                                                                                                    | NB CROSSROADS FUND XVII - INSTITUTIONAL ASSET ALL | P                                                |                                      |                                  |
| m                                                                                                                                    | NB CROSSROADS FUND XVII - INSTITUTIONAL ASSET ALL | P                                                |                                      |                                  |
| n                                                                                                                                    | NB CROSSROADS FUND XVIII - ASSET ALLOC LP         | P                                                |                                      |                                  |
| o                                                                                                                                    | NB CROSSROADS FUND XVIII - ASSET ALLOC LP         | P                                                |                                      |                                  |

  

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| a                     | 213,871.                                   |                                                 | 213,871.                                     |
| b                     | 2,228,075.                                 |                                                 | 2,228,075.                                   |
| c                     | 609,133.                                   |                                                 | 609,133.                                     |
| d                     | 25,888.                                    |                                                 | 25,888.                                      |
| e                     | 208,832.                                   |                                                 | 208,832.                                     |
| f                     | 1,156.                                     |                                                 | 1,156.                                       |
| g                     | 14,777.                                    |                                                 | 14,777.                                      |
| h                     | 15,807.                                    |                                                 | 15,807.                                      |
| i                     | 189,479.                                   |                                                 | 189,479.                                     |
| j                     |                                            | 32.                                             | <32.>                                        |
| k                     | 95,302.                                    |                                                 | 95,302.                                      |
| l                     | 367.                                       |                                                 | 367.                                         |
| m                     | 451,499.                                   |                                                 | 451,499.                                     |
| n                     | 3,350.                                     |                                                 | 3,350.                                       |
| o                     | 65,132.                                    |                                                 | 65,132.                                      |

  

| (i) F.M.V. as of 12/31/69 | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col. (i)<br>over col. (j), if any | (l) Losses (from col. (h))<br>Gains (excess of col. (h) gain over col. (k),<br>but not less than "-0-") |
|---------------------------|--------------------------------------|-------------------------------------------------|---------------------------------------------------------------------------------------------------------|
| a                         |                                      |                                                 | 213,871.                                                                                                |
| b                         |                                      |                                                 | 2,228,075.                                                                                              |
| c                         |                                      |                                                 | 609,133.                                                                                                |
| d                         |                                      |                                                 | 25,888.                                                                                                 |
| e                         |                                      |                                                 | 208,832.                                                                                                |
| f                         |                                      |                                                 | 1,156.                                                                                                  |
| g                         |                                      |                                                 | 14,777.                                                                                                 |
| h                         |                                      |                                                 | 15,807.                                                                                                 |
| i                         |                                      |                                                 | 189,479.                                                                                                |
| j                         |                                      |                                                 | <32.>                                                                                                   |
| k                         |                                      |                                                 | 95,302.                                                                                                 |
| l                         |                                      |                                                 | 367.                                                                                                    |
| m                         |                                      |                                                 | 451,499.                                                                                                |
| n                         |                                      |                                                 | 3,350.                                                                                                  |
| o                         |                                      |                                                 | 65,132.                                                                                                 |

  

|   |                                                                                                                                                                                 |   |  |
|---|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|--|
| 2 | Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7<br>If (loss), enter "-0-" in Part I, line 7 }                                             | 2 |  |
| 3 | Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):<br>If gain, also enter in Part I, line 8, column (c).<br>If (loss), enter "-0-" in Part I, line 8 | 3 |  |

SWARTZ FOUNDATION

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,<br>2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired<br>P - Purchase<br>D - Donation | (c) Date acquired<br>(mo., day, yr.) | (d) Date sold<br>(mo., day, yr.) |
|--------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------|--------------------------------------|----------------------------------|
| 1a PERRY REAL ESTATE FUND I, L.P.                                                                                                    | P                                                |                                      |                                  |
| b HIGHVISTA II LIMITED PARTNERSHIP                                                                                                   | P                                                |                                      |                                  |
| c HIGHVISTA II LIMITED PARTNERSHIP                                                                                                   | P                                                |                                      |                                  |
| d RCP FUND II, LP                                                                                                                    | P                                                |                                      |                                  |
| e GS CAPITAL PARTNERS V                                                                                                              | P                                                |                                      |                                  |
| f GSCP V INSTITUTIONAL AIV, LP                                                                                                       | P                                                |                                      |                                  |
| g ROPES & GRAY LLP FIDUCIARY ACCOUNT #0087133 SEE A                                                                                  | P                                                |                                      |                                  |
| h ROPES & GRAY LLP FIDUCIARY ACCOUNT #0087133 SEE A                                                                                  | P                                                |                                      |                                  |
| i ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088488 SEE A                                                                                  | P                                                |                                      |                                  |
| j ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088488 SEE A                                                                                  | P                                                |                                      |                                  |
| k ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088500 SEE A                                                                                  | P                                                |                                      |                                  |
| l ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088500 SEE A                                                                                  | P                                                |                                      |                                  |
| m ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088501 SEE A                                                                                  | P                                                |                                      |                                  |
| n ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088501 SEE A                                                                                  | P                                                |                                      |                                  |
| o ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088501 SEE A                                                                                  | P                                                |                                      |                                  |

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| a 64,042.             |                                            |                                                 | 64,042.                                      |
| b 142,977.            |                                            |                                                 | 142,977.                                     |
| c 310,263.            |                                            |                                                 | 310,263.                                     |
| d 501.                |                                            |                                                 | 501.                                         |
| e 256,532.            |                                            |                                                 | 256,532.                                     |
| f                     |                                            | 32,490.                                         | <32,490.>                                    |
| g 13,143,907.         |                                            | 12,275,300.                                     | 868,607.                                     |
| h 5,599,791.          |                                            | 4,723,833.                                      | 875,958.                                     |
| i 7,984,283.          |                                            | 8,389,035.                                      | <404,752.>                                   |
| j 24,368,220.         |                                            | 25,034,213.                                     | <665,993.>                                   |
| k 10,489,940.         |                                            | 10,645,775.                                     | <155,835.>                                   |
| l 7,886,060.          |                                            | 7,518,927.                                      | 367,133.                                     |
| m 1,282,202.          |                                            | 1,236,169.                                      | 46,033.                                      |
| n 956,652.            |                                            | 796,072.                                        | 160,580.                                     |
| o 86,406.             |                                            | 81,943.                                         | 4,463.                                       |

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

| (i) F.M.V. as of 12/31/69 | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col. (i)<br>over col. (j), if any | (l) Losses (from col. (h))<br>Gains (excess of col. (h) gain over col. (k),<br>but not less than "-0-") |
|---------------------------|--------------------------------------|-------------------------------------------------|---------------------------------------------------------------------------------------------------------|
| a                         |                                      |                                                 | 64,042.                                                                                                 |
| b                         |                                      |                                                 | 142,977.                                                                                                |
| c                         |                                      |                                                 | 310,263.                                                                                                |
| d                         |                                      |                                                 | 501.                                                                                                    |
| e                         |                                      |                                                 | 256,532.                                                                                                |
| f                         |                                      |                                                 | <32,490.>                                                                                               |
| g                         |                                      |                                                 | 868,607.                                                                                                |
| h                         |                                      |                                                 | 875,958.                                                                                                |
| i                         |                                      |                                                 | <404,752.>                                                                                              |
| j                         |                                      |                                                 | <665,993.>                                                                                              |
| k                         |                                      |                                                 | <155,835.>                                                                                              |
| l                         |                                      |                                                 | 367,133.                                                                                                |
| m                         |                                      |                                                 | 46,033.                                                                                                 |
| n                         |                                      |                                                 | 160,580.                                                                                                |
| o                         |                                      |                                                 | 4,463.                                                                                                  |

|                                                                                                                                                                                     |   |  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|--|
| 2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7<br>If (loss), enter "-0-" in Part I, line 7 }                                               | 2 |  |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6).<br>If gain, also enter in Part I, line 8, column (c).<br>If (loss), enter "-0-" in Part I, line 8 } | 3 |  |

**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<br>P - Purchase<br>D - Donation | (c) Date acquired<br>(mo., day, yr.) | (d) Date sold<br>(mo., day, yr.) |
|-----------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------|-------|--|--|--|--------------------------------------------------|--------------------------------------|----------------------------------|
| 1a                                                                                                                                | ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088501 | SEE A |  |  |  | P                                                |                                      |                                  |
| b                                                                                                                                 | ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088502 | SEE A |  |  |  | P                                                |                                      |                                  |
| c                                                                                                                                 | ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088502 | SEE A |  |  |  | P                                                |                                      |                                  |
| d                                                                                                                                 | ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088502 | SEE A |  |  |  | P                                                |                                      |                                  |
| e                                                                                                                                 | ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088503 | SEE A |  |  |  | P                                                |                                      |                                  |
| f                                                                                                                                 | ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088504 | SEE A |  |  |  | P                                                |                                      |                                  |
| g                                                                                                                                 | ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088504 | SEE A |  |  |  | P                                                |                                      |                                  |
| h                                                                                                                                 | ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088504 | SEE A |  |  |  | P                                                |                                      |                                  |
| i                                                                                                                                 | ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088505 | SEE A |  |  |  | P                                                |                                      |                                  |
| j                                                                                                                                 | ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088505 | SEE A |  |  |  | P                                                |                                      |                                  |
| k                                                                                                                                 | ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088505 | SEE A |  |  |  | P                                                |                                      |                                  |
| l                                                                                                                                 | ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088506 | SEE A |  |  |  | P                                                |                                      |                                  |
| m                                                                                                                                 | ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088506 | SEE A |  |  |  | P                                                |                                      |                                  |
| n                                                                                                                                 | ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088506 | SEE A |  |  |  | P                                                |                                      |                                  |
| o                                                                                                                                 | ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088507 | SEE A |  |  |  | P                                                |                                      |                                  |

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| a 1,422,383.          |                                            | 1,086,703.                                      | 335,680.                                     |
| b 5,204,133.          |                                            | 4,695,373.                                      | 508,760.                                     |
| c 6,298,066.          |                                            | 4,436,032.                                      | 1,862,034.                                   |
| d 729,974.            |                                            | 472,364.                                        | 257,610.                                     |
| e 7,010,562.          |                                            | 7,000,000.                                      | 10,562.                                      |
| f 598,128.            |                                            | 544,630.                                        | 53,498.                                      |
| g 759,014.            |                                            | 477,058.                                        | 281,956.                                     |
| h 1,073,377.          |                                            | 668,476.                                        | 404,901.                                     |
| i 209,462.            |                                            | 216,364.                                        | <6,902.>                                     |
| j 344,407.            |                                            | 276,024.                                        | 68,383.                                      |
| k 2,266,182.          |                                            | 914,216.                                        | 1,351,966.                                   |
| l 343,814.            |                                            | 291,260.                                        | 52,554.                                      |
| m 782,614.            |                                            | 605,015.                                        | 177,599.                                     |
| n 1,653,360.          |                                            | 1,029,371.                                      | 623,989.                                     |
| o 2,583,566.          |                                            | 2,474,715.                                      | 108,851.                                     |

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

| (i) F.M.V. as of 12/31/69 | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col. (i)<br>over col. (j), if any | (l) Losses (from col. (h))<br>Gains (excess of col. (h) gain over col. (k),<br>but not less than "-0-") |
|---------------------------|--------------------------------------|-------------------------------------------------|---------------------------------------------------------------------------------------------------------|
| a                         |                                      |                                                 | 335,680.                                                                                                |
| b                         |                                      |                                                 | 508,760.                                                                                                |
| c                         |                                      |                                                 | 1,862,034.                                                                                              |
| d                         |                                      |                                                 | 257,610.                                                                                                |
| e                         |                                      |                                                 | 10,562.                                                                                                 |
| f                         |                                      |                                                 | 53,498.                                                                                                 |
| g                         |                                      |                                                 | 281,956.                                                                                                |
| h                         |                                      |                                                 | 404,901.                                                                                                |
| i                         |                                      |                                                 | <6,902.>                                                                                                |
| j                         |                                      |                                                 | 68,383.                                                                                                 |
| k                         |                                      |                                                 | 1,351,966.                                                                                              |
| l                         |                                      |                                                 | 52,554.                                                                                                 |
| m                         |                                      |                                                 | 177,599.                                                                                                |
| n                         |                                      |                                                 | 623,989.                                                                                                |
| o                         |                                      |                                                 | 108,851.                                                                                                |

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

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

**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,<br>2-story brick warehouse; or common stock, 200 shs. MLC Co. |  | (b) How acquired<br>P - Purchase<br>D - Donation | (c) Date acquired<br>(mo., day, yr.) | (d) Date sold<br>(mo., day, yr.) |
|--------------------------------------------------------------------------------------------------------------------------------------|--|--------------------------------------------------|--------------------------------------|----------------------------------|
| 1a ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088507 SEE A                                                                                 |  | P                                                |                                      |                                  |
| 1b ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088507 SEE A                                                                                 |  | P                                                |                                      |                                  |
| 1c ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088508 SEE A                                                                                 |  | P                                                |                                      |                                  |
| 1d ROPES & GRAY LLP FIDUCIARY ACCOUNT #0088508 SEE A                                                                                 |  | P                                                |                                      |                                  |
| 1e GOLDMAN SACHS ACCT# 010-42896-9 - SEE ATTACHED                                                                                    |  | P                                                |                                      |                                  |
| 1f GOLDMAN SACHS ACCT# 010-42896-9 - SEE ATTACHED                                                                                    |  | P                                                |                                      |                                  |
| 1g GOLDMAN SACHS ACCT# 010-42896-9 - SEE ATTACHED                                                                                    |  | P                                                |                                      |                                  |
| 1h                                                                                                                                   |  |                                                  |                                      |                                  |
| 1i                                                                                                                                   |  |                                                  |                                      |                                  |
| 1j LEHMAN BROS HOLDINGS INC - BANKRUPTCY PROCEEDS                                                                                    |  | P                                                |                                      |                                  |
| 1k CAPITAL GAINS DIVIDENDS                                                                                                           |  |                                                  |                                      |                                  |
| 1l                                                                                                                                   |  |                                                  |                                      |                                  |
| 1m                                                                                                                                   |  |                                                  |                                      |                                  |
| 1n                                                                                                                                   |  |                                                  |                                      |                                  |
| 1o                                                                                                                                   |  |                                                  |                                      |                                  |

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| a 4,525,098.          |                                            | 3,353,337.                                      | 1,171,761.                                   |
| b 5,656,790.          |                                            | 3,476,434.                                      | 2,180,356.                                   |
| c 1,946,541.          |                                            | 1,948,918.                                      | <2,377.>                                     |
| d 3,079,788.          |                                            | 2,952,966.                                      | 126,822.                                     |
| e 477,296.            |                                            | 469,222.                                        | 8,074.                                       |
| f 79,962.             |                                            | 77,305.                                         | 2,657.                                       |
| g 7,892,033.          |                                            | 7,041,015.                                      | 851,018.                                     |
| h                     |                                            |                                                 | 0.                                           |
| i                     |                                            |                                                 | 0.                                           |
| j 326,326.            |                                            |                                                 | 326,326.                                     |
| k 443,159.            |                                            |                                                 | 443,159.                                     |
| l                     |                                            |                                                 |                                              |
| m                     |                                            |                                                 |                                              |
| n                     |                                            |                                                 |                                              |
| o                     |                                            |                                                 |                                              |

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

| (i) F.M.V. as of 12/31/69 | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col. (i)<br>over col. (j), if any | (l) Losses (from col. (h))<br>Gains (excess of col. (h) gain over col. (k),<br>but not less than "-0-") |
|---------------------------|--------------------------------------|-------------------------------------------------|---------------------------------------------------------------------------------------------------------|
| a                         |                                      |                                                 | 1,171,761.                                                                                              |
| b                         |                                      |                                                 | 2,180,356.                                                                                              |
| c                         |                                      |                                                 | <2,377.>                                                                                                |
| d                         |                                      |                                                 | 126,822.                                                                                                |
| e                         |                                      |                                                 | 8,074.                                                                                                  |
| f                         |                                      |                                                 | 2,657.                                                                                                  |
| g                         |                                      |                                                 | 851,018.                                                                                                |
| h                         |                                      |                                                 | 0.                                                                                                      |
| i                         |                                      |                                                 | 0.                                                                                                      |
| j                         |                                      |                                                 | 326,326.                                                                                                |
| k                         |                                      |                                                 | 443,159.                                                                                                |
| l                         |                                      |                                                 |                                                                                                         |
| m                         |                                      |                                                 |                                                                                                         |
| n                         |                                      |                                                 |                                                                                                         |
| o                         |                                      |                                                 |                                                                                                         |

|                                                                                                                                                                                     |   |             |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|-------------|
| 2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7<br>If (loss), enter "-0-" in Part I, line 7 }                                               | 2 | 17,159,892. |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):<br>If gain, also enter in Part I, line 8, column (c).<br>If (loss), enter "-0-" in Part I, line 8 } | 3 | N/A         |

2013 Tax Information Statement

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

Account Number:  
0087133  
Recipient's Tax ID Number:  
XX-XXX5974  
Payer's Federal ID Number:  
04-2233412  
Payer's State ID Number:  
MA  
State:  
(617)951-7706

Recipient's Name and Address:  
SWARTZ FOUNDATION

Questions?

☐ Corrected

☐ 2nd TIN notice

2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip                                     | Description (Box 8)                  | Stock or Other Symbol (Box 1d)  |                                 |                                |                                      |                             |                                        |                                |  |  |  |  |  |  |  |
|-------------------------------------------|--------------------------------------|---------------------------------|---------------------------------|--------------------------------|--------------------------------------|-----------------------------|----------------------------------------|--------------------------------|--|--|--|--|--|--|--|
| Quantity Sold<br>(Box 1e)                 | Date of Sale or Exchange<br>(Box 1a) | Date of Acquisition<br>(Box 1b) | Stocks, Bonds, etc.<br>(Box 2a) | Cost or Other Basis<br>(Box 3) | Wash Sale Loss Disallowed<br>(Box 5) | Net Gain or Loss<br>(Box 6) | Federal Income Tax Withheld<br>(Box 4) | State Tax Withheld<br>(Box 15) |  |  |  |  |  |  |  |
| Short Term Sales Reported on 1099-B       |                                      |                                 |                                 |                                |                                      |                             |                                        |                                |  |  |  |  |  |  |  |
| 04314H857                                 | ARTISAN INTL VALUE FD INS            |                                 | APHKX                           |                                |                                      |                             |                                        |                                |  |  |  |  |  |  |  |
| 33196.4220                                | 04/08/2013                           | Various                         | 1,081,871.39                    | 960,383.77                     | 0.00                                 | 121,487.62                  | 0.00                                   | 0.00                           |  |  |  |  |  |  |  |
| 04314H857                                 | ARTISAN INTL VALUE FD INS            |                                 | APHKX                           |                                |                                      |                             |                                        |                                |  |  |  |  |  |  |  |
| 30165.9130                                | 04/29/2013                           | 10/09/2012                      | 1,000,000.02                    | 871,159.33                     | 0.00                                 | 128,840.69                  | 0.00                                   | 0.00                           |  |  |  |  |  |  |  |
| 412295107                                 | HARDING LOEVNER INTL EQUITY FD INS   |                                 | HLMIX                           |                                |                                      |                             |                                        |                                |  |  |  |  |  |  |  |
| 40568 3030                                | 04/08/2013                           | 10/09/2012                      | 654,366.73                      | 612,175.69                     | 0.00                                 | 42,191.04                   | 0.00                                   | 0.00                           |  |  |  |  |  |  |  |
| 412295107                                 | HARDING LOEVNER INTL EQUITY FD INS   |                                 | HLMIX                           |                                |                                      |                             |                                        |                                |  |  |  |  |  |  |  |
| 60569 3520                                | 04/26/2013                           | 10/09/2012                      | 998,182.92                      | 913,991.52                     | 0.00                                 | 84,191.40                   | 0.00                                   | 0.00                           |  |  |  |  |  |  |  |
| 64128K868                                 | N B HIGH INCOME BOND FD INS          |                                 | NHILX                           |                                |                                      |                             |                                        |                                |  |  |  |  |  |  |  |
| 104384 1340                               | 04/08/2013                           | Various                         | 1,001,043.85                    | 981,507.41                     | 0.00                                 | 19,536.44                   | 0.00                                   | 0.00                           |  |  |  |  |  |  |  |
| 64128K868                                 | N B HIGH INCOME BOND FD INS          |                                 | NHILX                           |                                |                                      |                             |                                        |                                |  |  |  |  |  |  |  |
| 206185 5670                               | 04/26/2013                           | 08/06/2012                      | 2,002,061.85                    | 1,936,082.47                   | 0.00                                 | 65,979.38                   | 0.00                                   | 0.00                           |  |  |  |  |  |  |  |
| 922908496                                 | VANGUARD 500 IDX FD SIG              |                                 | VIFSX                           |                                |                                      |                             |                                        |                                |  |  |  |  |  |  |  |
| 55524.1860                                | 02/20/2013                           | Various                         | 6,406,380.58                    | 6,000,000.00                   | 0.00                                 | 406,380.58                  | 0.00                                   | 0.00                           |  |  |  |  |  |  |  |
| Total Short Term Sales Reported on 1099-B |                                      |                                 | 13,143,907.34                   | 12,275,300.19                  | 0.00                                 | 868,607.15                  | 0.00                                   | 0.00                           |  |  |  |  |  |  |  |

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. The taxpayer is ultimately responsible for the accuracy of their own tax return.

2013 Tax Information Statement

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

Recipient's Name and Address:  
SWARTZ FOUNDATION

Account Number: 0087133  
Recipient's Tax ID Number: XX-XXX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number:  
State: MA  
Questions? (617)951-7706

☐ Corrected ☐ 2nd TIN notice

Reported to the IRS as Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip                                            | Description (Box 8)                | Quantity Sold | Date of Sale or Exchange | Date of Acquisition | Stock or Other Symbol (Box 1d) |       |       |              |             | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|--------------------------------------------------|------------------------------------|---------------|--------------------------|---------------------|--------------------------------|-------|-------|--------------|-------------|---------------------------|------------------|-----------------------------|--------------------|
|                                                  |                                    |               |                          |                     | Stocks                         | Bonds | Other | Cost         | Other Basis |                           |                  |                             |                    |
|                                                  |                                    | (Box 1e)      | (Box 1a)                 | (Box 1b)            | (Box 2a)                       |       |       | (Box 3)      |             | (Box 5)                   | (Box 4)          | (Box 15)                    |                    |
| Report on Form 8949, Part I, with Box A checked  |                                    |               |                          |                     |                                |       |       |              |             |                           |                  |                             |                    |
| Long Term Sales Reported on 1099-B               |                                    |               |                          |                     |                                |       |       |              |             |                           |                  |                             |                    |
| 412295107                                        | HARDING LOEVNER INTL EQUITY FD INS |               |                          |                     | HL MIX                         |       |       |              |             |                           |                  |                             |                    |
| 315126 0840                                      | 11/06/2013 Various                 |               |                          |                     | 5,599,790.51                   |       |       | 4,723,832.79 |             | 0.00                      | 875,957.72       | 0.00                        | 0.00               |
| Total Long Term Sales Reported on 1099-B         |                                    |               |                          |                     | 5,599,790.51                   |       |       | 4,723,832.79 |             | 0.00                      | 875,957.72       | 0.00                        | 0.00               |
| Report on Form 8949, Part II, with Box D checked |                                    |               |                          |                     |                                |       |       |              |             |                           |                  |                             |                    |

2013 Tax Information Statement

Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

0088488

XX-XXX5974

04-2233412

MA

(617)951-7706

☐ 2nd TIN notice

Account Number:

Recipient's Tax ID Number:

Payer's Federal ID Number:

Payer's State ID Number:

State:

Questions?

☐ Corrected

Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds, etc., less commissions and option premiums.  
For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip                               | Description (Box 8)                |                        | Stock/Other Symbol (Box 1d) |                        |                              |                     |                                   |                          |  |  |  |  |
|-------------------------------------|------------------------------------|------------------------|-----------------------------|------------------------|------------------------------|---------------------|-----------------------------------|--------------------------|--|--|--|--|
|                                     | Date of<br>Sale or<br>Exchange     | Date of<br>Acquisition | Stocks<br>Bonds, etc.       | Cost or<br>Other Basis | Wash Sale<br>Loss Disallowed | Net Gain<br>or Loss | Federal<br>Income Tax<br>Withheld | State<br>Tax<br>Withheld |  |  |  |  |
| (Box 1e)                            | (Box 1a)                           |                        | (Box 2a)                    |                        |                              |                     |                                   |                          |  |  |  |  |
| Short Term Sales Reported on 1099-B |                                    |                        |                             |                        |                              |                     |                                   |                          |  |  |  |  |
| 045167AY9                           | ASIAN DEV BANK 5.593% 7/16/18      |                        |                             |                        |                              |                     |                                   |                          |  |  |  |  |
| 700000.0000                         | 03/06/2013                         | 11/02/2012             | 853,076.00                  | 865,480.00             | 0.00                         | -12,404.00          | 0.00                              | 0.00                     |  |  |  |  |
| 00206RBR2                           | AT&T INC 0.900% 2/12/16            |                        |                             |                        |                              |                     |                                   |                          |  |  |  |  |
| 1210000 0000                        | 09/04/2013                         | 02/07/2013             | 1,199,944.90                | 1,209,213.50           | 0.00                         | -9,268.60           | 0.00                              | 0.00                     |  |  |  |  |
| 13063BQ54                           | CALIFORNIA ST 5.000% 2/01/18       |                        |                             |                        |                              |                     |                                   |                          |  |  |  |  |
| 290000 0000                         | 08/02/2013                         | 03/15/2013             | 335,895.40                  | 338,236.35             | 0.00                         | -2,340.95           | 0.00                              | 0.00                     |  |  |  |  |
| 13063B3P5                           | CALIFORNIA ST 5.000% 10/01/18      |                        |                             |                        |                              |                     |                                   |                          |  |  |  |  |
| 320000 0000                         | 08/06/2013                         | 04/12/2013             | 374,316.80                  | 380,484.00             | 0.00                         | -6,167.20           | 0.00                              | 0.00                     |  |  |  |  |
| 25477GLK9                           | DIST OF COLUMBIA 5.000% 12/01/17   |                        |                             |                        |                              |                     |                                   |                          |  |  |  |  |
| 700000 0000                         | 05/21/2013                         | 11/08/2012             | 828,184.00                  | 830,237.97             | 0.00                         | -2,053.97           | 0.00                              | 0.00                     |  |  |  |  |
| 3133XUKV4                           | FHLB 3.750% 9/09/16                |                        |                             |                        |                              |                     |                                   |                          |  |  |  |  |
| 550000 0000                         | 06/13/2013                         | 09/07/2012             | 601,672.50                  | 618,706.00             | 0.00                         | -17,033.50          | 0.00                              | 0.00                     |  |  |  |  |
| 3128M6F29                           | FHLMC GD PL #G04385 5.500% 7/01/38 |                        |                             |                        |                              |                     |                                   |                          |  |  |  |  |
| 33089 4100                          | 09/15/2013                         | 07/29/2013             | 33,089.41                   | 35,938.20              | 0.00                         | -2,848.79           | 0.00                              | 0.00                     |  |  |  |  |

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# 2013 Tax Information Statement

Account Number: 0088488  
 Recipient's Tax ID Number: XX-XXX5974  
 Payer's Federal ID Number: 04-2233412  
 Payer's State ID Number: MA  
 State: (617)951-7706  
 Questions? ☐ 2nd TIN notice  
☐ Corrected

Payer's Name and Address:  
 ROPES & GRAY LLP FIDUCIARY ACCOUNT  
 800 BOYLSTON ST, PRUDENTIAL TOWER  
 BOSTON, MA 02199-3600

Recipient's Name and Address:  
 SWARTZ FOUNDATION  
 C/O ROPES & GRAY LLP PCG/TRUST  
 800 BOYLSTON ST, 30/051  
 800 BOYLSTON ST  
 BOSTON, MA 02199-3600

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip     | Description (Box 8)                | Date of Sale or Exchange | Quantity Sold (Box 1e) | Stocks (Box 2a) | Stocks (Box 2a) | Wash Sale Loss Disallowed | Net Gain/Loss | Federal Income Tax Withheld | State Income Tax Withheld |
|-----------|------------------------------------|--------------------------|------------------------|-----------------|-----------------|---------------------------|---------------|-----------------------------|---------------------------|
|           |                                    |                          |                        | (Box 1a)        | (Box 2a)        | (Box 2a)                  | (Box 4)       | (Box 15)                    | (Box 15)                  |
| 3128M6F29 | FHLMC GD PL #G04385 5.500% 7/01/38 | 10/15/2013               | 24687.5100             | G04385F         | 24,687.51       | 26,812.95                 | 0.00          | -2,125.44                   | 0.00                      |
| 3128M6F29 | FHLMC GD PL #G04385 5.500% 7/01/38 | 11/15/2013               | 21624.3200             | G04385F         | 21,624.32       | 23,486.04                 | 0.00          | -1,861.72                   | 0.00                      |
| 3128M6F29 | FHLMC GD PL #G04385 5.500% 7/01/38 | 12/15/2013               | 18454.9700             | G04385F         | 18,454.97       | 20,043.83                 | 0.00          | -1,588.86                   | 0.00                      |
| 3128M6F29 | FHLMC GD PL #G04385 5.500% 7/01/38 | 12/30/2013               | 499979.4700            | G04385F         | 545,446.35      | 543,024.58                | 0.00          | 2,421.77                    | 0.00                      |
| 3128M8NA8 | FHLMC GD PL #G06385 5.500% 8/01/40 | 03/15/2013               | 35397.9800             | G06385F         | 35,397.98       | 38,406.81                 | 0.00          | -3,008.83                   | 0.00                      |
| 3128M8NA8 | FHLMC GD PL #G06385 5.500% 8/01/40 | 04/15/2013               | 40158.8000             | G06385F         | 40,158.80       | 43,572.30                 | 0.00          | -3,413.50                   | 0.00                      |
| 3128M8NA8 | FHLMC GD PL #G06385 5.500% 8/01/40 | 05/15/2013               | 40622.4800             | G06385F         | 40,622.48       | 44,075.39                 | 0.00          | -3,452.91                   | 0.00                      |
| 3128M8NA8 | FHLMC GD PL #G06385 5.500% 8/01/40 | 06/15/2013               | 34431.9000             | G06385F         | 34,431.90       | 37,358.61                 | 0.00          | -2,926.71                   | 0.00                      |
| 3128M8NA8 | FHLMC GD PL #G06385 5.500% 8/01/40 | 07/15/2013               | 27637.5900             | G06385F         | 27,637.59       | 29,986.79                 | 0.00          | -2,349.20                   | 0.00                      |
| 3128M8NA8 | FHLMC GD PL #G06385 5.500% 8/01/40 | 08/15/2013               | 29978.6600             | G06385F         | 29,978.66       | 32,526.85                 | 0.00          | -2,548.19                   | 0.00                      |

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# 2013 Tax Information Statement

Page 9 of 43  
Ref: 11

Account Number: 0088488  
Recipient's Name and Address:  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Recipient's Tax ID Number: XX-XXX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ 2nd TIN notice

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

☐ Corrected

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| Cusip     | Description (Box 8)                | Date of Sale or Exchange | Quantity Sold | Stock or Other Symbol (Box 1d) | Cost or Other Basis (Box 2a) | Wash Sale Loss Disallowed | Net Gain or Loss (Box 4) | Federal Income Tax Withheld | State Tax Withheld |
|-----------|------------------------------------|--------------------------|---------------|--------------------------------|------------------------------|---------------------------|--------------------------|-----------------------------|--------------------|
| 3128M8NA8 | FHLMC GD PL #G06385 5.500% 8/01/40 | 09/15/2013               | 24737.3300    | G06385F                        | 26,840.00                    | 0.00                      | -2,102.67                | 0.00                        | 0.00               |
| 3128M8NA8 | FHLMC GD PL #G06385 5.500% 8/01/40 | 10/15/2013               | 17748.1400    | G06385F                        | 19,256.73                    | 0.00                      | -1,508.59                | 0.00                        | 0.00               |
| 3128M8NA8 | FHLMC GD PL #G06385 5.500% 8/01/40 | 11/15/2013               | 16213.0100    | G06385F                        | 17,591.12                    | 0.00                      | -1,378.11                | 0.00                        | 0.00               |
| 3128M8NA8 | FHLMC GD PL #G06385 5.500% 8/01/40 | 12/15/2013               | 16295.2700    | G06385F                        | 17,680.37                    | 0.00                      | -1,385.10                | 0.00                        | 0.00               |
| 3128M8NA8 | FHLMC GD PL #G06385 5.500% 8/01/40 | 12/31/2013               | 14185.7000    | G06385F                        | 15,391.48                    | 0.00                      | -1,205.78                | 0.00                        | 0.00               |
| 31403DDX4 | FNMA PL #745418 5.500% 4/01/36     | 01/25/2013               | 46781.3500    | 745418A                        | 51,525.27                    | 0.00                      | -4,743.92                | 0.00                        | 0.00               |
| 31403DDX4 | FNMA PL #745418 5.500% 4/01/36     | 02/25/2013               | 43822.8500    | 745418A                        | 48,266.76                    | 0.00                      | -4,443.91                | 0.00                        | 0.00               |
| 31403DDX4 | FNMA PL #745418 5.500% 4/01/36     | 03/25/2013               | 38076.8000    | 745418A                        | 41,938.03                    | 0.00                      | -3,861.23                | 0.00                        | 0.00               |
| 31403DDX4 | FNMA PL #745418 5.500% 4/01/36     | 04/25/2013               | 39614.1000    | 745418A                        | 43,631.22                    | 0.00                      | -4,017.12                | 0.00                        | 0.00               |
| 31403DDX4 | FNMA PL #745418 5.500% 4/01/36     | 05/25/2013               | 40363.3500    | 745418A                        | 44,456.45                    | 0.00                      | -4,093.10                | 0.00                        | 0.00               |

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# 2013 Tax Information Statement

Page 10 of 43  
Ref: 11

Recipient's Name and Address:  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/05.1  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number: 0088488  
Recipient's Tax ID Number: XX-XXX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ 2nd TIN notice

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

☐ Corrected

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip      | Description (Box 8) | Date of Sale or Exchange | Quantity Sold | Stock or Other Symbol (Box 1d) | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|------------|---------------------|--------------------------|---------------|--------------------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)   | (Box 1a)            | (Box 2a)                 | (Box 2b)      | (Box 2c)                       | (Box 2d)            | (Box 2e)                  | (Box 2f)         | (Box 2g)                    | (Box 2h)           |
| 31403DDX4  | FNMA PL #745418     | 5.500%                   | 4/01/36       | 745418A                        |                     |                           |                  |                             |                    |
| 40403 5000 | 06/25/2013          | 09/10/2012               | 40,403.50     | 44,500.67                      | 0.00                | -4,097.17                 | 0.00             | 0.00                        | 0.00               |
| 31403DDX4  | FNMA PL #745418     | 5.500%                   | 4/01/36       | 745418A                        |                     |                           |                  |                             |                    |
| 34392.8500 | 07/25/2013          | 09/10/2012               | 34,392.85     | 37,880.50                      | 0.00                | -3,487.65                 | 0.00             | 0.00                        | 0.00               |
| 31403DDX4  | FNMA PL #745418     | 5.500%                   | 4/01/36       | 745418A                        |                     |                           |                  |                             |                    |
| 37281 3000 | 08/25/2013          | 09/10/2012               | 37,281.30     | 41,061.86                      | 0.00                | -3,780.56                 | 0.00             | 0.00                        | 0.00               |
| 31416BRY6  | FNMA PL #995203     | 5.000%                   | 7/01/35       | 995203A                        |                     |                           |                  |                             |                    |
| 85616.6900 | 01/25/2013          | 10/01/2012               | 85,616.69     | 94,111.47                      | 0.00                | -8,494.78                 | 0.00             | 0.00                        | 0.00               |
| 31416BRY6  | FNMA PL #995203     | 5.000%                   | 7/01/35       | 995203A                        |                     |                           |                  |                             |                    |
| 84210.2700 | 02/25/2013          | 10/01/2012               | 84,210.27     | 92,565.51                      | 0.00                | -8,355.24                 | 0.00             | 0.00                        | 0.00               |
| 31416BRY6  | FNMA PL #995203     | 5.000%                   | 7/01/35       | 995203A                        |                     |                           |                  |                             |                    |
| 73456.6100 | 03/25/2013          | 10/01/2012               | 73,456.61     | 80,744.88                      | 0.00                | -7,288.27                 | 0.00             | 0.00                        | 0.00               |
| 31416BRY6  | FNMA PL #995203     | 5.000%                   | 7/01/35       | 995203A                        |                     |                           |                  |                             |                    |
| 78768.8600 | 04/25/2013          | 10/01/2012               | 78,768.86     | 86,584.21                      | 0.00                | -7,815.35                 | 0.00             | 0.00                        | 0.00               |
| 31416BRY6  | FNMA PL #995203     | 5.000%                   | 7/01/35       | 995203A                        |                     |                           |                  |                             |                    |
| 75331 6200 | 05/25/2013          | 10/01/2012               | 75,331.62     | 82,805.93                      | 0.00                | -7,474.31                 | 0.00             | 0.00                        | 0.00               |
| 31416BRY6  | FNMA PL #995203     | 5.000%                   | 7/01/35       | 995203A                        |                     |                           |                  |                             |                    |
| 71300.8100 | 06/25/2013          | 10/01/2012               | 71,300.81     | 78,375.19                      | 0.00                | -7,074.38                 | 0.00             | 0.00                        | 0.00               |
| 31416BRY6  | FNMA PL #995203     | 5.000%                   | 7/01/35       | 995203A                        |                     |                           |                  |                             |                    |
| 64622 5000 | 07/25/2013          | 10/01/2012               | 64,622.50     | 71,034.26                      | 0.00                | -6,411.76                 | 0.00             | 0.00                        | 0.00               |

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2013 Tax Information Statement

Account Number: 0088488  
Recipient's Tax ID Number: XX-XXX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ 2nd TIN notice

Recipient's Name and Address:  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

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| Cusip     | Description (Box 8) | Date of Sale or Exchange | Quantity Sold | Stock or Other Symbol (Box 1d) | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|---------------------|--------------------------|---------------|--------------------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)  | (Box 1a)            | (Box 1b)                 | (Box 1c)      | (Box 2a)                       | (Box 3)             | (Box 4)                   | (Box 5)          | (Box 6)                     | (Box 7)            |
| 31416BRY6 | FNMA PL #995203     | 5.000% 7/01/35           | 62282 7700    | 995203A                        | 62,282.77           | 68,462.39                 | 0.00             | -6,179.62                   | 0.00               |
| 31416BRY6 | FNMA PL #995203     | 5.000% 7/01/35           | 53604 6800    | 995203A                        | 53,604.68           | 58,923.27                 | 0.00             | -5,318.59                   | 0.00               |
| 31416BZF8 | FNMA PL #995442     | 6.000% 12/01/38          | 45538 4700    | 995442A                        | 45,538.47           | 49,829.05                 | 0.00             | -4,290.58                   | 0.00               |
| 31416BZF8 | FNMA PL #995442     | 6.000% 12/01/38          | 43426 8900    | 995442A                        | 43,426.89           | 47,518.52                 | 0.00             | -4,091.63                   | 0.00               |
| 31416BZF8 | FNMA PL #995442     | 6.000% 12/01/38          | 38525 7600    | 995442A                        | 38,525.76           | 42,155.61                 | 0.00             | -3,629.85                   | 0.00               |
| 31416BZF8 | FNMA PL #995442     | 6.000% 12/01/38          | 45738 9000    | 995442A                        | 45,738.90           | 50,048.36                 | 0.00             | -4,309.46                   | 0.00               |
| 31416BZF8 | FNMA PL #995442     | 6.000% 12/01/38          | 43243 5600    | 995442A                        | 43,243.56           | 47,317.91                 | 0.00             | -4,074.35                   | 0.00               |
| 31416BZF8 | FNMA PL #995442     | 6.000% 12/01/38          | 38651 5400    | 995442A                        | 38,651.54           | 42,293.24                 | 0.00             | -3,641.70                   | 0.00               |
| 31416BZF8 | FNMA PL #995442     | 6.000% 12/01/38          | 29585 8400    | 995442A                        | 29,585.84           | 32,373.38                 | 0.00             | -2,787.54                   | 0.00               |
| 31416BZF8 | FNMA PL #995442     | 6.000% 12/01/38          | 29982 4200    | 995442A                        | 29,982.42           | 32,807.33                 | 0.00             | -2,824.91                   | 0.00               |

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# 2013 Tax Information Statement

Page 12 of 43  
Ref: 11

Account Number: 0088488  
 Recipient's Tax ID Number: XX-XXX5974  
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| Cusip     | Description (Box 8) | Date of Sale or Exchange | Quantity Sold | Stocks   | Bonds     | Other     | Wash Sale Loss Disallowed | Federal Income Tax Withheld | State Tax Withheld |
|-----------|---------------------|--------------------------|---------------|----------|-----------|-----------|---------------------------|-----------------------------|--------------------|
| (Box 1e)  | (Box 1a)            | (Box 1b)                 | (Box 1c)      | (Box 2a) | (Box 2b)  | (Box 2c)  | (Box 2d)                  | (Box 4)                     | (Box 15)           |
| 31416BZF8 | FNMA PL #995442     | 6.000% 12/01/38          | 27367.0200    | 995442A  | 27,367.02 | 29,945.51 | 0.00                      | -2,578.49                   | 0.00               |
| 31416BZF8 | FNMA PL #995442     | 6.000% 12/01/38          | 21242.3400    | 995442A  | 21,242.34 | 23,243.77 | 0.00                      | -2,001.43                   | 0.00               |
| 31416BZF8 | FNMA PL #995442     | 6.000% 12/01/38          | 21425.3100    | 995442A  | 21,425.31 | 23,443.98 | 0.00                      | -2,018.67                   | 0.00               |
| 31419JQT1 | FNMA PL #AE7758     | 3.500% 11/01/25          | 20769.7500    | AE7758A  | 20,769.75 | 22,019.18 | 0.00                      | -1,249.43                   | 0.00               |
| 31419JQT1 | FNMA PL #AE7758     | 3.500% 11/01/25          | 20666.9300    | AE7758A  | 20,666.93 | 21,910.18 | 0.00                      | -1,243.25                   | 0.00               |
| 31419JQT1 | FNMA PL #AE7758     | 3.500% 11/01/25          | 15576.2900    | AE7758A  | 15,576.29 | 16,513.30 | 0.00                      | -937.01                     | 0.00               |
| 31419JQT1 | FNMA PL #AE7758     | 3.500% 11/01/25          | 16595.9700    | AE7758A  | 16,595.97 | 17,594.32 | 0.00                      | -998.35                     | 0.00               |
| 31419JQT1 | FNMA PL #AE7758     | 3.500% 11/01/25          | 17447.1700    | AE7758A  | 17,447.17 | 18,496.73 | 0.00                      | -1,049.56                   | 0.00               |
| 31419JQT1 | FNMA PL #AE7758     | 3.500% 11/01/25          | 12799.8400    | AE7758A  | 12,799.84 | 13,569.83 | 0.00                      | -769.99                     | 0.00               |
| 31419JQT1 | FNMA PL #AE7758     | 3.500% 11/01/25          | 10702.1700    | AE7758A  | 10,702.17 | 11,345.97 | 0.00                      | -643.80                     | 0.00               |

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# 2013 Tax Information Statement

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Ref: 11

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

0088488

XX-XXX5974  
04-2233412

Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

MA

(617)951-7706

☐ 2nd TIN notice

Account Number:

Recipient's Tax ID Number:

Payer's Federal ID Number:

Payer's State ID Number:

State:

Questions?

☐ Corrected

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip      | Description (Box 8) | Date of Sale or Exchange | Quantity Sold | Stock or Other Symbol (Box 1d) | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|------------|---------------------|--------------------------|---------------|--------------------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)   | (Box 1a)            | (Box 2a)                 | (Box 2b)      | (Box 2c)                       | (Box 2d)            | (Box 2e)                  | (Box 2f)         | (Box 2g)                    | (Box 2h)           |
| 31419JQT1  | FNMA PL #AE7758     | 3.500%                   | 11/01/25      | AE7758A                        | 7,510.01            | 7,961.78                  | -451.77          | 0.00                        | 0.00               |
| 7510 0100  | 10/25/2013          | 02/06/2013               |               |                                |                     |                           |                  |                             |                    |
| 31419JQT1  | FNMA PL #AE7758     | 3.500%                   | 11/01/25      | AE7758A                        | 6,427.51            | 6,814.16                  | -386.65          | 0.00                        | 0.00               |
| 6427 5100  | 11/25/2013          | 02/06/2013               |               |                                |                     |                           |                  |                             |                    |
| 31419JQT1  | FNMA PL #AE7758     | 3.500%                   | 11/01/25      | AE7758A                        | 6,739.16            | 7,144.56                  | -405.40          | 0.00                        | 0.00               |
| 6739 1600  | 12/25/2013          | 02/06/2013               |               |                                |                     |                           |                  |                             |                    |
| 31419JQT1  | FNMA PL #AE7758     | 3.500%                   | 11/01/25      | AE7758A                        | 6,589.86            | 6,986.28                  | -396.42          | 0.00                        | 0.00               |
| 6589 8600  | 12/31/2013          | 02/06/2013               |               |                                |                     |                           |                  |                             |                    |
| 31418AKY3  | FNMA PL #MA1210     | 2.500%                   | 10/01/27      | MA1210A                        | 5,282.85            | 5,565.15                  | -282.30          | 0.00                        | 0.00               |
| 5282 8500  | 01/25/2013          | 10/01/2012               |               |                                |                     |                           |                  |                             |                    |
| 31418AKY3  | FNMA PL #MA1210     | 2.500%                   | 10/01/27      | MA1210A                        | 9,238.35            | 9,732.02                  | -493.67          | 0.00                        | 0.00               |
| 9238 3500  | 02/25/2013          | 10/01/2012               |               |                                |                     |                           |                  |                             |                    |
| 31418AKY3  | FNMA PL #MA1210     | 2.500%                   | 10/01/27      | MA1210A                        | 8,403.09            | 8,852.13                  | -449.04          | 0.00                        | 0.00               |
| 8403 0900  | 03/25/2013          | 10/01/2012               |               |                                |                     |                           |                  |                             |                    |
| 31418AKY3  | FNMA PL #MA1210     | 2.500%                   | 10/01/27      | MA1210A                        | 8,606.92            | 9,066.85                  | -459.93          | 0.00                        | 0.00               |
| 8606 9200  | 04/25/2013          | 10/01/2012               |               |                                |                     |                           |                  |                             |                    |
| 31418AKY3  | FNMA PL #MA1210     | 2.500%                   | 10/01/27      | MA1210A                        | 8,756.80            | 9,224.74                  | -467.94          | 0.00                        | 0.00               |
| 8756 8000  | 05/25/2013          | 10/01/2012               |               |                                |                     |                           |                  |                             |                    |
| 31418AKY3  | FNMA PL #MA1210     | 2.500%                   | 10/01/27      | MA1210A                        | 14,835.46           | 15,628.23                 | -792.77          | 0.00                        | 0.00               |
| 14835 4600 | 06/25/2013          | 10/01/2012               |               |                                |                     |                           |                  |                             |                    |

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# 2013 Tax Information Statement

Page 14 of 43  
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Recipient's Name and Address:

SWARTZ FOUNDATION  
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800 BOYLSTON ST, 30/051  
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BOSTON, MA 02199-3600

0088488

XX-XXX5974

04-2233412

Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

MA

(617)951-7706

☐ 2nd TIN notice

☐ Corrected

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| Cusip         |                          | Description (Box 8) |                     | Stock or Other Symbol (Box 1d) |                           | Federal Income Tax Withheld |                             | State Tax Withheld |  |
|---------------|--------------------------|---------------------|---------------------|--------------------------------|---------------------------|-----------------------------|-----------------------------|--------------------|--|
| Quantity Sold | Date of Sale or Exchange | Date of Acquisition | Stocks, Bonds, etc. | Cost or Other Basis            | Wash Sale Loss Disallowed | Net Gain or Loss            | Federal Income Tax Withheld | State Tax Withheld |  |
| (Box 1e)      | (Box 1a)                 | (Box 1b)            | (Box 2a)            | (Box 2b)                       | (Box 2c)                  | (Box 2d)                    | (Box 4)                     | (Box 15)           |  |
| 31418AKY3     | FNMA PL #MA1210          | 2.500% 10/01/27     | MA1210A             |                                |                           |                             |                             |                    |  |
| 11351.1500    | 07/25/2013               | 10/01/2012          | 11,351.15           | 11,957.73                      | 0.00                      | -606.58                     | 0.00                        | 0.00               |  |
| 31418AKY3     | FNMA PL #MA1210          | 2.500% 10/01/27     | MA1210A             |                                |                           |                             |                             |                    |  |
| 6615.2200     | 08/25/2013               | 10/01/2012          | 6,615.22            | 6,968.72                       | 0.00                      | -353.50                     | 0.00                        | 0.00               |  |
| 31418AKY3     | FNMA PL #MA1210          | 2.500% 10/01/27     | MA1210A             |                                |                           |                             |                             |                    |  |
| 5762.8300     | 09/25/2013               | 10/01/2012          | 5,762.83            | 6,070.78                       | 0.00                      | -307.95                     | 0.00                        | 0.00               |  |
| 36962G6F6     | GEN ELEC CAP CRP MTN     | 3.150% 9/07/22      |                     |                                |                           |                             |                             |                    |  |
| 700000.0000   | 11/25/2013               | 03/20/2013          | 681,247.00          | 696,479.00                     | 0.00                      | -15,232.00                  | 0.00                        | 0.00               |  |
| 36962GP65     | GEN ELEC CAP CRP MTN     | 4.875% 3/04/15      |                     |                                |                           |                             |                             |                    |  |
| 700000.0000   | 03/20/2013               | 10/03/2012          | 755,412.00          | 765,282.00                     | 0.00                      | -9,870.00                   | 0.00                        | 0.00               |  |
| 36202EUT4     | GNMA II PL #004194       | 5.500% 7/20/38      | 004194M             |                                |                           |                             |                             |                    |  |
| 85455.0900    | 01/20/2013               | 11/16/2012          | 85,455.09           | 94,000.60                      | 0.00                      | -8,545.51                   | 0.00                        | 0.00               |  |
| 36202EUT4     | GNMA II PL #004194       | 5.500% 7/20/38      | 004194M             |                                |                           |                             |                             |                    |  |
| 84124.8800    | 02/20/2013               | 11/16/2012          | 84,124.88           | 92,537.37                      | 0.00                      | -8,412.49                   | 0.00                        | 0.00               |  |
| 36202EUT4     | GNMA II PL #004194       | 5.500% 7/20/38      | 004194M             |                                |                           |                             |                             |                    |  |
| 83941.9700    | 03/20/2013               | 11/16/2012          | 83,941.97           | 92,336.17                      | 0.00                      | -8,394.20                   | 0.00                        | 0.00               |  |
| 36202EUT4     | GNMA II PL #004194       | 5.500% 7/20/38      | 004194M             |                                |                           |                             |                             |                    |  |
| 76660.0800    | 04/20/2013               | 11/16/2012          | 76,660.08           | 84,326.09                      | 0.00                      | -7,666.01                   | 0.00                        | 0.00               |  |
| 36202EUT4     | GNMA II PL #004194       | 5.500% 7/20/38      | 004194M             |                                |                           |                             |                             |                    |  |
| 74269.3000    | 05/20/2013               | 11/16/2012          | 74,269.30           | 81,696.23                      | 0.00                      | -7,426.93                   | 0.00                        | 0.00               |  |

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# 2013 Tax Information Statement

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Ref: 11

Account Number: 0088488  
Recipient's Tax ID Number: XX-XXX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ 2nd TIN notice

Recipient's Name and Address:  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

☐ Corrected

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| Cusip      | Description (Box 9)               | Date of Sale or Exchange | Quantity Sold | Stocks (Box 2a) | Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax | State Tax |
|------------|-----------------------------------|--------------------------|---------------|-----------------|-------------|---------------------------|------------------|--------------------|-----------|
|            |                                   |                          |               | (Box 2a)        |             |                           |                  |                    | (Box 15)  |
| 36202EUT4  | GNMA II PL #004194 5.500% 7/20/38 | 06/20/2013               | 11/16/2012    | 004194M         | 66,054.45   | 0.00                      | -6,605.44        | 0.00               | 0.00      |
| 66054.4500 |                                   |                          |               |                 |             |                           |                  |                    |           |
| 36202EUT4  | GNMA II PL #004194 5.500% 7/20/38 | 07/20/2013               | 11/16/2012    | 004194M         | 52,839.01   | 0.00                      | -5,283.90        | 0.00               | 0.00      |
| 52839.0100 |                                   |                          |               |                 |             |                           |                  |                    |           |
| 36202EUT4  | GNMA II PL #004194 5.500% 7/20/38 | 08/20/2013               | 11/16/2012    | 004194M         | 65,890.58   | 0.00                      | -6,589.06        | 0.00               | 0.00      |
| 65890.5800 |                                   |                          |               |                 |             |                           |                  |                    |           |
| 36202EUT4  | GNMA II PL #004194 5.500% 7/20/38 | 09/20/2013               | 11/16/2012    | 004194M         | 49,963.06   | 0.00                      | -4,996.31        | 0.00               | 0.00      |
| 49963.0600 |                                   |                          |               |                 |             |                           |                  |                    |           |
| 36202EUT4  | GNMA II PL #004194 5.500% 7/20/38 | 10/20/2013               | 11/16/2012    | 004194M         | 51,864.61   | 0.00                      | -5,186.46        | 0.00               | 0.00      |
| 51864.6100 |                                   |                          |               |                 |             |                           |                  |                    |           |
| 36202FVG8  | GNMA II PL #005115 4.500% 7/20/41 | 01/20/2013               | 09/07/2012    | 005115M         | 65,622.98   | 0.00                      | -7,013.46        | 0.00               | 0.00      |
| 65622.9800 |                                   |                          |               |                 |             |                           |                  |                    |           |
| 36202FVG8  | GNMA II PL #005115 4.500% 7/20/41 | 02/20/2013               | 09/07/2012    | 005115M         | 72,083.25   | 0.00                      | -7,703.90        | 0.00               | 0.00      |
| 72083.2500 |                                   |                          |               |                 |             |                           |                  |                    |           |
| 36202FVG8  | GNMA II PL #005115 4.500% 7/20/41 | 03/20/2013               | 09/07/2012    | 005115M         | 63,006.41   | 0.00                      | -6,733.81        | 0.00               | 0.00      |
| 63006.4100 |                                   |                          |               |                 |             |                           |                  |                    |           |
| 36202FVG8  | GNMA II PL #005115 4.500% 7/20/41 | 04/20/2013               | 09/07/2012    | 005115M         | 64,348.48   | 0.00                      | -6,877.24        | 0.00               | 0.00      |
| 64348.4800 |                                   |                          |               |                 |             |                           |                  |                    |           |
| 36202FVG8  | GNMA II PL #005115 4.500% 7/20/41 | 05/20/2013               | 09/07/2012    | 005115M         | 67,033.03   | 0.00                      | -7,164.16        | 0.00               | 0.00      |
| 67033.0300 |                                   |                          |               |                 |             |                           |                  |                    |           |

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# 2013 Tax Information Statement

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Ref: 11

Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

0088488

XX-XX5974

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(617)951-7706

☐ 2nd TIN notice

Account Number:

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Questions?

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Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

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| Cusip      | Description (Box 9)               | Date of Sale or Exchange | Quantity Sold | Stock or Other Symbol (Box 10) | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|------------|-----------------------------------|--------------------------|---------------|--------------------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)   | (Box 1a)                          | (Box 2a)                 |               |                                |                     |                           |                  | (Box 4)                     | (Box 15)           |
| 36202FVG8  | GNMA II PL #005115 4.500% 7/20/41 | 005115M                  |               |                                |                     |                           |                  |                             |                    |
| 63749.8000 | 06/20/2013 09/07/2012             | 63,749.80                |               |                                | 70,563.06           | 0.00                      | -6,813.26        | 0.00                        | 0.00               |
| 36202FVG8  | GNMA II PL #005115 4.500% 7/20/41 | 005115M                  |               |                                |                     |                           |                  |                             |                    |
| 51682.8500 | 07/20/2013 09/07/2012             | 51,682.85                |               |                                | 57,206.45           | 0.00                      | -5,523.60        | 0.00                        | 0.00               |
| 36202FVG8  | GNMA II PL #005115 4.500% 7/20/41 | 005115M                  |               |                                |                     |                           |                  |                             |                    |
| 51030.3100 | 08/20/2013 09/07/2012             | 51,030.31                |               |                                | 56,484.17           | 0.00                      | -5,453.86        | 0.00                        | 0.00               |
| 36202F2M7  | GNMA II PL #005280 4.000% 1/20/42 | 005280M                  |               |                                |                     |                           |                  |                             |                    |
| 76802.1900 | 01/20/2013 09/10/2012             | 76,802.19                |               |                                | 84,302.40           | 0.00                      | -7,500.21        | 0.00                        | 0.00               |
| 36202F2M7  | GNMA II PL #005280 4.000% 1/20/42 | 005280M                  |               |                                |                     |                           |                  |                             |                    |
| 79016.8800 | 02/20/2013 09/10/2012             | 79,016.88                |               |                                | 86,733.37           | 0.00                      | -7,716.49        | 0.00                        | 0.00               |
| 36202F2M7  | GNMA II PL #005280 4.000% 1/20/42 | 005280M                  |               |                                |                     |                           |                  |                             |                    |
| 66941.5500 | 03/20/2013 09/10/2012             | 66,941.55                |               |                                | 73,478.81           | 0.00                      | -6,537.26        | 0.00                        | 0.00               |
| 36202F2M7  | GNMA II PL #005280 4.000% 1/20/42 | 005280M                  |               |                                |                     |                           |                  |                             |                    |
| 64154.9400 | 04/20/2013 09/10/2012             | 64,154.94                |               |                                | 70,420.07           | 0.00                      | -6,265.13        | 0.00                        | 0.00               |
| 36202F2M7  | GNMA II PL #005280 4.000% 1/20/42 | 005280M                  |               |                                |                     |                           |                  |                             |                    |
| 60275.9700 | 05/20/2013 09/10/2012             | 60,275.97                |               |                                | 66,162.30           | 0.00                      | -5,886.33        | 0.00                        | 0.00               |
| 36202F2M7  | GNMA II PL #005280 4.000% 1/20/42 | 005280M                  |               |                                |                     |                           |                  |                             |                    |
| 56343.6300 | 06/20/2013 09/10/2012             | 56,343.63                |               |                                | 61,845.94           | 0.00                      | -5,502.31        | 0.00                        | 0.00               |
| 36202F2M7  | GNMA II PL #005280 4.000% 1/20/42 | 005280M                  |               |                                |                     |                           |                  |                             |                    |
| 51578.1900 | 07/20/2013 09/10/2012             | 51,578.19                |               |                                | 56,615.12           | 0.00                      | -5,036.93        | 0.00                        | 0.00               |

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0088488  
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04-2233412

Recipient's Tax ID Number:

MA

Payer's Federal ID Number:

(617)951-7706

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MA  
Questions?  
☐ Corrected ☐ 2nd TIN notice

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800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

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| Cusip     | Description (Box 8)               | Date of Sale or Exchange | Quantity Sold (Box 1e) | Stock or Other Symbol (Box 1d) | Cost or Other Basis (Box 2a) | Wash Sale Loss Disallowed | Net Gain or Loss (Box 4) | State Taxable Income (Box 15) |
|-----------|-----------------------------------|--------------------------|------------------------|--------------------------------|------------------------------|---------------------------|--------------------------|-------------------------------|
| 36202E2M7 | GNMA II PL #005280 4.000% 1/20/42 | 08/20/2013               | 37892.5200             | 005280M                        | 37,892.52                    | 0.00                      | -3,700.44                | 0.00                          |
| 36179MK66 | GNMA II PL #MA0317 3.000% 8/20/42 | 01/20/2013               | 3031.4400              | MA0317M                        | 3,031.44                     | 0.00                      | -184.25                  | 0.00                          |
| 36179MK66 | GNMA II PL #MA0317 3.000% 8/20/42 | 02/20/2013               | 3560.0300              | MA0317M                        | 3,560.03                     | 0.00                      | -216.38                  | 0.00                          |
| 36179MK66 | GNMA II PL #MA0317 3.000% 8/20/42 | 03/20/2013               | 4391.2100              | MA0317M                        | 4,391.21                     | 0.00                      | -266.90                  | 0.00                          |
| 36179MK66 | GNMA II PL #MA0317 3.000% 8/20/42 | 04/20/2013               | 3849.2900              | MA0317M                        | 3,849.29                     | 0.00                      | -233.96                  | 0.00                          |
| 36179MK66 | GNMA II PL #MA0317 3.000% 8/20/42 | 05/20/2013               | 4212.1700              | MA0317M                        | 4,212.17                     | 0.00                      | -256.02                  | 0.00                          |
| 36179MK66 | GNMA II PL #MA0317 3.000% 8/20/42 | 06/20/2013               | 5201.8100              | MA0317M                        | 5,201.81                     | 0.00                      | -316.17                  | 0.00                          |
| 36179MK66 | GNMA II PL #MA0317 3.000% 8/20/42 | 07/20/2013               | 5531.2400              | MA0317M                        | 5,531.24                     | 0.00                      | -336.20                  | 0.00                          |
| 36179MK66 | GNMA II PL #MA0317 3.000% 8/20/42 | 08/20/2013               | 4628.7200              | MA0317M                        | 4,628.72                     | 0.00                      | -281.34                  | 0.00                          |
| 36179MK66 | GNMA II PL #MA0317 3.000% 8/20/42 | 09/20/2013               | 3853.7500              | MA0317M                        | 3,853.75                     | 0.00                      | -234.24                  | 0.00                          |

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# 2013 Tax Information Statement

Page 18 of 43  
Ref: 11

## Account Number:

0088488

## Recipient's Tax ID Number:

XX-XXX5974

## Payer's Federal ID Number:

04-2233412

## Payer's State ID Number:

MA

## State:

(617)951-7706

## Questions?

☐ 2nd TIN notice

## Corrected

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

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BOSTON, MA 02199-3600

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| Cusip     | Quantity Sold | Date of Sale or Exchange | Description (Box 8)               | Stock or Other Symbol (Box 1d) | Stocks, Bonds, etc. | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|---------------|--------------------------|-----------------------------------|--------------------------------|---------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)  | (Box 1a)      | (Box 1b)                 | (Box 1c)                          | (Box 1d)                       | (Box 2a)            | (Box 2b)            | (Box 2c)                  | (Box 2d)         | (Box 2e)                    | (Box 2f)           |
| 36179MK66 | 4120.0500     | 10/20/2013               | GNMA II PL #MA0317 3.000% 8/20/42 | MA0317M                        | 4,120.05            | 4,370.47            | 0.00                      | -250.42          | 0.00                        | 0.00               |
| 36179MK66 | 4221.3200     | 11/20/2013               | GNMA II PL #MA0317 3.000% 8/20/42 | MA0317M                        | 4,221.32            | 4,477.90            | 0.00                      | -256.58          | 0.00                        | 0.00               |
| 36179MK66 | 641144.8000   | 12/10/2013               | GNMA II PL #MA0317 3.000% 8/20/42 | MA0317M                        | 624,314.75          | 680,114.39          | 0.00                      | -55,799.64       | 0.00                        | 0.00               |
| 36179MK74 | 13726.7400    | 01/20/2013               | GNMA II PL #MA0318 3.500% 8/20/42 | MA0318M                        | 13,726.74           | 14,849.54           | 0.00                      | -1,122.80        | 0.00                        | 0.00               |
| 36179MK74 | 17655.0900    | 02/20/2013               | GNMA II PL #MA0318 3.500% 8/20/42 | MA0318M                        | 17,655.09           | 19,099.22           | 0.00                      | -1,444.13        | 0.00                        | 0.00               |
| 36179MK74 | 16172.0000    | 03/20/2013               | GNMA II PL #MA0318 3.500% 8/20/42 | MA0318M                        | 16,172.00           | 17,494.82           | 0.00                      | -1,322.82        | 0.00                        | 0.00               |
| 36179MK74 | 15237.4400    | 04/20/2013               | GNMA II PL #MA0318 3.500% 8/20/42 | MA0318M                        | 15,237.44           | 16,483.82           | 0.00                      | -1,246.38        | 0.00                        | 0.00               |
| 36179MK74 | 16003.9500    | 05/20/2013               | GNMA II PL #MA0318 3.500% 8/20/42 | MA0318M                        | 16,003.95           | 17,313.02           | 0.00                      | -1,309.07        | 0.00                        | 0.00               |
| 36179MK74 | 21825.0600    | 06/20/2013               | GNMA II PL #MA0318 3.500% 8/20/42 | MA0318M                        | 21,825.06           | 23,610.28           | 0.00                      | -1,785.22        | 0.00                        | 0.00               |
| 36179MK74 | 18800.9300    | 07/20/2013               | GNMA II PL #MA0318 3.500% 8/20/42 | MA0318M                        | 18,800.93           | 20,338.79           | 0.00                      | -1,537.86        | 0.00                        | 0.00               |

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# 2013 Tax Information Statement

Page 20 of 43  
Ref: 11

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number: 0088488

Recipient's Tax ID Number: XX-XXX5974

Payer's Federal ID Number: 04-2233412

Payer's State ID Number:

MA

(617)951-7706

☐ 2nd TIN notice

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

Questions?

☐ Corrected

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| Cusip        | Description (Box 8)             | Date of Sale or Exchange | Acquisition | Stock or Other Symbol (Box 1d) | Stocks, Bonds, etc. | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|--------------|---------------------------------|--------------------------|-------------|--------------------------------|---------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)     |                                 |                          |             |                                | (Box 2a)            |                     |                           | (Box 4)          | (Box 15)                    |                    |
| 6832348H4    | ONTARIO PROVINCE 2.950% 2/05/15 | 06/06/2013               | 09/26/2012  |                                | 156,190.50          | 158,677.50          | 0.00                      | -2,487.00        | 0.00                        | 0.00               |
| 150000.0000  |                                 |                          |             |                                |                     |                     |                           |                  |                             |                    |
| 6832348H4    | ONTARIO PROVINCE 2.950% 2/05/15 | 06/14/2013               | 09/26/2012  |                                | 312,105.00          | 317,355.00          | 0.00                      | -5,250.00        | 0.00                        | 0.00               |
| 300000.0000  |                                 |                          |             |                                |                     |                     |                           |                  |                             |                    |
| 6832348H4    | ONTARIO PROVINCE 2.950% 2/05/15 | 06/20/2013               | 09/26/2012  |                                | 135,090.80          | 137,520.50          | 0.00                      | -2,429.70        | 0.00                        | 0.00               |
| 130000.0000  |                                 |                          |             |                                |                     |                     |                           |                  |                             |                    |
| 6832348H4    | ONTARIO PROVINCE 2.950% 2/05/15 | 06/20/2013               | 09/26/2012  |                                | 176,565.40          | 179,834.50          | 0.00                      | -3,269.10        | 0.00                        | 0.00               |
| 170000.0000  |                                 |                          |             |                                |                     |                     |                           |                  |                             |                    |
| 00254ELM2    | SWEDISH EXP CRED 1.750% 5/30/17 | 09/04/2013               | 09/11/2012  |                                | 1,217,266.90        | 1,227,256.35        | 0.00                      | -9,989.45        | 0.00                        | 0.00               |
| 1205000.0000 |                                 |                          |             |                                |                     |                     |                           |                  |                             |                    |
| 912796BM0    | U.S. TREASURY BILLS 11/29/13    | 11/29/2013               | 09/30/2013  |                                | 1,199,995.08        | 1,199,995.08        | 0.00                      | 0.00             | 0.00                        | 0.00               |
| 1200000.0000 |                                 |                          |             |                                |                     |                     |                           |                  |                             |                    |
| 9127957B1    | U.S. TREASURY BILLS 1/17/13     | 01/17/2013               | 12/31/2012  |                                | 499,996.88          | 499,996.88          | 0.00                      | 0.00             | 0.00                        | 0.00               |
| 500000.0000  |                                 |                          |             |                                |                     |                     |                           |                  |                             |                    |
| 9127956E6    | U.S. TREASURY BILLS 3/07/13     | 02/07/2013               | 01/31/2013  |                                | 399,983.95          | 399,983.95          | 0.00                      | 0.00             | 0.00                        | 0.00               |
| 400000.0000  |                                 |                          |             |                                |                     |                     |                           |                  |                             |                    |
| 912795Z95    | U.S. TREASURY BILLS 4/11/13     | 04/02/2013               | 03/28/2013  |                                | 599,993.67          | 599,995.83          | 0.00                      | -2.16            | 0.00                        | 0.00               |
| 600000.0000  |                                 |                          |             |                                |                     |                     |                           |                  |                             |                    |
| 912795Z95    | U.S. TREASURY BILLS 4/11/13     | 04/11/2013               | 03/28/2013  |                                | 499,996.53          | 499,996.53          | 0.00                      | 0.00             | 0.00                        | 0.00               |
| 500000.0000  |                                 |                          |             |                                |                     |                     |                           |                  |                             |                    |

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2013 Tax Information Statement

Account Number: 0088488  
Recipient's Name and Address:  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Recipient's Tax ID Number: XX-XXX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ 2nd TIN notice

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

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| Cusip                                     | Description (Box 6)                 | Stock or Other Symbol (Box 1d) | Stocks<br>Basis, etc. | Cost or<br>Other Basis | Wash Sale<br>Loss Disallowed | Net Gain<br>or Loss | Federal<br>Income<br>Tax | State<br>Tax |
|-------------------------------------------|-------------------------------------|--------------------------------|-----------------------|------------------------|------------------------------|---------------------|--------------------------|--------------|
| Quantity<br>Sold                          | Date of<br>Sale or<br>Exchange      | Date of<br>Acquisition         | (Box 1a)              | (Box 2a)               | (Box 4)                      | (Box 15)            |                          |              |
| 912828VA5                                 | U.S. TREASURY NOTES 1.125% 4/30/20  |                                |                       |                        |                              |                     |                          |              |
| 700000 0000                               | 09/26/2013 05/21/2013               |                                | 664,207.03            | 691,878.91             | 0.00                         | -27,671.88          | 0.00                     | 0.00         |
| 912828VB3                                 | U.S. TREASURY NOTES 1.750% 5/15/23  |                                |                       |                        |                              |                     |                          |              |
| 960000 0000                               | 10/17/2013 Various                  |                                | 890,775.00            | 915,984.38             | 0.00                         | -25,209.38          | 0.00                     | 0.00         |
| 912828MA5                                 | U.S. TREASURY NOTES 2.750% 11/30/16 |                                |                       |                        |                              |                     |                          |              |
| 300000 0000                               | 08/02/2013 09/07/2012               |                                | 319,828.13            | 328,195.31             | 0.00                         | -8,367.18           | 0.00                     | 0.00         |
| Total Short Term Sales Reported on 1099-B |                                     |                                | 24,368,220.19         | 25,034,213.28          | 0.00                         | -665,993.09         | 0.00                     | 0.00         |

Report on Form 8949, Part I, with Box B checked

| Long Term Sales Reported on 1099-B |                                |  |           |           |      |           |      |      |
|------------------------------------|--------------------------------|--|-----------|-----------|------|-----------|------|------|
| 31403DDX4                          | FNMA PL #745418 5.500% 4/01/36 |  | 745418A   |           |      |           |      |      |
| 30899.2000                         | 09/25/2013 09/10/2012          |  | 30,899.20 | 34,032.57 | 0.00 | -3,133.37 | 0.00 | 0.00 |
| 31403DDX4                          | FNMA PL #745418 5.500% 4/01/36 |  | 745418A   |           |      |           |      |      |
| 23558.2500                         | 10/25/2013 09/10/2012          |  | 23,558.25 | 25,947.20 | 0.00 | -2,388.95 | 0.00 | 0.00 |
| 31403DDX4                          | FNMA PL #745418 5.500% 4/01/36 |  | 745418A   |           |      |           |      |      |
| 21435.2500                         | 11/25/2013 09/10/2012          |  | 21,435.25 | 23,608.92 | 0.00 | -2,173.67 | 0.00 | 0.00 |
| 31403DDX4                          | FNMA PL #745418 5.500% 4/01/36 |  | 745418A   |           |      |           |      |      |
| 18257.0000                         | 12/25/2013 09/10/2012          |  | 18,257.00 | 20,108.37 | 0.00 | -1,851.37 | 0.00 | 0.00 |
| 31403DDX4                          | FNMA PL #745418 5.500% 4/01/36 |  | 745418A   |           |      |           |      |      |
| 17328.7000                         | 12/31/2013 09/10/2012          |  | 17,328.70 | 19,085.94 | 0.00 | -1,757.24 | 0.00 | 0.00 |

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# 2013 Tax Information Statement

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Ref: 11

Account Number: 0088488  
Recipient's Name and Address:  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Recipient's Tax ID Number: XX-XXX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ 2nd TIN notice

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☐ Corrected

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| Cusip         | Description (Box 9)               | Stock or Other Symbol (Box 1d)    | Cost or Other Basis               | Wash Sale Loss Disallowed         | Net Gain or Loss                  | Federal Income Tax Withheld       | State Tax Withheld                |
|---------------|-----------------------------------|-----------------------------------|-----------------------------------|-----------------------------------|-----------------------------------|-----------------------------------|-----------------------------------|
| (Box 1e)      | (Box 1a)                          | (Box 2a)                          | (Box 4)                           | (Box 15)                          |                                   |                                   |                                   |
| Quantity Sold | Date of Sale or Exchange          | GNMA II PL #004194 5.500% 7/20/38 | GNMA II PL #004194 5.500% 7/20/38 | GNMA II PL #004194 5.500% 7/20/38 | GNMA II PL #004194 5.500% 7/20/38 | GNMA II PL #004194 5.500% 7/20/38 | GNMA II PL #004194 5.500% 7/20/38 |
| 35760.9000    | 11/20/2013                        | 11/16/2012                        | 35,760.90                         | 39,336.99                         | 0.00                              | -3,576.09                         | 0.00                              |
| 36202EUT4     | GNMA II PL #004194 5.500% 7/20/38 | 004194M                           | 30,599.73                         | 33,659.70                         | 0.00                              | -3,059.97                         | 0.00                              |
| 30599.7300    | 12/20/2013                        | 11/16/2012                        | 30,599.73                         | 33,659.70                         | 0.00                              | -3,059.97                         | 0.00                              |
| 36202EUT4     | GNMA II PL #004194 5.500% 7/20/38 | 004194M                           | 30,615.55                         | 33,677.10                         | 0.00                              | -3,061.55                         | 0.00                              |
| 30615.5500    | 12/31/2013                        | 11/16/2012                        | 30,615.55                         | 33,677.10                         | 0.00                              | -3,061.55                         | 0.00                              |
| 36202FVG8     | GNMA II PL #005115 4.500% 7/20/41 | 005115M                           | 35,625.58                         | 39,433.06                         | 0.00                              | -3,807.48                         | 0.00                              |
| 35625.5800    | 09/20/2013                        | 09/07/2012                        | 35,625.58                         | 39,433.06                         | 0.00                              | -3,807.48                         | 0.00                              |
| 36202FVG8     | GNMA II PL #005115 4.500% 7/20/41 | 005115M                           | 29,453.19                         | 32,601.00                         | 0.00                              | -3,147.81                         | 0.00                              |
| 29453.1900    | 10/20/2013                        | 09/07/2012                        | 29,453.19                         | 32,601.00                         | 0.00                              | -3,147.81                         | 0.00                              |
| 36202FVG8     | GNMA II PL #005115 4.500% 7/20/41 | 005115M                           | 27,328.22                         | 30,248.92                         | 0.00                              | -2,920.70                         | 0.00                              |
| 27328.2200    | 11/20/2013                        | 09/07/2012                        | 27,328.22                         | 30,248.92                         | 0.00                              | -2,920.70                         | 0.00                              |
| 36202FVG8     | GNMA II PL #005115 4.500% 7/20/41 | 005115M                           | 26,044.43                         | 28,827.93                         | 0.00                              | -2,783.50                         | 0.00                              |
| 26044.4300    | 12/20/2013                        | 09/07/2012                        | 26,044.43                         | 28,827.93                         | 0.00                              | -2,783.50                         | 0.00                              |
| 36202FVG8     | GNMA II PL #005115 4.500% 7/20/41 | 005115M                           | 1,967,868.26                      | 2,029,462.63                      | 0.00                              | -61,594.37                        | 0.00                              |
| 1833506.6000  | 12/20/2013                        | 09/07/2012                        | 1,967,868.26                      | 2,029,462.63                      | 0.00                              | -61,594.37                        | 0.00                              |
| 36202F2M7     | GNMA II PL #005280 4.000% 1/20/42 | 005280M                           | 31,640.73                         | 34,730.65                         | 0.00                              | -3,089.92                         | 0.00                              |
| 31640.7300    | 09/20/2013                        | 09/10/2012                        | 31,640.73                         | 34,730.65                         | 0.00                              | -3,089.92                         | 0.00                              |
| 36202F2M7     | GNMA II PL #005280 4.000% 1/20/42 | 005280M                           | 24,212.79                         | 26,577.32                         | 0.00                              | -2,364.53                         | 0.00                              |
| 24212.7900    | 10/20/2013                        | 09/10/2012                        | 24,212.79                         | 26,577.32                         | 0.00                              | -2,364.53                         | 0.00                              |

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# 2013 Tax Information Statement

Page 24 of 43  
Ref: 11

Account Number: 0088488  
Recipient's Name and Address:  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

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BOSTON, MA 02199-3600

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| Cusip                                    | Description (Box 8)               | Quantity Sold | Date of Sale or Exchange | Acquisition | Stock or Other Symbol (Box 9d) | Stocks Bonds etc | Cost or Other Basis | Wash Sale Loss Disallowed | Nat Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|------------------------------------------|-----------------------------------|---------------|--------------------------|-------------|--------------------------------|------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)                                 | (Box 1a)                          |               |                          |             | (Box 2a)                       |                  |                     |                           |                  | (Box 4)                     | (Box 15)           |
| 36202F2M7                                | GNMA II PL #005280 4.000% 1/20/42 |               |                          |             | 005280M                        |                  |                     |                           |                  |                             |                    |
| 24128 4300                               | 11/20/2013 09/10/2012             |               |                          |             | 24,128.43                      |                  | 26,484.72           | 0.00                      | -2,356.29        | 0.00                        | 0.00               |
| 36202F2M7                                | GNMA II PL #005280 4.000% 1/20/42 |               |                          |             | 005280M                        |                  |                     |                           |                  |                             |                    |
| 27084 7800                               | 12/20/2013 09/10/2012             |               |                          |             | 27,084.78                      |                  | 29,729.78           | 0.00                      | -2,645.00        | 0.00                        | 0.00               |
| 36202F2M7                                | GNMA II PL #005280 4.000% 1/20/42 |               |                          |             | 005280M                        |                  |                     |                           |                  |                             |                    |
| 1922246.5800                             | 12/30/2013 09/10/2012             |               |                          |             | 2,004,242.41                   |                  | 2,109,965.98        | 0.00                      | -105,723.57      | 0.00                        | 0.00               |
| 36179MK66                                | GNMA II PL #MA0317 3.000% 8/20/42 |               |                          |             | MA0317M                        |                  |                     |                           |                  |                             |                    |
| 4557.8800                                | 12/20/2013 12/18/2012             |               |                          |             | 4,557.88                       |                  | 4,834.90            | 0.00                      | -277.02          | 0.00                        | 0.00               |
| 36179MK74                                | GNMA II PL #MA0318 3.500% 8/20/42 |               |                          |             | MA0318M                        |                  |                     |                           |                  |                             |                    |
| 11922.7800                               | 09/20/2013 09/10/2012             |               |                          |             | 11,922.78                      |                  | 12,898.03           | 0.00                      | -975.25          | 0.00                        | 0.00               |
| 36179MK74                                | GNMA II PL #MA0318 3.500% 8/20/42 |               |                          |             | MA0318M                        |                  |                     |                           |                  |                             |                    |
| 12131 4600                               | 10/20/2013 09/10/2012             |               |                          |             | 12,131.46                      |                  | 13,123.78           | 0.00                      | -992.32          | 0.00                        | 0.00               |
| 36179MK74                                | GNMA II PL #MA0318 3.500% 8/20/42 |               |                          |             | MA0318M                        |                  |                     |                           |                  |                             |                    |
| 12436.0500                               | 11/20/2013 09/10/2012             |               |                          |             | 12,436.05                      |                  | 13,453.28           | 0.00                      | -1,017.23        | 0.00                        | 0.00               |
| 36179MK74                                | GNMA II PL #MA0318 3.500% 8/20/42 |               |                          |             | MA0318M                        |                  |                     |                           |                  |                             |                    |
| 12072.7800                               | 12/20/2013 09/10/2012             |               |                          |             | 12,072.78                      |                  | 13,060.30           | 0.00                      | -987.52          | 0.00                        | 0.00               |
| 36179MK74                                | GNMA II PL #MA0318 3.500% 8/20/42 |               |                          |             | MA0318M                        |                  |                     |                           |                  |                             |                    |
| 1391431 6100                             | 12/30/2013 09/10/2012             |               |                          |             | 1,407,085.22                   |                  | 1,505,246.36        | 0.00                      | -98,161.14       | 0.00                        | 0.00               |
| 589331AT4                                | MERCK & CO INC 2.400% 9/15/22     |               |                          |             |                                |                  |                     |                           |                  |                             |                    |
| 700000.0000                              | 12/05/2013 Various                |               |                          |             | 643,132.00                     |                  | 701,735.71          | 0.00                      | -58,603.71       | 0.00                        | 0.00               |
| Total Long Term Sales Reported on 1099-B |                                   |               |                          |             | 7,984,282.72                   |                  | 8,389,035.39        | 0.00                      | -404,752.67      | 0.00                        | 0.00               |

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# 2013 Tax Information Statement

Page 7 of 55  
Ref: 11

Recipient's Name and Address:  
SWARTZ FOUNDATION  
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800 BOYLSTON ST, 30/051  
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Questions? ☐ 2nd TIN notice  
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800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## 2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds, etc., less commissions and option premiums.  
For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip                               | Description (Box 8)                | Stock or Other Symbols (Box 1d) |                     |                     |                     |                           |                  |                    |           |          |  |
|-------------------------------------|------------------------------------|---------------------------------|---------------------|---------------------|---------------------|---------------------------|------------------|--------------------|-----------|----------|--|
|                                     |                                    | Date of Sale or Exchange        | Date of Acquisition | Stocks, Bonds, etc. | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax | State Tax | Withheld |  |
| (Box 1e)                            | (Box 1a)                           | (Box 2a)                        |                     |                     |                     |                           |                  |                    |           |          |  |
| Short Term Sales Reported on 1099-B |                                    |                                 |                     |                     |                     |                           |                  |                    |           |          |  |
| 02665WAB7                           | AMERICAN HONDA FIN 1.125% 10/07/16 |                                 |                     |                     |                     |                           |                  |                    |           |          |  |
| 30000.0000                          | 10/21/2013 10/03/2013              |                                 |                     | 30,061.80           | 29,895.60           | 0.00                      | 166.20           | 0.00               | 0.00      | 0.00     |  |
| 037411BD6                           | APACHE CORP 2.625% 1/15/23         |                                 |                     |                     |                     |                           |                  |                    |           |          |  |
| 115000.0000                         | 10/21/2013 Various                 |                                 |                     | 106,690.10          | 114,196.05          | 0.00                      | -7,505.95        | 0.00               | 0.00      | 0.00     |  |
| 037833AJ9                           | APPLE INC 1.000% 5/03/18           |                                 |                     |                     |                     |                           |                  |                    |           |          |  |
| 55000.0000                          | 06/03/2013 04/30/2013              |                                 |                     | 53,934.10           | 54,797.05           | 0.00                      | -862.95          | 0.00               | 0.00      | 0.00     |  |
| 084664BV2                           | BERKSHIRE HATH 4.300% 5/15/43      |                                 |                     |                     |                     |                           |                  |                    |           |          |  |
| 35000.0000                          | 10/21/2013 05/08/2013              |                                 |                     | 32,422.25           | 34,714.05           | 0.00                      | -2,291.80        | 0.00               | 0.00      | 0.00     |  |
| 084664BS9                           | BERKSHIRE HATHAWAY 1.600% 5/15/17  |                                 |                     |                     |                     |                           |                  |                    |           |          |  |
| 100000.0000                         | 05/08/2013 Various                 |                                 |                     | 102,164.00          | 101,168.40          | 0.00                      | 995.60           | 0.00               | 0.00      | 0.00     |  |
| 05565QCE6                           | BP CAPITAL PLC 1.375% 5/10/18      |                                 |                     |                     |                     |                           |                  |                    |           |          |  |
| 90000.0000                          | 10/21/2013 05/07/2013              |                                 |                     | 88,101.90           | 89,748.90           | 0.00                      | -1,647.00        | 0.00               | 0.00      | 0.00     |  |
| 12189LAN1                           | BURLINGTON NORTH 4.450% 3/15/43    |                                 |                     |                     |                     |                           |                  |                    |           |          |  |
| 60000.0000                          | 10/21/2013 06/18/2013              |                                 |                     | 55,490.40           | 57,652.80           | 0.00                      | -2,162.40        | 0.00               | 0.00      | 0.00     |  |

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# 2013 Tax Information Statement

Page 8 of 55  
Ref: 11

Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number:

0088500  
XX-XXX5974  
04-2233412

Recipient's Tax ID Number:

04-2233412

Payer's Federal ID Number:

MA  
(617)951-7706

Payer's State ID Number:

MA  
(617)951-7706

Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

State:

Questions?

☐ Corrected

☐ 2nd TIN notice

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| Cusip     | Description (Box 8)                | Date of Sale or Exchange | Quantity Sold | (Box 1a)   | (Box 2a)   | Stock or Other Symbol (Box 3d) | Cost Basis | Wash Sale Losses Disallowed | Net Gain or Loss | Federal Income Tax | State Tax | (Box 4) | (Box 15) |
|-----------|------------------------------------|--------------------------|---------------|------------|------------|--------------------------------|------------|-----------------------------|------------------|--------------------|-----------|---------|----------|
| 151020AK0 | CELGENE CORP 2.300% 8/15/18        | 10/21/2013               | 15000.0000    | 15,048.75  | 14,968.80  |                                | 0.00       | 0.00                        | 79.95            | 0.00               | 0.00      | 0.00    | 0.00     |
| 268648AP7 | EMC CORP 1.875% 6/01/18            | 10/21/2013               | 50000.0000    | 50,028.00  | 49,971.50  |                                | 0.00       | 0.00                        | 56.50            | 0.00               | 0.00      | 0.00    | 0.00     |
| 29379VBA0 | ENTERPRISE PRODU 4.850% 3/15/44    | 10/21/2013               | 45000.0000    | 42,835.95  | 47,229.30  |                                | 0.00       | 0.00                        | -4,393.35        | 0.00               | 0.00      | 0.00    | 0.00     |
| 3137EADP1 | FHLMC 0.875% 3/07/18               | 10/21/2013               | 225000.0000   | 220,314.60 | 224,547.75 |                                | 0.00       | 0.00                        | -4,233.15        | 0.00               | 0.00      | 0.00    | 0.00     |
| 31292SBK5 | FHLMC GD PL #C09042 3.500% 5/01/43 | 07/15/2013               | 3585.2400     | 3,585.24   | 3,774.59   | C09042F                        | 0.00       | 0.00                        | -189.35          | 0.00               | 0.00      | 0.00    | 0.00     |
| 31292SBK5 | FHLMC GD PL #C09042 3.500% 5/01/43 | 08/15/2013               | 3489.0100     | 3,489.01   | 3,673.27   | C09042F                        | 0.00       | 0.00                        | -184.26          | 0.00               | 0.00      | 0.00    | 0.00     |
| 31292SBK5 | FHLMC GD PL #C09042 3.500% 5/01/43 | 09/15/2013               | 2889.6100     | 2,889.61   | 3,042.22   | C09042F                        | 0.00       | 0.00                        | -152.61          | 0.00               | 0.00      | 0.00    | 0.00     |
| 31292SBK5 | FHLMC GD PL #C09042 3.500% 5/01/43 | 10/15/2013               | 1727.4200     | 1,727.42   | 1,818.65   | C09042F                        | 0.00       | 0.00                        | -91.23           | 0.00               | 0.00      | 0.00    | 0.00     |
| 31292SBK5 | FHLMC GD PL #C09042 3.500% 5/01/43 | 10/21/2013               | 532481.9200   | 541,467.55 | 560,603.62 | C09042F                        | 0.00       | 0.00                        | -19,136.07       | 0.00               | 0.00      | 0.00    | 0.00     |
| 3132J82U3 | FHLMC GD PL #Q17586 3.500% 4/01/43 | 06/15/2013               | 224.7800      | 224.78     | 238.62     | Q17586F                        | 0.00       | 0.00                        | -13.84           | 0.00               | 0.00      | 0.00    | 0.00     |

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# 2013 Tax Information Statement

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04-2233412

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(617)951-7706

Payer's State ID Number:

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☐ 2nd TIN notice

Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
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BOSTON, MA 02199-3600

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| Cusip       | Description (Box 8)                | Date of Sale or Exchange | Quantity Sold | (Box 1a)   | (Box 2a)   | (Box 4) | (Box 15)  |
|-------------|------------------------------------|--------------------------|---------------|------------|------------|---------|-----------|
|             |                                    |                          |               |            |            |         |           |
| 3132J82U3   | FHLMC GD PL #Q17586 3.500% 4/01/43 | 07/15/2013               | 224 1900      | 224.19     | 237.99     | 0.00    | -13.80    |
| 3132J82U3   | FHLMC GD PL #Q17586 3.500% 4/01/43 | 08/15/2013               | 230 5700      | 230.57     | 244.76     | 0.00    | -14.19    |
| 3132J82U3   | FHLMC GD PL #Q17586 3.500% 4/01/43 | 09/15/2013               | 226 7400      | 226.74     | 240.70     | 0.00    | -13.96    |
| 3132J82U3   | FHLMC GD PL #Q17586 3.500% 4/01/43 | 10/15/2013               | 229 5700      | 229.57     | 243.70     | 0.00    | -14.13    |
| 143641.9700 | FHLMC GD PL #Q17586 3.500% 4/01/43 | 10/21/2013               | 143641.9700   | 146,065.93 | 152,484.93 | 0.00    | -6,419.00 |
| 3135G0VA8   | FNMA 0.500% 3/30/16                | 05/15/2013               | 145000.0000   | 145,246.65 | 144,946.35 | 0.00    | 300.30    |
| 31410LC26   | FNMA PL #890289 4.500% 2/01/41     | 05/25/2013               | 2242.5500     | 2,242.55   | 2,420.20   | 0.00    | -177.65   |
| 31410LC26   | FNMA PL #890289 4.500% 2/01/41     | 06/25/2013               | 2147.2500     | 2,147.25   | 2,317.35   | 0.00    | -170.10   |
| 31410LC26   | FNMA PL #890289 4.500% 2/01/41     | 07/25/2013               | 1786.1600     | 1,786.16   | 1,927.66   | 0.00    | -141.50   |
| 31410LC26   | FNMA PL #890289 4.500% 2/01/41     | 08/25/2013               | 1814 7800     | 1,814.78   | 1,958.54   | 0.00    | -143.76   |

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# 2013 Tax Information Statement

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## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

0088500

XX-XXX5974  
04-2233412

MA

(617)951-7706

☐ 2nd TIN notice

## Account Number:

Recipient's Tax ID Number:

Payer's Federal ID Number:

Payer's State ID Number:

State:

Questions?

☐ Corrected

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

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| Cusip     | Description (Box 8)            | Date of Sale or Exchange | Quantity Sold | Stock or Other Symbol (Box 1a) | Cost or Other Basis (Box 2a) | Wash Sale Loss Disallowed | Net Gain or Loss (Box 4) | Federal Income Tax Withheld | State Tax Withheld |
|-----------|--------------------------------|--------------------------|---------------|--------------------------------|------------------------------|---------------------------|--------------------------|-----------------------------|--------------------|
| 31410LC26 | FNMA PL #890289 4.500% 2/01/41 | 09/25/2013               | 1213 2000     | 890289A                        | 1,213.20                     | 1,309.31                  | -96.11                   | 0.00                        | 0.00               |
| 31410LC26 | FNMA PL #890289 4.500% 2/01/41 | 10/21/2013               | 61414.8300    | 890289A                        | 65,752.25                    | 66,280.06                 | -527.81                  | 0.00                        | 0.00               |
| 31410LC26 | FNMA PL #890289 4.500% 2/01/41 | 10/25/2013               | 1020 3100     | 890289A                        | 1,020.31                     | 1,101.14                  | -80.83                   | 0.00                        | 0.00               |
| 31416WEZ1 | FNMA PL #AB1051 4.500% 5/01/40 | 05/25/2013               | 1001.4700     | AB1051A                        | 1,001.47                     | 1,081.59                  | -80.12                   | 0.00                        | 0.00               |
| 31416WEZ1 | FNMA PL #AB1051 4.500% 5/01/40 | 06/25/2013               | 4300.8200     | AB1051A                        | 4,300.82                     | 4,644.89                  | -344.07                  | 0.00                        | 0.00               |
| 31416WEZ1 | FNMA PL #AB1051 4.500% 5/01/40 | 07/25/2013               | 4830.9900     | AB1051A                        | 4,830.99                     | 5,217.47                  | -386.48                  | 0.00                        | 0.00               |
| 31416WEZ1 | FNMA PL #AB1051 4.500% 5/01/40 | 08/25/2013               | 3369.7800     | AB1051A                        | 3,369.78                     | 3,639.36                  | -269.58                  | 0.00                        | 0.00               |
| 31416WEZ1 | FNMA PL #AB1051 4.500% 5/01/40 | 09/25/2013               | 2335.3600     | AB1051A                        | 2,335.36                     | 2,522.19                  | -186.83                  | 0.00                        | 0.00               |
| 31416WEZ1 | FNMA PL #AB1051 4.500% 5/01/40 | 10/21/2013               | 10814 3400    | AB1051A                        | 115,782.03                   | 116,795.77                | -1,013.74                | 0.00                        | 0.00               |
| 31416WEZ1 | FNMA PL #AB1051 4.500% 5/01/40 | 10/25/2013               | 2379 2900     | AB1051A                        | 2,379.29                     | 2,569.63                  | -190.34                  | 0.00                        | 0.00               |

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2013 Tax Information Statement

Account Number: 0088500  
Recipient's Name and Address:  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Recipient's Tax ID Number: XX-XXX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ 2nd TIN notice

☐ Corrected

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

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| Cusip       | Quantity Sold | Description (Box 8)            | Date of Sale or Exchange | Date of Acquisition | Stock or Other Symbol (Box 1d) |            |            | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax | State Tax |
|-------------|---------------|--------------------------------|--------------------------|---------------------|--------------------------------|------------|------------|---------------------------|------------------|--------------------|-----------|
|             |               |                                |                          |                     | (Box 1a)                       | (Box 2a)   | (Box 1b)   |                           |                  |                    |           |
| 31417CF42   | 26324.8900    | FNMA PL #AB5586 3.500% 7/01/42 | 02/25/2013               | 01/08/2013          | AB5586A                        | 26,324.89  | 27,974.31  | 0.00                      | -1,649.42        | 0.00               | 0.00      |
| 31417CF42   | 14233.1600    | FNMA PL #AB5586 3.500% 7/01/42 | 03/25/2013               | 01/08/2013          | AB5586A                        | 14,233.16  | 15,124.96  | 0.00                      | -891.80          | 0.00               | 0.00      |
| 31417CF42   | 14540.3200    | FNMA PL #AB5586 3.500% 7/01/42 | 04/25/2013               | 01/08/2013          | AB5586A                        | 14,540.32  | 15,451.36  | 0.00                      | -911.04          | 0.00               | 0.00      |
| 31417CF42   | 9598.0500     | FNMA PL #AB5586 3.500% 7/01/42 | 05/25/2013               | 01/08/2013          | AB5586A                        | 9,598.05   | 10,199.43  | 0.00                      | -601.38          | 0.00               | 0.00      |
| 31417CF42   | 15383.2200    | FNMA PL #AB5586 3.500% 7/01/42 | 06/25/2013               | 01/08/2013          | AB5586A                        | 15,383.22  | 16,347.07  | 0.00                      | -963.85          | 0.00               | 0.00      |
| 31417CF42   | 8971.5200     | FNMA PL #AB5586 3.500% 7/01/42 | 07/25/2013               | 01/08/2013          | AB5586A                        | 8,971.52   | 9,533.64   | 0.00                      | -562.12          | 0.00               | 0.00      |
| 31417CF42   | 2343.7700     | FNMA PL #AB5586 3.500% 7/01/42 | 08/25/2013               | 01/08/2013          | AB5586A                        | 2,343.77   | 2,490.62   | 0.00                      | -146.85          | 0.00               | 0.00      |
| 31417CF42   | 2604.3900     | FNMA PL #AB5586 3.500% 7/01/42 | 09/25/2013               | 01/08/2013          | AB5586A                        | 2,604.39   | 2,767.57   | 0.00                      | -163.18          | 0.00               | 0.00      |
| 427850.2800 |               | FNMA PL #AB5586 3.500% 7/01/42 | 10/21/2013               | 01/08/2013          | AB5586A                        | 436,340.43 | 454,657.79 | 0.00                      | -18,317.36       | 0.00               | 0.00      |
| 31417CF42   | 3150.6600     | FNMA PL #AB5586 3.500% 7/01/42 | 10/25/2013               | 01/08/2013          | AB5586A                        | 3,150.66   | 3,348.07   | 0.00                      | -197.41          | 0.00               | 0.00      |

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☐ 2nd TIN notice

☐ Corrected

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| Cusip     | Description (Box 8) | Date of Sale or Exchange | Quantity Sold | Other Basis | Cost or Other Symbol (Box 1d) | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|---------------------|--------------------------|---------------|-------------|-------------------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)  | (Box 1a)            | (Box 1b)                 | (Box 1c)      | (Box 2a)    | (Box 2b)                      | (Box 2c)                  | (Box 2d)         | (Box 4)                     | (Box 15)           |
| 31417ESX0 | FNMA PL #AB7733     | 05/31/2013               | 600.11        | AB7733A     | 602.31                        | 0.00                      | -2.20            | 0.00                        | 0.00               |
| 31417ESX0 | FNMA PL #AB7733     | 05/31/2013               | 663.48        | AB7733A     | 665.92                        | 0.00                      | -2.44            | 0.00                        | 0.00               |
| 31417ESX0 | FNMA PL #AB7733     | 05/31/2013               | 538.00        | AB7733A     | 539.98                        | 0.00                      | -1.98            | 0.00                        | 0.00               |
| 31417ESX0 | FNMA PL #AB7733     | 05/31/2013               | 108,085.56    | AB7733A     | 110,890.85                    | 0.00                      | -2,805.29        | 0.00                        | 0.00               |
| 31417ESX0 | FNMA PL #AB7733     | 05/31/2013               | 376.23        | AB7733A     | 377.61                        | 0.00                      | -1.38            | 0.00                        | 0.00               |
| 31417ETA9 | FNMA PL #AB7744     | 01/08/2013               | 1,873.16      | AB7744A     | 1,955.70                      | 0.00                      | -82.54           | 0.00                        | 0.00               |
| 31417ETA9 | FNMA PL #AB7744     | 01/08/2013               | 1,806.37      | AB7744A     | 1,885.96                      | 0.00                      | -79.59           | 0.00                        | 0.00               |
| 31417ETA9 | FNMA PL #AB7744     | 01/08/2013               | 3,100.79      | AB7744A     | 3,237.42                      | 0.00                      | -136.63          | 0.00                        | 0.00               |
| 31417ETA9 | FNMA PL #AB7744     | 01/08/2013               | 1,690.46      | AB7744A     | 1,764.95                      | 0.00                      | -74.49           | 0.00                        | 0.00               |
| 31417ETA9 | FNMA PL #AB7744     | 01/08/2013               | 4,346.70      | AB7744A     | 4,538.23                      | 0.00                      | -191.53          | 0.00                        | 0.00               |

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|-----------|---------------------|--------------------------|---------------|-------------|---------------------|------------|------------------|--------------------|-----------|
| (Box 1e)  | (Box 1a)            | (Box 1b)                 | (Box 1c)      | (Box 2a)    | (Box 2b)            | (Box 2c)   | (Box 2d)         | (Box 4)            | (Box 15)  |
| 31417ETA9 | FNMA PL #AB7744     | 3.000% 1/01/43           | 1222.4600     | AB7744A     | 1,222.46            | 1,276.32   | 0.00             | -53.86             | 0.00      |
| 31417ETA9 | FNMA PL #AB7744     | 3.000% 1/01/43           | 1876.4400     | AB7744A     | 1,876.44            | 1,959.12   | 0.00             | -82.68             | 0.00      |
| 31417ETA9 | FNMA PL #AB7744     | 3.000% 1/01/43           | 2160.3300     | AB7744A     | 2,160.33            | 2,255.52   | 0.00             | -95.19             | 0.00      |
| 31417ETA9 | FNMA PL #AB7744     | 3.000% 1/01/43           | 429162.8600   | AB7744A     | 419,841.98          | 448,072.84 | 0.00             | -28,230.86         | 0.00      |
| 31417ETA9 | FNMA PL #AB7744     | 3.000% 1/01/43           | 2760.0400     | AB7744A     | 2,760.04            | 2,881.65   | 0.00             | -121.61            | 0.00      |
| 3138AA4S7 | FNMA PL #AH8932     | 4.500% 4/01/41           | 7572.8000     | AH8932A     | 7,572.80            | 8,178.62   | 0.00             | -605.82            | 0.00      |
| 3138AA4S7 | FNMA PL #AH8932     | 4.500% 4/01/41           | 4011.2400     | AH8932A     | 4,011.24            | 4,332.14   | 0.00             | -320.90            | 0.00      |
| 3138AA4S7 | FNMA PL #AH8932     | 4.500% 4/01/41           | 11965.5000    | AH8932A     | 11,965.50           | 12,922.74  | 0.00             | -957.24            | 0.00      |
| 3138AA4S7 | FNMA PL #AH8932     | 4.500% 4/01/41           | 4323.6900     | AH8932A     | 4,323.69            | 4,669.59   | 0.00             | -345.90            | 0.00      |
| 3138AA4S7 | FNMA PL #AH8932     | 4.500% 4/01/41           | 1394.4100     | AH8932A     | 1,394.41            | 1,505.96   | 0.00             | -111.55            | 0.00      |

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# 2013 Tax Information Statement

Page 14 of 55  
Ref: 11

Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

0088500

XX-XXX5974  
04-2233412

MA

(617)951-7706

☐ 2nd TIN notice

Account Number:

Recipient's Tax ID Number:

Payer's Federal ID Number:

Payer's State ID Number:

State:

Questions?

☐ Corrected

Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

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| Cusip     | Description (Box 2)            | Date of Sale or Exchange | Quantity Sold | Stock or Other Symbol (Box 1d) | Stocks, Bonds, etc. | Cost Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Income Tax Withheld |
|-----------|--------------------------------|--------------------------|---------------|--------------------------------|---------------------|------------|---------------------------|------------------|-----------------------------|---------------------------|
| (Box 1e)  | (Box 1a)                       | (Box 1b)                 | (Box 1c)      | (Box 2a)                       | (Box 2b)            | (Box 2c)   | (Box 2d)                  | (Box 2e)         | (Box 2f)                    | (Box 2g)                  |
| 3138AA4S7 | FNMA PL #AH8932 4.500% 4/01/41 | 10/21/2013               | 100171.0500   | AH8932A                        | 107,245.63          | 108,184.70 | 0.00                      | -939.07          | 0.00                        | 0.00                      |
| 3138AA4S7 | FNMA PL #AH8932 4.500% 4/01/41 | 10/25/2013               | 177.1400      | AH8932A                        | 177.14              | 191.31     | 0.00                      | -14.17           | 0.00                        | 0.00                      |
| 3138AEE90 | FNMA PL #AI1059 4.500% 6/01/41 | 05/25/2013               | 2271.7100     | AI1059A                        | 2,271.71            | 2,450.25   | 0.00                      | -178.54          | 0.00                        | 0.00                      |
| 3138AEE90 | FNMA PL #AI1059 4.500% 6/01/41 | 06/25/2013               | 6913.4100     | AI1059A                        | 6,913.41            | 7,456.76   | 0.00                      | -543.35          | 0.00                        | 0.00                      |
| 3138AEE90 | FNMA PL #AI1059 4.500% 6/01/41 | 07/25/2013               | 3844.8700     | AI1059A                        | 3,844.87            | 4,147.05   | 0.00                      | -302.18          | 0.00                        | 0.00                      |
| 3138AEE90 | FNMA PL #AI1059 4.500% 6/01/41 | 08/25/2013               | 1021.0600     | AI1059A                        | 1,021.06            | 1,101.31   | 0.00                      | -80.25           | 0.00                        | 0.00                      |
| 3138AEE90 | FNMA PL #AI1059 4.500% 6/01/41 | 09/25/2013               | 1517.5400     | AI1059A                        | 1,517.54            | 1,636.81   | 0.00                      | -119.27          | 0.00                        | 0.00                      |
| 3138AEE90 | FNMA PL #AI1059 4.500% 6/01/41 | 10/21/2013               | 86741.3400    | AI1059A                        | 92,867.45           | 93,558.70  | 0.00                      | -691.25          | 0.00                        | 0.00                      |
| 3138AEE90 | FNMA PL #AI1059 4.500% 6/01/41 | 10/25/2013               | 840.7200      | AI1059A                        | 840.72              | 906.80     | 0.00                      | -66.08           | 0.00                        | 0.00                      |
| 3138E7YC2 | FNMA PL #AK3406 4.500% 1/01/42 | 05/25/2013               | 3540.2600     | AK3406A                        | 3,540.26            | 3,820.71   | 0.00                      | -280.45          | 0.00                        | 0.00                      |

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2013 Tax Information Statement

Account Number: 0088500  
Recipient's Tax ID Number: XX-XXX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ 2nd TIN notice  
☐ Corrected

Recipient's Name and Address:  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

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| CUSIP     |            | Description (Box 8) |        | Date of Sale or Exchange |         | Acquisition |           | Stock or Other Symbol (Box 1d) |         | Cost or Other Basis |      | Wash Sale Loss Disallowed |      | Net Gain or Loss |      | Federal Income Tax Withheld |      |
|-----------|------------|---------------------|--------|--------------------------|---------|-------------|-----------|--------------------------------|---------|---------------------|------|---------------------------|------|------------------|------|-----------------------------|------|
| (Box 1e)  |            | (Box 1a)            |        | (Box 2a)                 |         | (Box 2b)    |           | (Box 4)                        |         | (Box 15)            |      |                           |      |                  |      |                             |      |
| 3138E7YC2 | 134 8700   | FNMA PL #AK3406     | 4.500% | 1/01/42                  | AK3406A | 134.87      | 145.55    | 0.00                           | -10.68  | 0.00                | 0.00 | 0.00                      | 0.00 | 0.00             | 0.00 | 0.00                        | 0.00 |
| 3138E7YC2 | 3064 6800  | FNMA PL #AK3406     | 4.500% | 1/01/42                  | AK3406A | 3,064.68    | 3,307.46  | 0.00                           | -242.78 | 0.00                | 0.00 | 0.00                      | 0.00 | 0.00             | 0.00 | 0.00                        | 0.00 |
| 3138E7YC2 | 133.4700   | FNMA PL #AK3406     | 4.500% | 1/01/42                  | AK3406A | 133.47      | 144.04    | 0.00                           | -10.57  | 0.00                | 0.00 | 0.00                      | 0.00 | 0.00             | 0.00 | 0.00                        | 0.00 |
| 3138E7YC2 | 131.6300   | FNMA PL #AK3406     | 4.500% | 1/01/42                  | AK3406A | 131.63      | 142.06    | 0.00                           | -10.43  | 0.00                | 0.00 | 0.00                      | 0.00 | 0.00             | 0.00 | 0.00                        | 0.00 |
| 3138E7YC2 | 84211.8200 | FNMA PL #AK3406     | 4.500% | 1/01/42                  | AK3406A | 90,159.28   | 90,883.03 | 0.00                           | -723.75 | 0.00                | 0.00 | 0.00                      | 0.00 | 0.00             | 0.00 | 0.00                        | 0.00 |
| 3138E7YC2 | 133.2300   | FNMA PL #AK3406     | 4.500% | 1/01/42                  | AK3406A | 133.23      | 143.78    | 0.00                           | -10.55  | 0.00                | 0.00 | 0.00                      | 0.00 | 0.00             | 0.00 | 0.00                        | 0.00 |
| 3138E9LH1 | 1595 6500  | FNMA PL #AK4827     | 3.500% | 4/01/42                  | AK4827A | 1,595.65    | 1,657.81  | 0.00                           | -62.16  | 0.00                | 0.00 | 0.00                      | 0.00 | 0.00             | 0.00 | 0.00                        | 0.00 |
| 3138E9LH1 | 3665.9200  | FNMA PL #AK4827     | 3.500% | 4/01/42                  | AK4827A | 3,665.92    | 3,808.73  | 0.00                           | -142.81 | 0.00                | 0.00 | 0.00                      | 0.00 | 0.00             | 0.00 | 0.00                        | 0.00 |
| 3138E9LH1 | 1778.4100  | FNMA PL #AK4827     | 3.500% | 4/01/42                  | AK4827A | 1,778.41    | 1,847.69  | 0.00                           | -69.28  | 0.00                | 0.00 | 0.00                      | 0.00 | 0.00             | 0.00 | 0.00                        | 0.00 |
| 3138M8QP1 | 105 1400   | FNMA PL #AP4961     | 3.000% | 9/01/42                  | AP4961A | 105.14      | 108.56    | 0.00                           | -3.42   | 0.00                | 0.00 | 0.00                      | 0.00 | 0.00             | 0.00 | 0.00                        | 0.00 |

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Ref: 11

Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number:

0088500  
XX-XXX5974  
04-2233412

Recipient's Tax ID Number:

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(617)951-7706

Questions?

☐ Corrected

☐ 2nd TIN notice

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BOSTON, MA 02199-3600

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| Cusip     | Description (Box 8)             | Date of Sale or Exchange | Quantity Sold | Stocks or Bonds, etc. | Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax | State Tax |
|-----------|---------------------------------|--------------------------|---------------|-----------------------|-------------|---------------------------|------------------|--------------------|-----------|
| (Box 1e)  | (Box 1a)                        | (Box 2a)                 | (Box 1d)      | (Box 1b)              | (Box 1c)    | (Box 1f)                  | (Box 1g)         | (Box 1h)           | (Box 1i)  |
| 3138M8QP1 | FNMA PL #AP4961 3.000% 9/01/42  | AP4961A                  | 2373.2700     | 2,373.27              | 2,450.55    | 0.00                      | -77.28           | 0.00               | 0.00      |
| 3138M8QP1 | FNMA PL #AP4961 3.000% 9/01/42  | AP4961A                  | 93.4700       | 93.47                 | 96.51       | 0.00                      | -3.04            | 0.00               | 0.00      |
| 3138M8QP1 | FNMA PL #AP4961 3.000% 9/01/42  | AP4961A                  | 96.7800       | 96.78                 | 99.93       | 0.00                      | -3.15            | 0.00               | 0.00      |
| 3138M8QP1 | FNMA PL #AP4961 3.000% 9/01/42  | AP4961A                  | 92.7300       | 92.73                 | 95.75       | 0.00                      | -3.02            | 0.00               | 0.00      |
| 3138M8QP1 | FNMA PL #AP4961 3.000% 9/01/42  | AP4961A                  | 95.2400       | 95.24                 | 98.34       | 0.00                      | -3.10            | 0.00               | 0.00      |
| 3138M8QP1 | FNMA PL #AP4961 3.000% 9/01/42  | AP4961A                  | 98.4600       | 98.46                 | 101.67      | 0.00                      | -3.21            | 0.00               | 0.00      |
| 3138MFTC1 | FNMA PL #AQ0546 3.500% 11/01/42 | AQ0546A                  | 940.6900      | 940.69                | 1,000.37    | 0.00                      | -59.68           | 0.00               | 0.00      |
| 3138MFTC1 | FNMA PL #AQ0546 3.500% 11/01/42 | AQ0546A                  | 1403.9900     | 1,403.99              | 1,493.06    | 0.00                      | -89.07           | 0.00               | 0.00      |
| 3138MFTC1 | FNMA PL #AQ0546 3.500% 11/01/42 | AQ0546A                  | 670.1700      | 670.17                | 712.68      | 0.00                      | -42.51           | 0.00               | 0.00      |
| 3138MFTC1 | FNMA PL #AQ0546 3.500% 11/01/42 | AQ0546A                  | 715.4100      | 715.41                | 760.79      | 0.00                      | -45.38           | 0.00               | 0.00      |

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# 2013 Tax Information Statement

Page 17 of 55  
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## Recipient's Name and Address:

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C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
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BOSTON, MA 02199-3600

0088500

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800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

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| Cusip       | Quantity Sold | Description (Box 9) | Date of Sale or Exchange | Date of Acquisition | Stock or Other Symbol (Box 1d) |            |          |           |         | Other Basis |         |         | Wash Sale |          |          | Federal Income Tax |          |          |
|-------------|---------------|---------------------|--------------------------|---------------------|--------------------------------|------------|----------|-----------|---------|-------------|---------|---------|-----------|----------|----------|--------------------|----------|----------|
|             |               |                     |                          |                     | (Box 1a)                       | (Box 2a)   | (Box 3a) | (Box 4)   | (Box 5) | (Box 6)     | (Box 7) | (Box 8) | (Box 9)   | (Box 10) | (Box 11) | (Box 12)           | (Box 13) | (Box 14) |
| 3138MFTC1   |               | FNMA PL #AQ0546     | 3.500%                   | 11/01/42            | AQ0546A                        |            |          |           |         |             |         |         |           |          |          |                    |          |          |
| 72943 2500  |               | 10/21/2013          | 04/12/2013               |                     | 74,390.72                      | 77,570.58  | 0.00     | -3,179.86 | 0.00    |             |         |         |           |          |          |                    |          |          |
| 3138MFTC1   |               | FNMA PL #AQ0546     | 3.500%                   | 11/01/42            | AQ0546A                        |            |          |           |         |             |         |         |           |          |          |                    |          |          |
| 447.6200    |               | 10/25/2013          | 04/12/2013               |                     | 447.62                         | 476.02     | 0.00     | -28.40    | 0.00    |             |         |         |           |          |          |                    |          |          |
| 3138MLCP7   |               | FNMA PL #AQ4577     | 3.500%                   | 12/01/42            | AQ4577A                        |            |          |           |         |             |         |         |           |          |          |                    |          |          |
| 1347.1300   |               | 06/25/2013          | 04/12/2013               |                     | 1,347.13                       | 1,432.59   | 0.00     | -85.46    | 0.00    |             |         |         |           |          |          |                    |          |          |
| 3138MLCP7   |               | FNMA PL #AQ4577     | 3.500%                   | 12/01/42            | AQ4577A                        |            |          |           |         |             |         |         |           |          |          |                    |          |          |
| 1787 9800   |               | 07/25/2013          | 04/12/2013               |                     | 1,787.98                       | 1,901.40   | 0.00     | -113.42   | 0.00    |             |         |         |           |          |          |                    |          |          |
| 3138MLCP7   |               | FNMA PL #AQ4577     | 3.500%                   | 12/01/42            | AQ4577A                        |            |          |           |         |             |         |         |           |          |          |                    |          |          |
| 3033 0400   |               | 08/25/2013          | 04/12/2013               |                     | 3,033.04                       | 3,225.45   | 0.00     | -192.41   | 0.00    |             |         |         |           |          |          |                    |          |          |
| 3138MLCP7   |               | FNMA PL #AQ4577     | 3.500%                   | 12/01/42            | AQ4577A                        |            |          |           |         |             |         |         |           |          |          |                    |          |          |
| 218.7700    |               | 09/25/2013          | 04/12/2013               |                     | 218.77                         | 232.65     | 0.00     | -13.88    | 0.00    |             |         |         |           |          |          |                    |          |          |
| 3138MLCP7   |               | FNMA PL #AQ4577     | 3.500%                   | 12/01/42            | AQ4577A                        |            |          |           |         |             |         |         |           |          |          |                    |          |          |
| 119885.7000 |               | 10/21/2013          | 04/12/2013               |                     | 122,264.68                     | 127,490.94 | 0.00     | -5,226.26 | 0.00    |             |         |         |           |          |          |                    |          |          |
| 3138MLCP7   |               | FNMA PL #AQ4577     | 3.500%                   | 12/01/42            | AQ4577A                        |            |          |           |         |             |         |         |           |          |          |                    |          |          |
| 898.5400    |               | 10/25/2013          | 04/12/2013               |                     | 898.54                         | 955.54     | 0.00     | -57.00    | 0.00    |             |         |         |           |          |          |                    |          |          |
| 3138MQCT8   |               | FNMA PL #AQ8181     | 3.500%                   | 1/01/43             | AQ8181A                        |            |          |           |         |             |         |         |           |          |          |                    |          |          |
| 9504.0800   |               | 06/25/2013          | 04/12/2013               |                     | 9,504.08                       | 10,109.96  | 0.00     | -605.88   | 0.00    |             |         |         |           |          |          |                    |          |          |
| 3138MQCT8   |               | FNMA PL #AQ8181     | 3.500%                   | 1/01/43             | AQ8181A                        |            |          |           |         |             |         |         |           |          |          |                    |          |          |
| 263 3600    |               | 07/25/2013          | 04/12/2013               |                     | 263.36                         | 280.15     | 0.00     | -16.79    | 0.00    |             |         |         |           |          |          |                    |          |          |

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800 BOYLSTON ST  
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Payer's Name and Address:  
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800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

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| Cusip     | Quantity Sold | Description (Box 3)            | Date of Sale or Exchange | Acquisition | Stock or Other Symbol (Box 1d) | Cost or Other Basis (Box 2a) |            |         |           | Wash Sale Disallowed Loss | Net Gain or Loss | Federal Income Tax Withheld |          |
|-----------|---------------|--------------------------------|--------------------------|-------------|--------------------------------|------------------------------|------------|---------|-----------|---------------------------|------------------|-----------------------------|----------|
|           |               |                                |                          |             |                                | (Box 1a)                     | (Box 2a)   | (Box 3) | (Box 4)   |                           |                  | (Box 15)                    | (Box 16) |
| 3138MQCT8 | 264 8100      | FNMA PL #AQ8181 3.500% 1/01/43 | 08/25/2013               | 04/12/2013  | AQ8181A                        | 264.81                       | 281.69     | 0.00    | -16.88    | 0.00                      | 0.00             | 0.00                        | 0.00     |
| 3138MQCT8 | 267.0900      | FNMA PL #AQ8181 3.500% 1/01/43 | 09/25/2013               | 04/12/2013  | AQ8181A                        | 267.09                       | 284.12     | 0.00    | -17.03    | 0.00                      | 0.00             | 0.00                        | 0.00     |
| 3138MQCT8 | 148338 0500   | FNMA PL #AQ8181 3.500% 1/01/43 | 10/21/2013               | 04/12/2013  | AQ8181A                        | 151,281.63                   | 157,794.62 | 0.00    | -6,512.99 | 0.00                      | 0.00             | 0.00                        | 0.00     |
| 3138MQCT8 | 263 1900      | FNMA PL #AQ8181 3.500% 1/01/43 | 10/25/2013               | 04/12/2013  | AQ8181A                        | 263.19                       | 279.97     | 0.00    | -16.78    | 0.00                      | 0.00             | 0.00                        | 0.00     |
| 3138WN3Y3 | 42.9400       | FNMA PL #AT1714 3.500% 4/01/43 | 06/25/2013               | 04/12/2013  | AT1714A                        | 42.94                        | 45.68      | 0.00    | -2.74     | 0.00                      | 0.00             | 0.00                        | 0.00     |
| 3138WN3Y3 | 43.1100       | FNMA PL #AT1714 3.500% 4/01/43 | 07/25/2013               | 04/12/2013  | AT1714A                        | 43.11                        | 45.86      | 0.00    | -2.75     | 0.00                      | 0.00             | 0.00                        | 0.00     |
| 3138WN3Y3 | 45.6000       | FNMA PL #AT1714 3.500% 4/01/43 | 08/25/2013               | 04/12/2013  | AT1714A                        | 45.60                        | 48.51      | 0.00    | -2.91     | 0.00                      | 0.00             | 0.00                        | 0.00     |
| 3138WN3Y3 | 44.4200       | FNMA PL #AT1714 3.500% 4/01/43 | 09/25/2013               | 04/12/2013  | AT1714A                        | 44.42                        | 47.25      | 0.00    | -2.83     | 0.00                      | 0.00             | 0.00                        | 0.00     |
| 3138WN3Y3 | 29382.8500    | FNMA PL #AT1714 3.500% 4/01/43 | 10/21/2013               | 04/12/2013  | AT1714A                        | 29,965.92                    | 31,256.00  | 0.00    | -1,290.08 | 0.00                      | 0.00             | 0.00                        | 0.00     |
| 3138WN3Y3 | 366 8800      | FNMA PL #AT1714 3.500% 4/01/43 | 10/25/2013               | 04/12/2013  | AT1714A                        | 366.88                       | 390.27     | 0.00    | -23.39    | 0.00                      | 0.00             | 0.00                        | 0.00     |

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# 2013 Tax Information Statement

Page 19 of 55  
Ref: 11

Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number:

0088500  
XX-XXX5974  
04-2233412

Recipient's Tax ID Number:

04-2233412

Payer's Federal ID Number:

MA  
(617)951-7706

Payer's State ID Number:

MA  
(617)951-7706

Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

Questions?

☐ Corrected

☐ 2nd TIN notice

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip     | Description (Box 8)                | Date of Sale or Exchange | Quantity Sold | Stock or Other Symbol (Box 1d) | Cost or Other Basis (Box 2a) | Wash Sale Loss Disallowed | Net Gain or Loss (Box 4) | State Tax Withheld |
|-----------|------------------------------------|--------------------------|---------------|--------------------------------|------------------------------|---------------------------|--------------------------|--------------------|
| (Box 1e)  | (Box 1a)                           |                          |               |                                |                              |                           |                          | (Box 15)           |
| 377372AJ6 | GLAXOSMITHKLINE 4.200% 3/18/43     | 10/21/2013 03/13/2013    | 20000.0000    | 18,833.60                      | 19,734.40                    | 0.00                      | -900.80                  | 0.00               |
| 428236BV4 | HEWLETT-PACKARD CO 4.650% 12/09/21 | 10/21/2013 02/22/2013    | 65000.0000    | 66,012.70                      | 66,717.30                    | 0.00                      | -704.60                  | 0.00               |
| 459200HK0 | IBM CORP 1.250% 2/08/18            | 10/21/2013 02/05/2013    | 100000.0000   | 98,788.00                      | 99,542.00                    | 0.00                      | -754.00                  | 0.00               |
| 458140AL4 | INTEL CORP 1.350% 12/15/17         | 10/21/2013 01/09/2013    | 75000.0000    | 74,654.25                      | 75,088.50                    | 0.00                      | -434.25                  | 0.00               |
| 46625HJE1 | JPMORGAN CHASE & CO 3.250% 9/23/22 | 10/21/2013 01/09/2013    | 50000.0000    | 48,108.50                      | 51,144.50                    | 0.00                      | -3,036.00                | 0.00               |
| 50076QAE6 | KRAFT FOODS GROUP 5.000% 6/04/42   | 10/21/2013 06/18/2013    | 55000.0000    | 55,264.55                      | 56,727.55                    | 0.00                      | -1,463.00                | 0.00               |
| 50247VAA7 | LYB INTL FINANCE BV 4.000% 7/15/23 | 10/21/2013 07/11/2013    | 5000.0000     | 5,004.15                       | 4,933.90                     | 0.00                      | 70.25                    | 0.00               |
| 6174467U7 | MORGAN STANLEY 2.125% 4/25/18      | 10/21/2013 04/22/2013    | 125000.0000   | 123,383.75                     | 124,911.25                   | 0.00                      | -1,527.50                | 0.00               |
| 76720AAL0 | RIO TINTO FIN USA 1.375% 6/17/16   | 10/21/2013 06/14/2013    | 30000.0000    | 30,093.30                      | 29,912.40                    | 0.00                      | 180.90                   | 0.00               |
| 801060AB0 | SANOFI 1.250% 4/10/18              | 10/21/2013 04/03/2013    | 35000.0000    | 34,472.90                      | 34,846.35                    | 0.00                      | -373.45                  | 0.00               |

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# 2013 Tax Information Statement

Page 20 of 55  
Ref: 11

Recipient's Name and Address:  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number: 0088500  
Recipient's Tax ID Number: XX-XX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ 2nd TIN notice

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

☐ Corrected

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| Cusip     | Description (Box 9) | Date of Sale or Exchange | Quantity Sold (Box 1e) | Stock or Other Symbol (Box 1d) | Stocks, Bonds, etc. | Cost or Other Basis (Box 2a) | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|---------------------|--------------------------|------------------------|--------------------------------|---------------------|------------------------------|---------------------------|------------------|-----------------------------|--------------------|
| 822582AW2 | SHELL INTERNATIONAL | 1.900% 8/10/18           | 85000.0000             |                                | 85,700.40           | 84,943.90                    | 0.00                      | 756.50           | 0.00                        | 0.00               |
| 842587CJ4 | SOUTHERN CO         | 2.450% 9/01/18           | 30000.0000             |                                | 30,621.00           | 29,939.40                    | 0.00                      | 681.60           | 0.00                        | 0.00               |
| 84756NAC3 | SPECTRA PARTNERS    | 2.950% 9/25/18           | 20000.0000             |                                | 20,425.00           | 19,965.80                    | 0.00                      | 459.20           | 0.00                        | 0.00               |
| 85771PAH5 | STATOIL ASA         | 1.200% 1/17/18           | 50000.0000             |                                | 49,166.50           | 50,108.50                    | 0.00                      | -942.00          | 0.00                        | 0.00               |
| 867229AE6 | SUNCOR ENERGY INC   | 6.500% 6/15/38           | 45000.0000             |                                | 52,973.10           | 57,312.00                    | 0.00                      | -4,338.90        | 0.00                        | 0.00               |
| 89233P6S0 | TOYOTA MTR CRED MTN | 1.250% 10/05/17          | 100000.0000            |                                | 98,855.00           | 100,100.00                   | 0.00                      | -1,245.00        | 0.00                        | 0.00               |
| 89352HAK5 | TRANS-CANADA PIPE   | 3.750% 10/16/23          | 30000.0000             |                                | 30,249.00           | 29,811.30                    | 0.00                      | 437.70           | 0.00                        | 0.00               |
| 9127955Z0 | U.S. TREASURY BILLS | 2/07/13                  | 740000.0000            |                                | 739,556.77          | 739,556.77                   | 0.00                      | 0.00             | 0.00                        | 0.00               |
| 912810QD3 | U.S. TREASURY BONDS | 4.375% 11/15/39          | 10000.0000             |                                | 12,785.12           | 12,736.37                    | 0.00                      | 48.75            | 0.00                        | 0.00               |
| 912810QD3 | U.S. TREASURY BONDS | 4.375% 11/15/39          | 40000.0000             |                                | 43,652.97           | 50,945.47                    | 0.00                      | -7,292.50        | 0.00                        | 0.00               |

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# 2013 Tax Information Statement

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SWARTZ FOUNDATION  
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800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number: 0088500  
Recipient's Tax ID Number: XX-XX5974  
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Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ 2nd TIN notice

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

☐ Corrected

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| Cusip     | Description (Box 8)                | Date of Sale or Exchange | Quantity Sold | Cost Basis (Box 1a) | Other Basis (Box 2a) | Stocks | Bonds | Other Basis | Wash Sale Loss Disallowed | Federal Income Tax Withheld | State Tax Withheld |
|-----------|------------------------------------|--------------------------|---------------|---------------------|----------------------|--------|-------|-------------|---------------------------|-----------------------------|--------------------|
| 912828TF7 | U.S. TREASURY NOTES 0.125% 7/31/14 | 08/30/2013               | 290000.0000   | 289,965.04          | 289,615.81           | 0.00   | 0.00  | 0.00        | 0.00                      | 349.23                      | 0.00               |
| 912828TF7 | U.S. TREASURY NOTES 0.125% 7/31/14 | 10/21/2013               | 210000.0000   | 210,048.51          | 209,721.80           | 0.00   | 0.00  | 0.00        | 0.00                      | 326.71                      | 0.00               |
| 912828UP3 | U.S. TREASURY NOTES 0.250% 2/28/15 | 10/21/2013               | 400000.0000   | 400,201.78          | 400,079.46           | 0.00   | 0.00  | 0.00        | 0.00                      | 122.32                      | 0.00               |
| 912828UW8 | U.S. TREASURY NOTES 0.250% 4/15/16 | 05/15/2013               | 340000.0000   | 338,750.42          | 339,430.04           | 0.00   | 0.00  | 0.00        | 0.00                      | -679.62                     | 0.00               |
| 912828US7 | U.S. TREASURY NOTES 0.375% 3/15/16 | 05/15/2013               | 80000.0000    | 80,015.36           | 80,047.14            | 0.00   | 0.00  | 0.00        | 0.00                      | -31.78                      | 0.00               |
| 912828RA0 | U.S. TREASURY NOTES 0.375% 6/30/13 | 04/30/2013               | 285000.0000   | 285,166.04          | 285,242.95           | 0.00   | 0.00  | 0.00        | 0.00                      | -76.91                      | 0.00               |
| 912828RA0 | U.S. TREASURY NOTES 0.375% 6/30/13 | 06/30/2013               | 115000.0000   | 115,000.00          | 115,076.75           | 0.00   | 0.00  | 0.00        | 0.00                      | -76.75                      | 0.00               |
| 912828TG5 | U.S. TREASURY NOTES 0.500% 7/31/17 | 01/16/2013               | 105000.0000   | 104,269.57          | 104,454.84           | 0.00   | 0.00  | 0.00        | 0.00                      | -185.27                     | 0.00               |
| 912828TG5 | U.S. TREASURY NOTES 0.500% 7/31/17 | 02/05/2013               | 110000.0000   | 108,770.72          | 109,428.89           | 0.00   | 0.00  | 0.00        | 0.00                      | -658.17                     | 0.00               |
| 912828TG5 | U.S. TREASURY NOTES 0.500% 7/31/17 | 05/07/2013               | 20000.0000    | 19,914.78           | 19,896.16            | 0.00   | 0.00  | 0.00        | 0.00                      | 18.62                       | 0.00               |

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# 2013 Tax Information Statement

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Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

0088500

XX-XXX5974

04-2233412

MA

(617)951-7706

Account Number:

Recipient's Tax ID Number:

Payer's Federal ID Number:

Payer's State ID Number:

State:

Questions?

☐ Corrected

☐ 2nd TIN notice

Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

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| Cusip       | Description (Box 8)                | Date of Sale or Exchange | Quantity Sold | Stock or Other Symbol (Box 9d) | Stocks, Bonds, etc. | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-------------|------------------------------------|--------------------------|---------------|--------------------------------|---------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)    | (Box 1a)                           | (Box 1b)                 | (Box 1c)      | (Box 2a)                       | (Box 2b)            | (Box 2c)            | (Box 2d)                  | (Box 2e)         | (Box 2f)                    | (Box 2g)           |
| 912828U21   | U.S. TREASURY NOTES 0.625% 4/30/18 | 08/12/2013               | 04/26/2013    | 19,383.53                      | 19,943.04           | 0.00                | 0.00                      | -559.51          | 0.00                        | 0.00               |
| 20000.0000  |                                    |                          |               |                                |                     |                     |                           |                  |                             |                    |
| 912828U21   | U.S. TREASURY NOTES 0.625% 4/30/18 | 10/21/2013               | 04/26/2013    | 116,868.35                     | 119,658.21          | 0.00                | 0.00                      | -2,789.86        | 0.00                        | 0.00               |
| 120000.0000 |                                    |                          |               |                                |                     |                     |                           |                  |                             |                    |
| 912828VR8   | U.S. TREASURY NOTES 0.625% 8/15/16 | 10/03/2013               | 08/30/2013    | 30,037.40                      | 29,882.91           | 0.00                | 0.00                      | 154.49           | 0.00                        | 0.00               |
| 30000.0000  |                                    |                          |               |                                |                     |                     |                           |                  |                             |                    |
| 912828VR8   | U.S. TREASURY NOTES 0.625% 8/15/16 | 10/21/2013               | 08/30/2013    | 570,799.65                     | 567,775.35          | 0.00                | 0.00                      | 3,024.30         | 0.00                        | 0.00               |
| 570000.0000 |                                    |                          |               |                                |                     |                     |                           |                  |                             |                    |
| 912828QL7   | U.S. TREASURY NOTES 0.750% 3/31/13 | 03/26/2013               | 02/08/2013    | 280,010.00                     | 280,252.50          | 0.00                | 0.00                      | -242.50          | 0.00                        | 0.00               |
| 280000.0000 |                                    |                          |               |                                |                     |                     |                           |                  |                             |                    |
| 912828QL7   | U.S. TREASURY NOTES 0.750% 3/31/13 | 03/31/2013               | 02/08/2013    | 485,000.00                     | 485,437.37          | 0.00                | 0.00                      | -437.37          | 0.00                        | 0.00               |
| 485000.0000 |                                    |                          |               |                                |                     |                     |                           |                  |                             |                    |
| 912828TB6   | U.S. TREASURY NOTES 0.750% 6/30/17 | 05/15/2013               | 07/16/2012    | 75,327.87                      | 75,583.26           | 0.00                | 0.00                      | -255.39          | 0.00                        | 0.00               |
| 75000.0000  |                                    |                          |               |                                |                     |                     |                           |                  |                             |                    |
| 912828TB6   | U.S. TREASURY NOTES 0.750% 6/30/17 | 06/14/2013               | 07/16/2012    | 19,952.28                      | 20,155.54           | 0.00                | 0.00                      | -203.26          | 0.00                        | 0.00               |
| 20000.0000  |                                    |                          |               |                                |                     |                     |                           |                  |                             |                    |
| 912828SS0   | U.S. TREASURY NOTES 0.875% 4/30/17 | 02/14/2013               | 05/31/2012    | 87N7517                        | 111,207.79          | 0.00                | 0.00                      | -335.89          | 0.00                        | 0.00               |
| 110000.0000 |                                    |                          |               |                                |                     |                     |                           |                  |                             |                    |
| 912828SS0   | U.S. TREASURY NOTES 0.875% 4/30/17 | 04/03/2013               | 05/31/2012    | 87N7517                        | 40,439.20           | 0.00                | 0.00                      | 116.92           | 0.00                        | 0.00               |
| 40000.0000  |                                    |                          |               |                                |                     |                     |                           |                  |                             |                    |

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# 2013 Tax Information Statement

Page 23 of 55  
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Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number:

0088500  
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04-2233412

Recipient's Tax ID Number:

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Payer's Federal ID Number:  
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State:

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ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

MA

(617)951-7706

Questions?

☐ Corrected ☐ 2nd TIN notice

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip     | Description (Box 3)                 | Date of Sale or Exchange | Quantity Sold | (Box 1a) | (Box 2a)   | Stock or Other Symbol (Box 1d) | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|-------------------------------------|--------------------------|---------------|----------|------------|--------------------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| 912828SS0 | U.S. TREASURY NOTES 0.875% 4/30/17  | 04/22/2013               | 150000.0000   | 87N7517  | 152,120.59 |                                | 150,542.30          | 0.00                      | 1,578.29         | 0.00                        | 0.00               |
| 912828VK3 | U.S. TREASURY NOTES 1.375% 6/30/18  | 10/21/2013               | 150000.0000   |          | 150,644.03 |                                | 150,006.36          | 0.00                      | 637.67           | 0.00                        | 0.00               |
| 912828VQ0 | U.S. TREASURY NOTES 1.375% 7/31/18  | 08/07/2013               | 85000.0000    |          | 85,022.96  |                                | 84,631.73           | 0.00                      | 391.23           | 0.00                        | 0.00               |
| 912828VQ0 | U.S. TREASURY NOTES 1.375% 7/31/18  | 08/21/2013               | 30000.0000    |          | 29,724.51  |                                | 29,870.02           | 0.00                      | -145.51          | 0.00                        | 0.00               |
| 912828VQ0 | U.S. TREASURY NOTES 1.375% 7/31/18  | 09/16/2013               | 20000.0000    |          | 19,778.84  |                                | 19,913.35           | 0.00                      | -134.51          | 0.00                        | 0.00               |
| 912828VQ0 | U.S. TREASURY NOTES 1.375% 7/31/18  | 10/21/2013               | 50000.0000    |          | 50,169.75  |                                | 49,783.37           | 0.00                      | 386.38           | 0.00                        | 0.00               |
| 912828RH5 | U.S. TREASURY NOTES 1.375% 9/30/18  | 10/21/2013               | 185000.0000   |          | 185,151.14 |                                | 184,863.31          | 0.00                      | 287.83           | 0.00                        | 0.00               |
| 912828JW1 | U.S. TREASURY NOTES 1.500% 12/31/13 | 08/30/2013               | 100000.0000   |          | 100,464.51 |                                | 100,586.27          | 0.00                      | -121.76          | 0.00                        | 0.00               |
| 912828TY6 | U.S. TREASURY NOTES 1.625% 11/15/22 | 04/12/2013               | 50000.0000    |          | 49,734.18  |                                | 48,444.74           | 0.00                      | 1,289.44         | 0.00                        | 0.00               |
| 912828VB3 | U.S. TREASURY NOTES 1.750% 5/15/23  | 10/21/2013               | 145000.0000   |          | 134,690.83 |                                | 140,191.79          | 0.00                      | -5,500.96        | 0.00                        | 0.00               |

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## Payer's Name and Address:

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BOSTON, MA 02199-3600

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| Cusip                                           | Description (Box 6)                | Date of Sale or Exchange | Quantity Sold | Stock or Other Symbol (Box 1c) | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-------------------------------------------------|------------------------------------|--------------------------|---------------|--------------------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)                                        | (Box 1a)                           |                          |               | (Box 2a)                       |                     |                           |                  | (Box 4)                     | (Box 15)           |
| 912828RC6                                       | U.S. TREASURY NOTES 2.125% 8/15/21 | 01/14/2013               | 45000.0000    | UTN2121                        | 46,892.98           | 0.00                      | 38.30            | 0.00                        | 0.00               |
| 912828RC6                                       | U.S. TREASURY NOTES 2.125% 8/15/21 | 04/12/2013               | 25000.0000    | UTN2121                        | 26,391.50           | 0.00                      | 361.13           | 0.00                        | 0.00               |
| 92343VBT0                                       | VERIZON COMM INC 6.550% 9/15/43    | 10/21/2013               | 105000.0000   |                                | 121,869.30          | 0.00                      | 13,606.80        | 0.00                        | 0.00               |
| 92553PAS1                                       | VIACOM INC 2.500% 9/01/18          | 10/21/2013               | 20000.0000    |                                | 20,175.80           | 0.00                      | 291.20           | 0.00                        | 0.00               |
| 931142DD2                                       | WAL-MART STORES 4.250% 4/15/21     | 10/21/2013               | 125000.0000   |                                | 137,076.25          | 0.00                      | -8,382.50        | 0.00                        | 0.00               |
| 25468PCW4                                       | WALT DISNEY CO MTN 2.350% 12/01/22 | 10/21/2013               | 75000.0000    |                                | 69,683.25           | 0.00                      | -5,125.50        | 0.00                        | 0.00               |
| Total Short Term Sales Reported on 1099-B       |                                    |                          |               |                                | 10,489,939.60       | 0.00                      | -155,834.98      | 0.00                        | 0.00               |
| Report on Form 8949, Part I, with Box B checked |                                    |                          |               |                                |                     |                           |                  |                             |                    |
| Long Term Sales Reported on 1099-B              |                                    |                          |               |                                |                     |                           |                  |                             |                    |
| 00037BAB8                                       | ABB FINANCE USA INC 2.875% 5/08/22 | 10/21/2013               | 45000.0000    |                                | 43,566.75           | 0.00                      | -458.10          | 0.00                        | 0.00               |
| 025816AX7                                       | AMERICAN EXPRESS 6.150% 8/28/17    | 10/21/2013               | 125000.0000   |                                | 145,811.25          | 0.00                      | 23,024.26        | 0.00                        | 0.00               |

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# 2013 Tax Information Statement

Page 25 of 55  
Ref: 11

Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number:

0088500  
XX-XXX5974  
04-2233412

Recipient's Tax ID Number:

04-2233412  
Payer's Federal ID Number:  
Payer's State ID Number:  
State: MA  
Questions? (617)951-7706

Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

☐ 2nd TIN notice

☐ Corrected

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip       | Description (Box 9)                 | Date of Sale or Exchange | Quantity Sold (Box 1e) | Stocks or Other Symbol (Box 1d) | Cost or Other Basis (Box 2a) | Wash Sale Loss Disallowed | Net Gain or Loss (Box 4) | Federal Income Tax Withheld (Box 15) |
|-------------|-------------------------------------|--------------------------|------------------------|---------------------------------|------------------------------|---------------------------|--------------------------|--------------------------------------|
| 00206RBD3   | AT&T INC 3.000% 2/15/22             | 10/21/2013               | 0.0000                 | 127,741.05                      | 134,734.05                   | 0.00                      | -6,993.00                | 0.00                                 |
| 06051GEK1   | BANK OF AMERICA MTN 3.750% 7/12/16  | 10/21/2013               | 0.0000                 | 148,853.60                      | 138,455.39                   | 0.00                      | 10,398.21                | 0.00                                 |
| 05565QBX5   | BP CAPITAL PLC 1.700% 12/05/14      | 05/07/2013               | 0.0000                 | 107,076.90                      | 104,993.70                   | 0.00                      | 2,083.20                 | 0.00                                 |
| 14912L4E8   | CATERPILLAR FINL MTN 7.150% 2/15/19 | 10/21/2013               | 0.0000                 | 135,940.20                      | 130,537.50                   | 0.00                      | 5,402.70                 | 0.00                                 |
| 17275RAE2   | CISCO SYSTEMS INC 4.950% 2/15/19    | 10/21/2013               | 0.0000                 | 108,350.35                      | 105,821.20                   | 0.00                      | 2,529.15                 | 0.00                                 |
| 17296TEM9   | CITIGROUP INC 6.125% 11/21/17       | 10/21/2013               | 0.0000                 | 144,735.00                      | 130,826.25                   | 0.00                      | 13,908.75                | 0.00                                 |
| 125000.0000 | COMCAST CORP 6.300% 11/15/17        | 10/21/2013               | 0.0000                 | 141,603.60                      | 127,730.20                   | 0.00                      | 13,873.40                | 0.00                                 |
| 20030NAU5   | COMCAST CORP 6.400% 3/01/40         | 10/21/2013               | 0.0000                 | 61,079.50                       | 54,075.00                    | 0.00                      | 7,004.50                 | 0.00                                 |
| 120000.0000 | CONOCOPHILLIPS 5.750% 2/01/19       | 10/21/2013               | 0.0000                 | 111,606.95                      | 95,336.30                    | 0.00                      | 16,270.65                | 0.00                                 |
| 20030NBB6   | DEVON ENERGY 1.875% 5/15/17         | 10/21/2013               | 0.0000                 | 40,189.60                       | 39,901.20                    | 0.00                      | 288.40                   | 0.00                                 |
| 50000.0000  |                                     |                          |                        |                                 |                              |                           |                          |                                      |
| 20825CAR5   |                                     |                          |                        |                                 |                              |                           |                          |                                      |
| 95000.0000  |                                     |                          |                        |                                 |                              |                           |                          |                                      |
| 25179MAM5   |                                     |                          |                        |                                 |                              |                           |                          |                                      |
| 40000.0000  |                                     |                          |                        |                                 |                              |                           |                          |                                      |

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# 2013 Tax Information Statement

Page 26 of 55  
Ref: 11

Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number:

0088500  
XX-XXX5974  
04-2233412

Recipient's Tax ID Number:

Payer's Federal ID Number:

Payer's State ID Number:

State:

Questions?

(617)951-7706

☐ 2nd TIN notice

☐ Corrected

Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

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| Cusip       | Description (Box 8)                 | Date of Sale or Exchange | Quantity Sold | Stock or Other Symbol (Box 1d) | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax | State Tax |
|-------------|-------------------------------------|--------------------------|---------------|--------------------------------|---------------------|---------------------------|------------------|--------------------|-----------|
| (Box 1e)    | (Box 1a)                            | (Box 1b)                 | (Box 1c)      | (Box 2a)                       | (Box 2b)            | (Box 2c)                  | (Box 2d)         | (Box 2e)           | (Box 2f)  |
| 25459HBA2   | DIRECTV HLDG/FIN 5.000% 3/01/21     | 10/21/2013               | 03/16/2011    | 135,652.40                     | 132,252.90          | 0.00                      | 3,399.50         | 0.00               | 0.00      |
| 130000 0000 |                                     |                          |               |                                |                     |                           |                  |                    |           |
| 3137EACH0   | FHLMC 2.875% 2/09/15                | 01/16/2013               | 06/07/2010    | 310,659.19                     | 303,613.00          | 0.00                      | 7,046.19         | 0.00               | 0.00      |
| 295000 0000 |                                     |                          |               |                                |                     |                           |                  |                    |           |
| 312944QN4   | FHLMC GD PL #A95861 4.000% 12/01/40 | 01/15/2013               | 11/30/2010    | 18,773.97                      | 19,037.97           | 0.00                      | -264.00          | 0.00               | 0.00      |
| 18773 9700  |                                     |                          |               |                                |                     |                           |                  |                    |           |
| 312944QN4   | FHLMC GD PL #A95861 4.000% 12/01/40 | 02/15/2013               | 11/30/2010    | 30,639.62                      | 31,070.47           | 0.00                      | -430.85          | 0.00               | 0.00      |
| 30639.6200  |                                     |                          |               |                                |                     |                           |                  |                    |           |
| 312944QN4   | FHLMC GD PL #A95861 4.000% 12/01/40 | 03/15/2013               | 11/30/2010    | 10,445.06                      | 10,591.94           | 0.00                      | -146.88          | 0.00               | 0.00      |
| 10445.0600  |                                     |                          |               |                                |                     |                           |                  |                    |           |
| 312944QN4   | FHLMC GD PL #A95861 4.000% 12/01/40 | 04/15/2013               | 11/30/2010    | 18,570.18                      | 18,831.31           | 0.00                      | -261.13          | 0.00               | 0.00      |
| 18570.1800  |                                     |                          |               |                                |                     |                           |                  |                    |           |
| 312944QN4   | FHLMC GD PL #A95861 4.000% 12/01/40 | 05/15/2013               | 11/30/2010    | 8,726.90                       | 8,849.62            | 0.00                      | -122.72          | 0.00               | 0.00      |
| 8726.9000   |                                     |                          |               |                                |                     |                           |                  |                    |           |
| 312944QN4   | FHLMC GD PL #A95861 4.000% 12/01/40 | 06/15/2013               | 11/30/2010    | 8,619.83                       | 8,741.04            | 0.00                      | -121.21          | 0.00               | 0.00      |
| 8619.8300   |                                     |                          |               |                                |                     |                           |                  |                    |           |
| 312944QN4   | FHLMC GD PL #A95861 4.000% 12/01/40 | 07/15/2013               | 11/30/2010    | 12,673.65                      | 12,851.87           | 0.00                      | -178.22          | 0.00               | 0.00      |
| 12673.6500  |                                     |                          |               |                                |                     |                           |                  |                    |           |
| 312944QN4   | FHLMC GD PL #A95861 4.000% 12/01/40 | 08/15/2013               | 11/30/2010    | 5,015.37                       | 5,085.90            | 0.00                      | -70.53           | 0.00               | 0.00      |
| 5015.3700   |                                     |                          |               |                                |                     |                           |                  |                    |           |

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# 2013 Tax Information Statement

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Ref: 11

Account Number: 0088500  
 Recipient's Tax ID Number: XX-XXX5974  
 Payer's Federal ID Number: 04-2233412  
 Payer's State ID Number: MA  
 State: (617)951-7706  
 Questions? ☐ 2nd TIN notice  
☐ Corrected

Payer's Name and Address:  
 ROPES & GRAY LLP FIDUCIARY ACCOUNT  
 800 BOYLSTON ST, PRUDENTIAL TOWER  
 BOSTON, MA 02199-3600

Recipient's Name and Address:  
 SWARTZ FOUNDATION  
 C/O ROPES & GRAY LLP PCG/TRUST  
 800 BOYLSTON ST, 30/051  
 800 BOYLSTON ST  
 BOSTON, MA 02199-3600

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| Cusip         | Description (Box 8)                 | Stock or Other Symbol (Box 1d) | Stocks, Bonds, etc. | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|---------------|-------------------------------------|--------------------------------|---------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| Quantity Sold | Date of Sale or Exchange            |                                |                     |                     |                           |                  |                             |                    |
| (Box 1e)      | (Box 1a)                            | (Box 2a)                       |                     |                     |                           |                  | (Box 4)                     | (Box 15)           |
| 312944QN4     | FHLMC GD PL #A95861 4.000% 12/01/40 | A95861F                        |                     |                     |                           |                  |                             |                    |
| 7640.3300     | 09/15/2013 11/30/2010               | 7,640.33                       | 7,747.77            | 0.00                | -107.44                   | 0.00             | 0.00                        |                    |
| 312944QN4     | FHLMC GD PL #A95861 4.000% 12/01/40 | A95861F                        |                     |                     |                           |                  |                             |                    |
| 1980.2300     | 10/15/2013 11/30/2010               | 1,980.23                       | 2,008.08            | 0.00                | -27.85                    | 0.00             | 0.00                        |                    |
| 312944QN4     | FHLMC GD PL #A95861 4.000% 12/01/40 | A95861F                        |                     |                     |                           |                  |                             |                    |
| 329436.5100   | 10/21/2013 11/30/2010               | 344,878.85                     | 334,068.99          | 0.00                | 10,809.86                 | 0.00             | 0.00                        |                    |
| 312945DS4     | FHLMC GD PL #A96413 4.000% 1/01/41  | A96413F                        |                     |                     |                           |                  |                             |                    |
| 11132.2600    | 01/15/2013 01/13/2011               | 11,132.26                      | 10,989.63           | 0.00                | 142.63                    | 0.00             | 0.00                        |                    |
| 312945DS4     | FHLMC GD PL #A96413 4.000% 1/01/41  | A96413F                        |                     |                     |                           |                  |                             |                    |
| 10424.9700    | 02/15/2013 01/13/2011               | 10,424.97                      | 10,291.40           | 0.00                | 133.57                    | 0.00             | 0.00                        |                    |
| 312945DS4     | FHLMC GD PL #A96413 4.000% 1/01/41  | A96413F                        |                     |                     |                           |                  |                             |                    |
| 9025.9300     | 03/15/2013 01/13/2011               | 9,025.93                       | 8,910.29            | 0.00                | 115.64                    | 0.00             | 0.00                        |                    |
| 312945DS4     | FHLMC GD PL #A96413 4.000% 1/01/41  | A96413F                        |                     |                     |                           |                  |                             |                    |
| 7963.1000     | 04/15/2013 01/13/2011               | 7,963.10                       | 7,861.07            | 0.00                | 102.03                    | 0.00             | 0.00                        |                    |
| 312945DS4     | FHLMC GD PL #A96413 4.000% 1/01/41  | A96413F                        |                     |                     |                           |                  |                             |                    |
| 7466.4500     | 05/15/2013 01/13/2011               | 7,466.45                       | 7,370.79            | 0.00                | 95.66                     | 0.00             | 0.00                        |                    |
| 312945DS4     | FHLMC GD PL #A96413 4.000% 1/01/41  | A96413F                        |                     |                     |                           |                  |                             |                    |
| 7183.2600     | 06/15/2013 01/13/2011               | 7,183.26                       | 7,091.22            | 0.00                | 92.04                     | 0.00             | 0.00                        |                    |
| 312945DS4     | FHLMC GD PL #A96413 4.000% 1/01/41  | A96413F                        |                     |                     |                           |                  |                             |                    |
| 7191.9700     | 07/15/2013 01/13/2011               | 7,191.97                       | 7,099.82            | 0.00                | 92.15                     | 0.00             | 0.00                        |                    |

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# 2013 Tax Information Statement

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Recipient's Name and Address:  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number: 0088500  
Recipient's Tax ID Number: XX-XXX5974  
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State: (617)951-7706  
Questions? ☐ 2nd TIN notice

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

☐ Corrected

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| Cusip       | Description (Box 8) | Date of Sale or Exchange | Quantity Sold | Stock or Other Symbol (Box 1d) | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-------------|---------------------|--------------------------|---------------|--------------------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)    | (Box 1a)            | (Box 1b)                 | (Box 1c)      | (Box 1d)                       | (Box 1e)            | (Box 1f)                  | (Box 1g)         | (Box 1h)                    | (Box 1i)           |
| 312945DS4   | FHLMC GD PL #A96413 | 4.000% 1/01/41           |               | A96413F                        | 5,861.08            | 5,785.98                  | 75.10            | 0.00                        | 0.00               |
| 5861.0800   | 08/15/2013          | 01/13/2011               |               |                                |                     |                           |                  |                             |                    |
| 312945DS4   | FHLMC GD PL #A96413 | 4.000% 1/01/41           |               | A96413F                        | 4,061.53            | 4,009.49                  | 52.04            | 0.00                        | 0.00               |
| 4061.5300   | 09/15/2013          | 01/13/2011               |               |                                |                     |                           |                  |                             |                    |
| 312945DS4   | FHLMC GD PL #A96413 | 4.000% 1/01/41           |               | A96413F                        | 3,224.05            | 3,182.74                  | 41.31            | 0.00                        | 0.00               |
| 3224.0500   | 10/15/2013          | 01/13/2011               |               |                                |                     |                           |                  |                             |                    |
| 312945DS4   | FHLMC GD PL #A96413 | 4.000% 1/01/41           |               | A96413F                        | 260,431.32          | 245,582.86                | 14,848.46        | 0.00                        | 0.00               |
| 248770.2200 | 10/21/2013          | 01/13/2011               |               |                                |                     |                           |                  |                             |                    |
| 3128M7TB2   | FHLMC GD PL #G05646 | 4.500% 10/01/39          |               | G05646F                        | 6,891.09            | 7,253.06                  | -361.97          | 0.00                        | 0.00               |
| 6891.0900   | 01/15/2013          | 09/13/2011               |               |                                |                     |                           |                  |                             |                    |
| 3128M7TB2   | FHLMC GD PL #G05646 | 4.500% 10/01/39          |               | G05646F                        | 4,178.37            | 4,397.37                  | -219.00          | 0.00                        | 0.00               |
| 4178.3700   | 02/15/2013          | 09/13/2011               |               |                                |                     |                           |                  |                             |                    |
| 3128M7TB2   | FHLMC GD PL #G05646 | 4.500% 10/01/39          |               | G05646F                        | 5,491.23            | 5,779.67                  | -288.44          | 0.00                        | 0.00               |
| 5491.2300   | 03/15/2013          | 09/13/2011               |               |                                |                     |                           |                  |                             |                    |
| 3128M7TB2   | FHLMC GD PL #G05646 | 4.500% 10/01/39          |               | G05646F                        | 3,760.33            | 3,957.85                  | -197.52          | 0.00                        | 0.00               |
| 3760.3300   | 04/15/2013          | 09/13/2011               |               |                                |                     |                           |                  |                             |                    |
| 3128M7TB2   | FHLMC GD PL #G05646 | 4.500% 10/01/39          |               | G05646F                        | 4,060.05            | 4,273.31                  | -213.26          | 0.00                        | 0.00               |
| 4060.0500   | 05/15/2013          | 09/13/2011               |               |                                |                     |                           |                  |                             |                    |
| 3128M7TB2   | FHLMC GD PL #G05646 | 4.500% 10/01/39          |               | G05646F                        | 4,617.62            | 4,860.17                  | -242.55          | 0.00                        | 0.00               |
| 4617.6200   | 06/15/2013          | 09/13/2011               |               |                                |                     |                           |                  |                             |                    |

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Page 29 of 55  
Ref: 11

Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
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BOSTON, MA 02199-3600

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MA

(617)951-7706

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MA

Questions?

☐ Corrected

☐ 2nd TIN notice

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800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

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| Cusip      | Description (Box 8) | Quantity Sold | Date of Sale or Exchange | Acquisition | Stocks, Bonds, etc. | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|------------|---------------------|---------------|--------------------------|-------------|---------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)   | (Box 1a)            |               |                          |             | (Box 2a)            |                     |                           |                  | (Box 4)                     | (Box 15)           |
| 3128M7TB2  | FHLMC GD PL #G05646 | 4.500%        | 10/01/39                 |             | G05646F             |                     |                           |                  |                             |                    |
| 5589.4500  | 07/15/2013          | 09/13/2011    |                          |             | 5,589.45            | 5,883.05            | 0.00                      | -293.60          | 0.00                        | 0.00               |
| 3128M7TB2  | FHLMC GD PL #G05646 | 4.500%        | 10/01/39                 |             | G05646F             |                     |                           |                  |                             |                    |
| 4872.6000  | 08/15/2013          | 09/13/2011    |                          |             | 4,872.60            | 5,128.55            | 0.00                      | -255.95          | 0.00                        | 0.00               |
| 3128M7TB2  | FHLMC GD PL #G05646 | 4.500%        | 10/01/39                 |             | G05646F             |                     |                           |                  |                             |                    |
| 2273.0400  | 09/15/2013          | 09/13/2011    |                          |             | 2,273.04            | 2,392.44            | 0.00                      | -119.40          | 0.00                        | 0.00               |
| 3128M7TB2  | FHLMC GD PL #G05646 | 4.500%        | 10/01/39                 |             | G05646F             |                     |                           |                  |                             |                    |
| 2082.9900  | 10/15/2013          | 09/13/2011    |                          |             | 2,082.99            | 2,192.40            | 0.00                      | -109.41          | 0.00                        | 0.00               |
| 3128M7TB2  | FHLMC GD PL #G05646 | 4.500%        | 10/01/39                 |             | G05646F             |                     |                           |                  |                             |                    |
| 98550.2000 | 10/21/2013          | 09/13/2011    |                          |             | 105,340.92          | 103,726.81          | 0.00                      | 1,614.11         | 0.00                        | 0.00               |
| 31419FWH5  | FNMA PL #AE5147     | 4.000%        | 11/01/40                 |             | AE5147A             |                     |                           |                  |                             |                    |
| 13716.8500 | 01/25/2013          | 10/13/2011    |                          |             | 13,716.85           | 14,389.83           | 0.00                      | -672.98          | 0.00                        | 0.00               |
| 31419FWH5  | FNMA PL #AE5147     | 4.000%        | 11/01/40                 |             | AE5147A             |                     |                           |                  |                             |                    |
| 12072.9300 | 02/25/2013          | 10/13/2011    |                          |             | 12,072.93           | 12,665.26           | 0.00                      | -592.33          | 0.00                        | 0.00               |
| 31419FWH5  | FNMA PL #AE5147     | 4.000%        | 11/01/40                 |             | AE5147A             |                     |                           |                  |                             |                    |
| 9595.7500  | 03/25/2013          | 10/13/2011    |                          |             | 9,595.75            | 10,066.54           | 0.00                      | -470.79          | 0.00                        | 0.00               |
| 31419FWH5  | FNMA PL #AE5147     | 4.000%        | 11/01/40                 |             | AE5147A             |                     |                           |                  |                             |                    |
| 8575.7700  | 04/25/2013          | 10/13/2011    |                          |             | 8,575.77            | 8,996.52            | 0.00                      | -420.75          | 0.00                        | 0.00               |
| 31419FWH5  | FNMA PL #AE5147     | 4.000%        | 11/01/40                 |             | AE5147A             |                     |                           |                  |                             |                    |
| 7448.9400  | 05/25/2013          | 10/13/2011    |                          |             | 7,448.94            | 7,814.40            | 0.00                      | -365.46          | 0.00                        | 0.00               |

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# 2013 Tax Information Statement

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Ref: 11

Recipient's Name and Address:  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number: 0088500  
Recipient's Tax ID Number: XX-XXX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ 2nd TIN notice

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

☐ Corrected

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| Cusip     | Description (Box 8)             | Quantity Sold | Date of Sale or Exchange | Acquisition | Stocks, Bonds, etc. | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|---------------------------------|---------------|--------------------------|-------------|---------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)  | (Box 1a)                        |               |                          |             | (Box 2a)            |                     |                           | (Box 4)          |                             | (Box 15)           |
| 31419FWH5 | FNMA PL #AE5147 4.000% 11/01/40 | 9537.0600     | 06/25/2013               | 10/13/2011  | AE5147A             | 9,537.06            | 10,004.97                 | -467.91          | 0.00                        | 0.00               |
| 31419FWH5 | FNMA PL #AE5147 4.000% 11/01/40 | 8063.5500     | 07/25/2013               | 10/13/2011  | AE5147A             | 8,063.55            | 8,459.17                  | -395.62          | 0.00                        | 0.00               |
| 31419FWH5 | FNMA PL #AE5147 4.000% 11/01/40 | 7442.5000     | 08/25/2013               | 10/13/2011  | AE5147A             | 7,442.50            | 7,807.65                  | -365.15          | 0.00                        | 0.00               |
| 31419FWH5 | FNMA PL #AE5147 4.000% 11/01/40 | 6144.7300     | 09/25/2013               | 10/13/2011  | AE5147A             | 6,144.73            | 6,446.21                  | -301.48          | 0.00                        | 0.00               |
| 31419FWH5 | FNMA PL #AE5147 4.000% 11/01/40 | 180579.6100   | 10/21/2013               | 10/13/2011  | AE5147A             | 189,665.02          | 189,439.31                | 225.71           | 0.00                        | 0.00               |
| 31419FWH5 | FNMA PL #AE5147 4.000% 11/01/40 | 4368.8500     | 10/25/2013               | 10/13/2011  | AE5147A             | 4,368.85            | 4,583.20                  | -214.35          | 0.00                        | 0.00               |
| 3138E9LH1 | FNMA PL #AK4827 3.500% 4/01/42  | 883.4900      | 04/25/2013               | 04/19/2012  | AK4827A             | 883.49              | 917.91                    | -34.42           | 0.00                        | 0.00               |
| 3138E9LH1 | FNMA PL #AK4827 3.500% 4/01/42  | 1458.7000     | 05/25/2013               | 04/19/2012  | AK4827A             | 1,458.70            | 1,515.52                  | -56.82           | 0.00                        | 0.00               |
| 3138E9LH1 | FNMA PL #AK4827 3.500% 4/01/42  | 1165.1300     | 06/25/2013               | 04/19/2012  | AK4827A             | 1,165.13            | 1,210.52                  | -45.39           | 0.00                        | 0.00               |
| 3138E9LH1 | FNMA PL #AK4827 3.500% 4/01/42  | 1504.7700     | 07/25/2013               | 04/19/2012  | AK4827A             | 1,504.77            | 1,563.39                  | -58.62           | 0.00                        | 0.00               |

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800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

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|-----------|---------------------------------|--------------------------|---------------|--------------------------------|-------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)  | (Box 1a)                        | (Box 1b)                 | (Box 1c)      | (Box 2a)                       | (Box 2b)    | (Box 2c)                  | (Box 2d)         | (Box 2e)                    | (Box 2f)           |
| 3138E9LH1 | FNMA PL #AK4827 3.500% 4/01/42  | 08/25/2013               | 433.9300      | AK4827A                        | 433.93      | 450.83                    | 0.00             | -16.90                      | 0.00               |
| 3138E9LH1 | FNMA PL #AK4827 3.500% 4/01/42  | 09/25/2013               | 1983.8200     | AK4827A                        | 1,983.82    | 2,061.10                  | 0.00             | -77.28                      | 0.00               |
| 3138E9LH1 | FNMA PL #AK4827 3.500% 4/01/42  | 10/21/2013               | 190786.6900   | AK4827A                        | 194,572.61  | 198,218.79                | 0.00             | -3,646.18                   | 0.00               |
| 3138E9LH1 | FNMA PL #AK4827 3.500% 4/01/42  | 10/25/2013               | 378.3100      | AK4827A                        | 378.31      | 393.05                    | 0.00             | -14.74                      | 0.00               |
| 3138M8QP1 | FNMA PL #AP4961 3.000% 9/01/42  | 08/25/2013               | 97.9400       | AP4961A                        | 97.94       | 101.13                    | 0.00             | -3.19                       | 0.00               |
| 3138M8QP1 | FNMA PL #AP4961 3.000% 9/01/42  | 09/25/2013               | 99.9500       | AP4961A                        | 99.95       | 103.20                    | 0.00             | -3.25                       | 0.00               |
| 3138M8QP1 | FNMA PL #AP4961 3.000% 9/01/42  | 10/21/2013               | 56449.1100    | AP4961A                        | 55,223.11   | 58,287.35                 | 0.00             | -3,064.24                   | 0.00               |
| 3138M8QP1 | FNMA PL #AP4961 3.000% 9/01/42  | 10/25/2013               | 100.0200      | AP4961A                        | 100.02      | 103.28                    | 0.00             | -3.26                       | 0.00               |
| 36962G3P7 | GEN ELEC CAP CRP 5.875% 1/14/38 | 01/09/2013               | 50000.0000    |                                | 59,908.00   | 48,613.00                 | 0.00             | 11,295.00                   | 0.00               |
| 36962G3P7 | GEN ELEC CAP CRP 5.875% 1/14/38 | 10/21/2013               | 100000.0000   |                                | 112,931.00  | 92,488.20                 | 0.00             | 20,442.80                   | 0.00               |

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Account Number: 0088500  
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 Payer's Federal ID Number: 04-2233412  
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 State: (617)951-7706  
 Questions? ☐ Corrected ☐ 2nd TIN notice

Payer's Name and Address:  
 ROPES & GRAY LLP FIDUCIARY ACCOUNT  
 800 BOYLSTON ST, PRUDENTIAL TOWER  
 BOSTON, MA 02199-3600

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| Cusip     | Description (Box 8)                  | Date of Sale or Exchange | Quantity Sold (Box 1a) | Stocks or Other Symbol (Box 1d) | Cost or Other Basis (Box 2a) | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|--------------------------------------|--------------------------|------------------------|---------------------------------|------------------------------|---------------------------|------------------|-----------------------------|--------------------|
| 36962G4C5 | GEN ELEC CAP CRP 5.900% 5/13/14      | 10/21/2013               | 120000.0000            | Various                         | 123,680.40                   | 123,611.70                | 0.00             | 68.70                       | 0.00               |
| 38143UAW1 | GOLDMAN SACHS GP INC 5.000% 10/01/14 | 10/21/2013               | 55000.0000             | Various                         | 57,193.95                    | 54,730.60                 | 0.00             | 2,463.35                    | 0.00               |
| 38141GFG4 | GOLDMAN SACHS GROUP 5.950% 1/18/18   | 10/21/2013               | 80000.0000             | Various                         | 91,312.00                    | 78,421.77                 | 0.00             | 12,890.23                   | 0.00               |
| 428236BW2 | HEWLETT-PACK CO 2.600% 9/15/17       | 10/21/2013               | 40000.0000             | Various                         | 40,651.60                    | 39,994.00                 | 0.00             | 657.60                      | 0.00               |
| 437076AT9 | HOME DEPOT INC 3.950% 9/15/20        | 10/21/2013               | 110000.0000            | Various                         | 118,761.50                   | 110,352.00                | 0.00             | 8,409.50                    | 0.00               |
| 24422ERK7 | JOHN DEERE CAP MTN 1.250% 12/02/14   | 10/21/2013               | 35000.0000             | Various                         | 35,336.70                    | 34,954.85                 | 0.00             | 381.85                      | 0.00               |
| 46625HBJ8 | JP MORGAN CHASE & CO 4.875% 3/15/14  | 01/09/2013               | 100000.0000            | Various                         | 104,421.00                   | 99,546.62                 | 0.00             | 4,874.38                    | 0.00               |
| 46625HCE8 | JPMORGAN CHASE 4.750% 3/01/15        | 01/09/2013               | 85000.0000             | Various                         | 91,735.40                    | 85,337.52                 | 0.00             | 6,397.88                    | 0.00               |
| 50075NAZ7 | KRAFT FOODS INC 6.500% 2/09/40       | 06/18/2013               | 95000.0000             | Various                         | 115,875.30                   | 101,007.65                | 0.00             | 14,867.65                   | 0.00               |
| 548661CW5 | LOWES COMPANIES 3.120% 4/15/22       | 10/02/2013               | 35000.0000             | Various                         | 34,112.75                    | 34,985.30                 | 0.00             | -872.55                     | 0.00               |

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# 2013 Tax Information Statement

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## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

0088500

XX-XXX5974  
04-2233412

MA

(617)951-7706

☐ 2nd TIN notice

## Account Number:

Recipient's Tax ID Number:

Payer's Federal ID Number:

Payer's State ID Number:

State:

Questions?

☐ Corrected

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BOSTON, MA 02199-3600

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| Cusip       | Description (Box 8) | Date of Sale or Exchange | Quantity Sold (Box 1e) | Stock or Other Symbol (Box 1d) | Stocks, Bonds, etc. (Box 2a) | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld |
|-------------|---------------------|--------------------------|------------------------|--------------------------------|------------------------------|---------------------------|------------------|-----------------------------|
|             |                     |                          |                        |                                |                              |                           |                  |                             |
| 548661CW5   | LOWES COMPANIES     | 3.120% 4/15/22           |                        |                                |                              |                           |                  |                             |
| 5000.0000   | 10/21/2013          | 04/16/2012               |                        | 4,891.50                       | 4,997.90                     | 0.00                      | -106.40          | 0.00                        |
| 6174466Q7   | MORGAN STANLEY MTN  | 6.625% 4/01/18           |                        |                                |                              |                           |                  |                             |
| 150000.0000 | 01/09/2013          | 01/21/2011               |                        | 178,366.50                     | 163,258.50                   | 0.00                      | 15,108.00        | 0.00                        |
| 717081DB6   | PFIZER INC          | 6.200% 3/15/19           |                        |                                |                              |                           |                  |                             |
| 65000.0000  | 01/09/2013          | 04/02/2009               |                        | 82,313.40                      | 70,162.30                    | 0.00                      | 12,151.10        | 0.00                        |
| 500472AF2   | PHILIPS ELECTRON    | 3.750% 3/15/22           |                        |                                |                              |                           |                  |                             |
| 85000.0000  | 10/21/2013          | 03/05/2012               |                        | 85,357.00                      | 85,105.40                    | 0.00                      | 251.60           | 0.00                        |
| 8288078P1   | SIMON PROP GROUP    | 5.750% 12/01/15          |                        |                                |                              |                           |                  |                             |
| 15000.0000  | 01/09/2013          | 05/10/2007               |                        | 16,870.20                      | 15,307.80                    | 0.00                      | 1,562.40         | 0.00                        |
| 88732JAP3   | TIME WARNER CABLE   | 8.750% 2/14/19           |                        |                                |                              |                           |                  |                             |
| 135000.0000 | 07/16/2013          | Various                  |                        | 161,585.55                     | 153,263.55                   | 0.00                      | 8,322.00         | 0.00                        |
| 887317AF2   | TIME WARNER INC     | 4.875% 3/15/20           |                        |                                |                              |                           |                  |                             |
| 120000.0000 | 10/21/2013          | Various                  |                        | 131,713.20                     | 128,803.35                   | 0.00                      | 2,909.85         | 0.00                        |
| 912828QV5   | U.S. TREASURY TIPS  | 0.625% 7/15/21           |                        |                                |                              |                           |                  |                             |
| 508267.2000 | 10/21/2013          | 07/29/2011               |                        | 529,608.49                     | 510,218.23                   | 0.00                      | 19,390.26        | 0.00                        |
| 912810QD3   | U.S. TREASURY BONDS | 4.375% 11/15/39          |                        |                                |                              |                           |                  |                             |
| 5000.0000   | 09/11/2013          | 07/15/2011               |                        | 5,456.62                       | 5,090.65                     | 0.00                      | 365.97           | 0.00                        |
| 912810QD3   | U.S. TREASURY BONDS | 4.375% 11/15/39          |                        |                                |                              |                           |                  |                             |
| 35000.0000  | 09/12/2013          | 07/15/2011               |                        | 38,700.84                      | 35,634.52                    | 0.00                      | 3,066.32         | 0.00                        |

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SWARTZ FOUNDATION  
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800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number: 0088500

Recipient's Tax ID Number: XX-XXX5974

Payer's Federal ID Number: 04-2233412

Payer's State ID Number:

MA

Questions? (617)951-7706

☐ Corrected

☐ 2nd TIN notice

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|-----------|---------------|-------------------------------------------------|---------------------|--------------------------------|------------------------------|-------------|---------|---------------------------|------------------|-----------------------------|----------|
|           |               |                                                 |                     |                                | Stocks, Bonds, etc.          | Other Basis | (Box 4) |                           |                  | (Box 15)                    | (Box 15) |
| 912810QD3 | 55000.0000    | U.S. TREASURY BONDS 4.375% 11/15/39             | 10/21/2013          | 07/15/2011                     | 62,433.37                    | 55,997.09   | 0.00    | 6,436.28                  | 0.00             | 0.00                        | 0.00     |
| 912810PT9 | 15000.0000    | U.S. TREASURY BONDS 4.750% 2/15/37              | 03/13/2013          | 08/17/2010                     | 19,424.94                    | 17,735.22   | 0.00    | 1,689.72                  | 0.00             | 0.00                        | 0.00     |
| 912810PT9 | 75000.0000    | U.S. TREASURY BONDS 4.750% 2/15/37              | 05/10/2013          | Various                        | 99,146.18                    | 86,148.34   | 0.00    | 12,997.84                 | 0.00             | 0.00                        | 0.00     |
| 912810PT9 | 10000.0000    | U.S. TREASURY BONDS 4.750% 2/15/37              | 06/18/2013          | 06/27/2011                     | 12,703.87                    | 10,980.90   | 0.00    | 1,722.97                  | 0.00             | 0.00                        | 0.00     |
| 912810EY0 | 180000.0000   | U.S. TREASURY BONDS 6.500% 11/15/26             | 01/09/2013          | Various                        | 270,118.81                   | 239,926.31  | 0.00    | 30,192.50                 | 0.00             | 0.00                        | 0.00     |
| 912828TF7 | 360000.0000   | U.S. TREASURY NOTES 0.125% 7/31/14              | 10/21/2013          | 07/31/2012                     | 360,083.17                   | 359,354.33  | 0.00    | 728.84                    | 0.00             | 0.00                        | 0.00     |
| 912828TB6 | 220000.0000   | U.S. TREASURY NOTES 0.750% 6/30/17              | 10/21/2013          | Various                        | 218,641.45                   | 220,623.39  | 0.00    | -1,981.94                 | 0.00             | 0.00                        | 0.00     |
| 912828S50 | 125000.0000   | U.S. TREASURY NOTES 0.875% 4/30/17              | 05/15/2013          | 04/30/2012                     | 126,313.06                   | 125,386.16  | 0.00    | 926.90                    | 0.00             | 0.00                        | 0.00     |
| 912828RC6 | 90000.0000    | U.S. TREASURY NOTES 2.125% 8/15/21              | 04/12/2013          | 01/31/2012                     | 95,009.41                    | 92,858.56   | 0.00    | 2,150.85                  | 0.00             | 0.00                        | 0.00     |
| 912828PC8 | 50000.0000    | U.S. TREASURY NOTES 2.625% 11/15/20             | 04/12/2013          | 04/29/2011                     | 55,023.24                    | 47,877.52   | 0.00    | 7,145.72                  | 0.00             | 0.00                        | 0.00     |

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|------------------------------------------|-------------------------------------|--------------------------|---------------|--------------------------------|-------------|---------------------|---------------------------|------------------|-----------------------------|---------------------------|
|                                          |                                     |                          |               |                                |             |                     |                           |                  |                             |                           |
| (Box 1e)                                 | (Box 1a)                            | (Box 2a)                 |               |                                |             |                     |                           |                  | (Box 4)                     | (Box 15)                  |
| 912828HT0                                | U.S. TREASURY NOTES 2.750% 2/28/13  | UTN2813                  |               |                                |             |                     |                           |                  |                             |                           |
| 110000.0000                              | 02/28/2013 Various                  | 110,000.00               |               |                                |             | 114,706.22          | 0.00                      | -4,706.22        | 0.00                        | 0.00                      |
| 912828QN3                                | U.S. TREASURY NOTES 3.125% 5/15/21  |                          |               |                                |             |                     |                           |                  |                             |                           |
| 60000.0000                               | 02/22/2013 08/31/2011               | 67,028.67                |               |                                |             | 64,992.43           | 0.00                      | 2,036.24         | 0.00                        | 0.00                      |
| 912828QN3                                | U.S. TREASURY NOTES 3.125% 5/15/21  |                          |               |                                |             |                     |                           |                  |                             |                           |
| 120000.0000                              | 04/12/2013 Various                  | 136,387.02               |               |                                |             | 124,854.38          | 0.00                      | 11,532.64        | 0.00                        | 0.00                      |
| 912828AU4                                | U.S. TREASURY NOTES 3.875% 2/15/13  |                          |               |                                |             |                     |                           |                  |                             |                           |
| 250000.0000                              | 02/15/2013 08/18/2008               | 250,000.00               |               |                                |             | 259,190.29          | 0.00                      | -9,190.29        | 0.00                        | 0.00                      |
| 912828HH6                                | U.S. TREASURY NOTES 4.250% 11/15/17 |                          |               |                                |             |                     |                           |                  |                             |                           |
| 40000.0000                               | 05/07/2013 Various                  | 46,421.74                |               |                                |             | 42,767.16           | 0.00                      | 3,654.58         | 0.00                        | 0.00                      |
| 912828HH6                                | U.S. TREASURY NOTES 4.250% 11/15/17 |                          |               |                                |             |                     |                           |                  |                             |                           |
| 55000.0000                               | 10/21/2013 06/30/2009               | 62,005.87                |               |                                |             | 58,411.93           | 0.00                      | 3,593.94         | 0.00                        | 0.00                      |
| 92343VAV6                                | VERIZON COMM INC 6.350% 4/01/19     |                          |               |                                |             |                     |                           |                  |                             |                           |
| 110000.0000                              | 04/26/2013 05/29/2009               | 136,683.80               |               |                                |             | 116,209.50          | 0.00                      | 20,474.30        | 0.00                        | 0.00                      |
| 949746NX5                                | WELLS FARGO CO 5.625% 12/11/17      |                          |               |                                |             |                     |                           |                  |                             |                           |
| 120000.0000                              | 10/21/2013 Various                  | 138,625.20               |               |                                |             | 117,303.88          | 0.00                      | 21,321.32        | 0.00                        | 0.00                      |
| 984121CF8                                | XEROX CORP 2.950% 3/15/17           |                          |               |                                |             |                     |                           |                  |                             |                           |
| 25000.0000                               | 10/21/2013 03/08/2012               | 25,749.00                |               |                                |             | 24,968.75           | 0.00                      | 780.25           | 0.00                        | 0.00                      |
| 984121BY8                                | XEROX CORP 8.250% 5/15/14           |                          |               |                                |             |                     |                           |                  |                             |                           |
| 120000.0000                              | 10/21/2013 06/26/2009               | 124,990.80               |               |                                |             | 125,156.40          | 0.00                      | -165.60          | 0.00                        | 0.00                      |
| Total Long Term Sales Reported on 1099-B |                                     | 7,886,060.17             |               |                                |             | 7,518,926.76        | 0.00                      | 367,133.41       | 0.00                        | 0.00                      |

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2013 Tax Information Statement

Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

Account Number:

0088501

Recipient's Tax ID Number:

XX-XXX5974

Payer's Federal ID Number:

04-2233412

Payer's State ID Number:

MA

Questions?

(617)951-7706

☐ Corrected

☐ 2nd TIN notice

Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| CUSIP                               |                                  | Description (Box 3) |                     | Stock or Other Symbol (Box 1d) |                           | Federal Income Tax Withheld |           |
|-------------------------------------|----------------------------------|---------------------|---------------------|--------------------------------|---------------------------|-----------------------------|-----------|
| Quantity Sold                       | Date of Sale or Exchange         | Date of Acquisition | Stocks, Bonds, etc. | Cost or Other Basis            | Wash Sale Loss Disallowed | Nat'l Gain or Loss          | State Tax |
| (Box 1e)                            | (Box 1a)                         | (Box 1b)            | (Box 2a)            | (Box 3)                        | (Box 5)                   | (Box 4)                     | (Box 15)  |
| Short Term Sales Reported on 1099-B |                                  |                     |                     |                                |                           |                             |           |
| 024835100                           | AMERICAN CAMPUS COMMUNITIES REIT |                     |                     |                                |                           |                             |           |
| 850 0000                            | 10/21/2013                       | 06/26/2013          | ACC                 | 30,903.51                      | 33,829.37                 | 0.00                        | -2,925.86 |
| 088606108                           | BHP BILLITON LTD ADR             |                     |                     |                                |                           |                             |           |
| 750.0000                            | 10/21/2013                       | Various             | BHP                 | 52,392.73                      | 50,550.23                 | 0.00                        | 1,842.50  |
| 166764100                           | CHEVRON CORP                     |                     |                     |                                |                           |                             |           |
| 350.0000                            | 10/21/2013                       | 04/04/2013          | CVX                 | 41,867.74                      | 41,188.84                 | 0.00                        | 678.90    |
| 17275R102                           | CISCO SYSTEMS INC                |                     |                     |                                |                           |                             |           |
| 3550.0000                           | 10/21/2013                       | Various             | CSCO                | 81,506.58                      | 78,072.14                 | 0.00                        | 3,434.44  |
| 25746U109                           | DOMINION RESOURCES INC VA        |                     |                     |                                |                           |                             |           |
| 1400.0000                           | 10/21/2013                       | Various             | D                   | 88,575.76                      | 81,301.85                 | 0.00                        | 7,273.90  |
| 29250N105                           | ENBRIDGE INCORPORATED            |                     |                     |                                |                           |                             |           |
| 1475.0000                           | 10/21/2013                       | Various             | ENB                 | 61,893.90                      | 66,325.86                 | 0.00                        | -4,431.96 |
| 29274F104                           | ENERSIS SA SPONS ADR             |                     |                     |                                |                           |                             |           |
| 882 0000                            | 10/21/2013                       | 04/04/2013          | ENI                 | 14,883.40                      | 16,231.45                 | 0.00                        | -1,348.05 |
| 29476L107                           | EQUITY RESIDENTIAL PPTYS TR REIT |                     |                     |                                |                           |                             |           |
| 550.0000                            | 10/21/2013                       | 05/15/2013          | EQR                 | 30,227.47                      | 32,599.49                 | 0.00                        | -2,372.02 |

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Ref: 11

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

**BOSTON, MA 02199-3600**

☐ 2nd TIN notice

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# 2013 Tax Information Statement

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088501  
XX-XXX5974  
04-2233412

## Recipient's Tax ID Number:

04-2233412

## Payer's State ID Number:

MA

## Questions?

(617)951-7706

☐ Corrected

☐ 2nd TIN notice

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| CUSIP         |           | Description (Box 8)      |                                    | Stock or Other Symbol (Box 1d) |          | Stocks, Bonds etc. (Box 2a) |           | Cost or Other Basis (Box 3) |      | Wash Sale Loss Disallowed (Box 5) |      | Net Gain or Loss (Box 4) |      | Federal Income Tax Withheld (Box 15) |      |
|---------------|-----------|--------------------------|------------------------------------|--------------------------------|----------|-----------------------------|-----------|-----------------------------|------|-----------------------------------|------|--------------------------|------|--------------------------------------|------|
| Quantity Sold | (Box 1e)  | Date of Sale or Exchange | (Box 1a)                           | Date of Acquisition            | (Box 1b) |                             |           |                             |      |                                   |      |                          |      |                                      |      |
| 655844108     | 650 0000  | 10/21/2013               | NORFOLK SOUTHERN CORP              | 02/19/2013                     | NSC      | 51,661.10                   | 47,391.70 | 0.00                        | 0.00 | 0.00                              | 0.00 | 4,269.40                 | 0.00 | 0.00                                 | 0.00 |
| 729251108     | 750 0000  | 10/21/2013               | PLUM CREEK TIMBER CO INC           | 07/17/2013                     | PCL      | 36,499.46                   | 36,718.58 | 0.00                        | 0.00 | 0.00                              | 0.00 | -219.12                  | 0.00 | 0.00                                 | 0.00 |
| 73755L107     | 1300 0000 | 07/30/2013               | POTASH CORP SASK INC               | 05/17/2013                     | POT      | 39,718.85                   | 56,844.32 | 0.00                        | 0.00 | 0.00                              | 0.00 | -17,125.47               | 0.00 | 0.00                                 | 0.00 |
| 74340W103     | 300 0000  | 10/21/2013               | PROLOGIS INC REIT                  | 06/07/2013                     | PLD      | 11,921.88                   | 11,701.29 | 0.00                        | 0.00 | 0.00                              | 0.00 | 220.59                   | 0.00 | 0.00                                 | 0.00 |
| 74460D109     | 100 0000  | 10/21/2013               | PUBLIC STORAGE INC REIT            | 06/07/2013                     | PSA      | 16,951.90                   | 15,313.14 | 0.00                        | 0.00 | 0.00                              | 0.00 | 1,638.76                 | 0.00 | 0.00                                 | 0.00 |
| 847560109     | 1750 0000 | 10/21/2013               | SPECTRA ENERGY CORP                | 04/29/2013                     | SE       | 62,142.11                   | 54,718.83 | 0.00                        | 0.00 | 0.00                              | 0.00 | 7,423.28                 | 0.00 | 0.00                                 | 0.00 |
| 715684106     | 900 0000  | 06/13/2013               | TELEKOMUNIKASI INDONESIA SPONS ADR | 03/22/2013                     | TLK      | 36,665.00                   | 39,438.36 | 0.00                        | 0.00 | 0.00                              | 0.00 | -2,773.36                | 0.00 | 0.00                                 | 0.00 |
| 929042109     | 350 0000  | 10/21/2013               | VORNADO REALTY TRUST               | 05/10/2013                     | VNO      | 30,742.73                   | 30,108.86 | 0.00                        | 0.00 | 0.00                              | 0.00 | 633.87                   | 0.00 | 0.00                                 | 0.00 |
| 949746101     | 1500 0000 | 10/21/2013               | WELLS FARGO & CO                   | 04/17/2013                     | WFC      | 64,051.88                   | 54,956.40 | 0.00                        | 0.00 | 0.00                              | 0.00 | 9,095.48                 | 0.00 | 0.00                                 | 0.00 |

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# 2013 Tax Information Statement

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088501  
XX-XXX5974  
04-2233412  
MA  
(617)951-7706

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Questions?

☐ Corrected

☐ 2nd TIN notice

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| CUSIP                                           |                          | Description (Box 8) |                                  | Stock or Other Symbol (Box 1d) |                     | Federal Income Tax  |                           | State Tax        |          |
|-------------------------------------------------|--------------------------|---------------------|----------------------------------|--------------------------------|---------------------|---------------------|---------------------------|------------------|----------|
| Quantity Sold                                   | Date of Sale or Exchange | Date of Acquisition | (Box 1a)                         | (Box 1b)                       | Stocks, Bonds, etc. | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Withheld |
| (Box 1e)                                        | (Box 1a)                 | (Box 1b)            | WILLIAMS COS INC                 | Various                        | WMB                 | (Box 2a)            | (Box 3)                   | (Box 5)          | (Box 4)  |
| 969457100                                       | 10/21/2013               | Various             | 41,646.52                        | 41,535.59                      | 110.93              | 0.00                | 0.00                      | 0.00             | 0.00     |
| 1150.0000                                       |                          |                     | 1,282,201.50                     | 1,236,168.88                   | 46,032.61           | 0.00                | 0.00                      | 0.00             | 0.00     |
| Total Short Term Sales Reported on 1099-B       |                          |                     |                                  |                                |                     |                     |                           |                  |          |
| Report on Form 8949, Part I, with Box A checked |                          |                     |                                  |                                |                     |                     |                           |                  |          |
| Long Term Sales Reported on 1099-B              |                          |                     |                                  |                                |                     |                     |                           |                  |          |
| 110122108                                       | 10/21/2013               | 08/27/2012          | BRISTOL MYERS SQUIBB CO          |                                | BMJ                 | 70,860.26           | 47,745.89                 | 0.00             | 0.00     |
| 1450.0000                                       |                          |                     |                                  |                                |                     | 23,114.37           | 0.00                      | 0.00             | 0.00     |
| 16941M109                                       | 10/21/2013               | 10/17/2011          | CHINA MOBILE LIMITED SPONS ADR   |                                | CHL                 | 5,293.98            | 4,807.57                  | 0.00             | 0.00     |
| 100.0000                                        |                          |                     |                                  |                                |                     | 486.41              | 0.00                      | 0.00             | 0.00     |
| 253868103                                       | 10/21/2013               | 04/25/2011          | DIGITAL REALTY TRUST INC REIT    |                                | DLR                 | 16,765.71           | 17,600.31                 | 0.00             | 0.00     |
| 300.0000                                        |                          |                     |                                  |                                |                     | -834.60             | 0.00                      | 0.00             | 0.00     |
| 29274F104                                       | 10/21/2013               | 04/25/2012          | ENERSIS SA SPONS ADR             |                                | ENI                 | 29,530.56           | 35,516.08                 | 0.00             | 0.00     |
| 1750.0000                                       |                          |                     |                                  |                                |                     | -5,985.52           | 0.00                      | 0.00             | 0.00     |
| 29476L107                                       | 10/21/2013               | 08/08/2012          | EQUITY RESIDENTIAL PPTYS TR REIT |                                | EQR                 | 32,975.43           | 36,480.66                 | 0.00             | 0.00     |
| 600.0000                                        |                          |                     |                                  |                                |                     | -3,505.23           | 0.00                      | 0.00             | 0.00     |
| 30161N101                                       | 10/21/2013               | 08/27/2012          | EXELON CORP                      |                                | EXC                 | 27,473.52           | 35,322.62                 | 0.00             | 0.00     |
| 950.0000                                        |                          |                     |                                  |                                |                     | -7,849.10           | 0.00                      | 0.00             | 0.00     |

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# 2013 Tax Information Statement

**Payer's Name and Address:**  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

**Account Number:** 0088501  
**Recipient's Tax ID Number:** XX-XXX5974  
**Payer's Federal ID Number:** 04-2233412  
**Payer's State ID Number:** MA  
**State:** (617)951-7706  
**Questions?** ☐ **Corrected** ☐ **2nd TIN notice**

**Recipient's Name and Address:**  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| CUSIP         |                            | Description (Box 8)      |                     | Stock or Other Symbol (Box 9d) |             | Wash Sale Loss Disallowed |  | Net Gain or Loss |          | Federal Income Tax Withheld |  | State Tax Withheld |      |
|---------------|----------------------------|--------------------------|---------------------|--------------------------------|-------------|---------------------------|--|------------------|----------|-----------------------------|--|--------------------|------|
| Quantity Sold |                            | Date of Sale or Exchange | Date of Acquisition | Stocks, Bonds, etc.            | Other Basis | Loss Disallowed           |  | or Loss          |          | Income Tax Withheld         |  |                    |      |
| (Box 1e)      | (Box 1a)                   | (Box 1b)                 |                     | (Box 2a)                       | (Box 3)     | (Box 5)                   |  | (Box 4)          | (Box 15) |                             |  |                    |      |
| 40414L109     | HCP INC REIT               |                          |                     | HCP                            |             |                           |  |                  |          |                             |  |                    |      |
| 1350.0000     |                            | 10/21/2013               | Various             | 56,573.06                      | 50,721.64   | 0.00                      |  | 5,851.42         |          | 0.00                        |  |                    | 0.00 |
| 478160104     | JOHNSON & JOHNSON          |                          |                     | JNJ                            |             |                           |  |                  |          |                             |  |                    |      |
| 500.0000      |                            | 10/21/2013               | 06/14/2012          | 45,444.86                      | 32,700.32   | 0.00                      |  | 12,744.53        |          | 0.00                        |  |                    | 0.00 |
| 49456B101     | KINDER MORGAN INC          |                          |                     | KMI                            |             |                           |  |                  |          |                             |  |                    |      |
| 1000.0000     |                            | 10/21/2013               | 06/04/2012          | 35,421.08                      | 32,740.80   | 0.00                      |  | 2,680.28         |          | 0.00                        |  |                    | 0.00 |
| 535678106     | LINEAR TECHNOLOGY CORP     |                          |                     | LLTC                           |             |                           |  |                  |          |                             |  |                    |      |
| 1750.0000     |                            | 04/05/2013               | Various             | 61,812.46                      | 58,877.00   | 0.00                      |  | 2,935.46         |          | 0.00                        |  |                    | 0.00 |
| 589433101     | MEREDITH CORP              |                          |                     | MDP                            |             |                           |  |                  |          |                             |  |                    |      |
| 600.0000      |                            | 02/19/2013               | 02/01/2012          | 26,108.64                      | 19,483.44   | 0.00                      |  | 6,625.20         |          | 0.00                        |  |                    | 0.00 |
| 589433101     | MEREDITH CORP              |                          |                     | MDP                            |             |                           |  |                  |          |                             |  |                    |      |
| 550.0000      |                            | 06/05/2013               | 02/01/2012          | 22,129.36                      | 17,859.82   | 0.00                      |  | 4,269.54         |          | 0.00                        |  |                    | 0.00 |
| 649445103     | NEW YORK CMNTY BANCORP INC |                          |                     | NYCB                           |             |                           |  |                  |          |                             |  |                    |      |
| 2700.0000     |                            | 07/26/2013               | 02/17/2012          | 40,192.58                      | 34,804.89   | 0.00                      |  | 5,387.69         |          | 0.00                        |  |                    | 0.00 |
| 65473P105     | NISOURCE INC               |                          |                     | NI                             |             |                           |  |                  |          |                             |  |                    |      |
| 1300.0000     |                            | 09/17/2013               | 02/06/2012          | 39,222.91                      | 29,728.68   | 0.00                      |  | 9,494.23         |          | 0.00                        |  |                    | 0.00 |
| 65473P105     | NISOURCE INC               |                          |                     | NI                             |             |                           |  |                  |          |                             |  |                    |      |
| 1250.0000     |                            | 10/21/2013               | 02/06/2012          | 39,455.56                      | 28,585.26   | 0.00                      |  | 10,870.30        |          | 0.00                        |  |                    | 0.00 |

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# 2013 Tax Information Statement

Page 12 of 33  
Ref: 11

**Payer's Name and Address:**  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

**Account Number:**

0088501

**Recipient's Tax ID Number:**

XX-XXX5974

**Payer's Federal ID Number:**

04-2233412

**Payer's State ID Number:**

MA

**State:**

(617)951-7706

**Questions?**

☐ 2nd TIN notice

☐ Corrected

**Recipient's Name and Address:**

SWARTZ FOUNDATION

C/O ROPES & GRAY LLP PCG/TRUST

800 BOYLSTON ST, 30/051

800 BOYLSTON ST

BOSTON, MA 02199-3600

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip     | Description (Box 8)       | Date of Sale or Exchange | Quantity Sold | (Box 1a)  | (Box 1b) | Stocks or Bonds, etc. | Other Basis | Wash Sale Losses Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|---------------------------|--------------------------|---------------|-----------|----------|-----------------------|-------------|-----------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)  | (Box 1a)                  | (Box 1b)                 |               |           |          |                       |             |                             |                  | (Box 4)                     | (Box 15)           |
| 66987V109 | NOVARTIS AG SPONSORED ADR |                          |               | NVS       |          |                       |             |                             |                  |                             |                    |
| 800.0000  | 10/21/2013                | Various                  |               | 60,230.95 |          | 45,761.80             |             | 0.00                        | 14,469.15        | 0.00                        | 0.00               |
| 729251108 | PLUM CREEK TIMBER CO INC  |                          |               | PCL       |          |                       |             |                             |                  |                             |                    |
| 650.0000  | 10/21/2013                | 12/21/2011               |               | 31,632.87 |          | 23,333.25             |             | 0.00                        | 8,299.62         | 0.00                        | 0.00               |
| 74340W103 | PROLOGIS INC REIT         |                          |               | PLD       |          |                       |             |                             |                  |                             |                    |
| 1050.0000 | 10/21/2013                | 09/05/2012               |               | 41,726.59 |          | 36,208.94             |             | 0.00                        | 5,517.65         | 0.00                        | 0.00               |
| 74460D109 | PUBLIC STORAGE INC REIT   |                          |               | PSA       |          |                       |             |                             |                  |                             |                    |
| 250.0000  | 10/21/2013                | 04/23/2012               |               | 42,379.76 |          | 34,611.59             |             | 0.00                        | 7,768.17         | 0.00                        | 0.00               |
| 771195104 | ROCHE HLDG LTD SPONS ADR  |                          |               | RHHBY     |          |                       |             |                             |                  |                             |                    |
| 1000.0000 | 10/21/2013                | 04/03/2012               |               | 67,258.82 |          | 44,000.00             |             | 0.00                        | 23,258.82        | 0.00                        | 0.00               |
| 80105N105 | SANOFI SPONS ADR          |                          |               | SNY       |          |                       |             |                             |                  |                             |                    |
| 100.0000  | 01/29/2013                | 08/10/2011               |               | 4,874.56  |          | 3,196.86              |             | 0.00                        | 1,677.70         | 0.00                        | 0.00               |
| 80105N105 | SANOFI SPONS ADR          |                          |               | SNY       |          |                       |             |                             |                  |                             |                    |
| 650.0000  | 10/21/2013                | 08/10/2011               |               | 32,747.73 |          | 20,779.59             |             | 0.00                        | 11,968.14        | 0.00                        | 0.00               |
| 92276F100 | VENTAS INC                |                          |               | VTR       |          |                       |             |                             |                  |                             |                    |
| 450.0000  | 10/21/2013                | 03/05/2012               |               | 29,089.07 |          | 25,452.09             |             | 0.00                        | 3,636.98         | 0.00                        | 0.00               |
| 929042109 | VORNADO REALTY TRUST      |                          |               | VNO       |          |                       |             |                             |                  |                             |                    |
| 450.0000  | 10/21/2013                | 08/09/2012               |               | 39,526.36 |          | 36,341.42             |             | 0.00                        | 3,184.94         | 0.00                        | 0.00               |

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# 2013 Tax Information Statement

**Payer's Name and Address:**

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

**Account Number:**

0088501

**Recipient's Tax ID Number:**

XX-XX5974

**Payer's Federal ID Number:**

04-2233412

**Payer's State ID Number:**

MA

**Questions?**

(617)951-7706

☐ Corrected

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**Recipient's Name and Address:**

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800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

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Covered (Box 6a is not checked)

| CUSIP                                    |          | Description (Box 3)      |            | Stock or Other Symbol (Box 1d) |          | Federal Income Tax Withheld |            | State Tax Withheld        |         |
|------------------------------------------|----------|--------------------------|------------|--------------------------------|----------|-----------------------------|------------|---------------------------|---------|
| Quantity Sold                            | (Box 1e) | Date of Sale or Exchange | (Box 1a)   | Date of Acquisition            | (Box 1b) | Cost or Other Basis         | (Box 3)    | Wash Sale Loss Disallowed | (Box 5) |
| 976657106                                | (Box 1e) | 10/21/2013               | 06/09/2011 | WISCONSIN ENERGY CORP          | (Box 1b) | 57,925.81                   | (Box 3)    | 0.00                      | (Box 5) |
| 1400.0000                                | (Box 1e) | 10/21/2013               | 06/09/2011 | WEC                            | (Box 1b) | 43,411.26                   | (Box 3)    | 0.00                      | (Box 5) |
| Total Long Term Sales Reported on 1099-B |          |                          |            |                                |          | 956,652.49                  | 796,071.78 | 0.00                      | 0.00    |
|                                          |          |                          |            |                                |          | 14,514.55                   | 0.00       | 0.00                      | 0.00    |
|                                          |          |                          |            |                                |          | 160,580.70                  | 0.00       | 0.00                      | 0.00    |

Report on Form 8949, Part II, with Box D checked

# 2013 Tax Information Statement

Page 14 of 33  
Ref: 11

## Account Number: 0088501

Recipient's Tax ID Number: XX-XXX5974

Payer's Federal ID Number: 04-2233412

Payer's State ID Number: MA

State: (617)951-7706

Questions? ☐ 2nd TIN notice

☐ Corrected

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

## 2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds, etc., less commissions and option premiums.

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip                                           | Description (Box 8)<br>Date of Sale or Exchange | Date of Acquisition | Stock or Other Symbol (Box 1d) |           | Cost or Other Basis |          | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld |          |  |
|-------------------------------------------------|-------------------------------------------------|---------------------|--------------------------------|-----------|---------------------|----------|---------------------------|------------------|-----------------------------|----------|--|
|                                                 |                                                 |                     | Stocks, Bonds, etc.            | (Box 2a)  | (Box 2b)            | (Box 2c) |                           |                  | (Box 4)                     | (Box 15) |  |
| Short Term Sales Reported on 1099-B             |                                                 |                     |                                |           |                     |          |                           |                  |                             |          |  |
| 285512AA7                                       | ELECTRONIC ARTS CONV 0.750% 7/15/16             |                     |                                |           |                     |          |                           |                  |                             |          |  |
| 50000.0000                                      | 05/09/2013                                      | 01/23/2013          | 51,406.25                      | 46,965.29 | 0.00                | 0.00     | 4,440.96                  | 0.00             | 0.00                        | 0.00     |  |
| 39153LAB2                                       | WILSON GRBTCH CONV 2.250% 6/15/13               |                     |                                |           |                     |          |                           |                  |                             |          |  |
| 35000.0000                                      | 02/20/2013                                      | 04/24/2012          | 35,000.00                      | 34,978.13 | 0.00                | 0.00     | 21.87                     | 0.00             | 0.00                        | 0.00     |  |
| Total Short Term Sales Reported on 1099-B       |                                                 |                     |                                | 86,406.25 | 81,943.42           | 0.00     | 0.00                      | 4,462.83         | 0.00                        | 0.00     |  |
| Report on Form 8949, Part I, with Box B checked |                                                 |                     |                                |           |                     |          |                           |                  |                             |          |  |
| Long Term Sales Reported on 1099-B              |                                                 |                     |                                |           |                     |          |                           |                  |                             |          |  |
| 018802108                                       | ALLIANT CORP                                    |                     |                                |           |                     |          |                           |                  |                             |          |  |
| 1150.0000                                       | 10/21/2013                                      | Various             | 58,614.02                      | 41,896.13 | 0.00                | 0.00     | 16,717.89                 | 0.00             | 0.00                        | 0.00     |  |
| 024835100                                       | AMERICAN CAMPUS COMMUNITIES REIT                |                     |                                |           |                     |          |                           |                  |                             |          |  |
| 900.0000                                        | 01/25/2013                                      | Various             | 42,744.99                      | 26,349.42 | 0.00                | 0.00     | 16,395.57                 | 0.00             | 0.00                        | 0.00     |  |
| 024835100                                       | AMERICAN CAMPUS COMMUNITIES REIT                |                     |                                |           |                     |          |                           |                  |                             |          |  |
| 500.0000                                        | 10/21/2013                                      | Various             | 18,178.53                      | 10,835.21 | 0.00                | 0.00     | 7,343.32                  | 0.00             | 0.00                        | 0.00     |  |

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# 2013 Tax Information Statement

Page 15 of 33  
Ref: 11

Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number: 0088501

Recipient's Tax ID Number: XX-XXX5974

Payer's Federal ID Number: 04-2233412

Payer's State ID Number:

MA

(617)951-7706

☐ 2nd TIN notice

Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

☐ Corrected

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip      | Description (Box 8)            | Date of Sale or Exchange | Quantity Sold | Stock or Other Symbol (Box 9d) | Cost or Other Basis | Wash Sale Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|------------|--------------------------------|--------------------------|---------------|--------------------------------|---------------------|----------------------|------------------|-----------------------------|--------------------|
| (Box 1e)   | (Box 1a)                       | (Box 1b)                 | (Box 1c)      | (Box 2a)                       | (Box 3)             | (Box 4)              | (Box 5)          | (Box 6)                     | (Box 7)            |
| 03836W103  | AQUA AMERICA INC               | 04/23/2013               | Various       | WTR                            | 46,856.57           | 27,899.32            | 18,957.25        | 0.00                        | 0.00               |
| 00208D408  | ARC RESOURCES LTD              | 10/21/2013               | Various       | AETUF                          | 52,899.07           | 29,729.77            | 23,169.30        | 0.00                        | 0.00               |
| 6563875    | ASCENDAS REIT                  | 10/16/2013               | 11/03/2010    |                                | 4,040.59            | 3,577.60             | 462.99           | 0.00                        | 0.00               |
| 6563875    | ASCENDAS REIT                  | 10/17/2013               | Various       |                                | 23,788.42           | 19,034.23            | 4,754.19         | 0.00                        | 0.00               |
| 12800.0000 | BUNGE LIMITED 4.875% CONV PFD  | 07/09/2013               | 07/14/2009    |                                | 20,199.64           | 16,400.00            | 3,799.64         | 0.00                        | 0.00               |
| G16962204  | CENTERPOINT ENERGY INC         | 10/21/2013               | Various       | CNP                            | 58,900.01           | 38,826.97            | 20,073.04        | 0.00                        | 0.00               |
| 15189T107  | CHINA MOBILE LIMITED SPONS ADR | 07/31/2013               | Various       | CHL                            | 42,351.83           | 41,288.08            | 1,063.75         | 0.00                        | 0.00               |
| 16941M109  | CHUNGHWA TELECOM LTD SPONS ADR | 03/25/2013               | 04/07/2010    | CHT                            | 32,277.75           | 25,584.26            | 6,693.49         | 0.00                        | 0.00               |
| 800.0000   | CRESCENT POINT ENERGY CORP     | 01/29/2013               | Various       | CSCTF                          | 62,412.04           | 61,751.71            | 660.33           | 0.00                        | 0.00               |
| 17133Q502  | FRANCO NEVADA CORP             | 06/20/2013               | Various       | FNV                            | 33,319.72           | 30,323.14            | 2,996.58         | 0.00                        | 0.00               |
| 1040.0000  |                                |                          |               |                                |                     |                      |                  |                             |                    |
| 22576C101  |                                |                          |               |                                |                     |                      |                  |                             |                    |
| 1600.0000  |                                |                          |               |                                |                     |                      |                  |                             |                    |
| 351858105  |                                |                          |               |                                |                     |                      |                  |                             |                    |
| 1000.0000  |                                |                          |               |                                |                     |                      |                  |                             |                    |

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# 2013 Tax Information Statement

Page 16 of 33  
Ref: 11

Account Number: 0088501  
Recipient's Tax ID Number: XX-XXX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ 2nd TIN notice

Recipient's Name and Address:  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

☐ Corrected

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip         | Description (Box 8)              | Stock or Other Symbol (Box 1d) | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|---------------|----------------------------------|--------------------------------|---------------------------|------------------|-----------------------------|--------------------|
| Quantity Sold | Date of Sale or Exchange         | Stock or Other Symbol (Box 1d) | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
| (Box 1e)      | (Box 1a)                         | (Box 2a)                       | (Box 3)                   | (Box 4)          | (Box 15)                    |                    |
| 436440AA9     | HOLOGIC CONV V-A 2.000% 12/15/37 |                                |                           |                  |                             |                    |
| 50000.0000    | 10/21/2013 10/26/2010            | 50,050.00                      | 50,719.33                 | 0.00             | -669.33                     | 0.00               |
| 478160104     | JOHNSON & JOHNSON                | JNJ                            |                           |                  |                             |                    |
| 500.0000      | 10/21/2013 12/23/2009            | 45,444.86                      | 32,327.31                 | 0.00             | 13,117.55                   | 0.00               |
| 46625H365     | JPMORGAN ALERIAN MLP INDEX FUND  | AMJ                            |                           |                  |                             |                    |
| 900.0000      | 09/19/2013 10/22/2010            | 40,504.24                      | 31,454.11                 | 0.00             | 9,050.13                    | 0.00               |
| 496902AD9     | KINROSS GOLD CONV 1.750% 3/15/28 |                                |                           |                  |                             |                    |
| 60000.0000    | 03/07/2013 11/17/2011            | 60,000.00                      | 59,978.93                 | 0.00             | 21.07                       | 0.00               |
| 595017104     | MICROCHIP TECHNOLOGY INC         | MCHP                           |                           |                  |                             |                    |
| 1300.0000     | 01/17/2013 Various               | 43,646.39                      | 34,836.39                 | 0.00             | 8,810.00                    | 0.00               |
| 646025106     | NEW JERSEY RES CORP              | NJR                            |                           |                  |                             |                    |
| 50.0000       | 06/24/2013 02/11/2010            | 2,080.26                       | 1,745.59                  | 0.00             | 334.67                      | 0.00               |
| 646025106     | NEW JERSEY RES CORP              | NJR                            |                           |                  |                             |                    |
| 600.0000      | 07/03/2013 02/11/2010            | 25,156.54                      | 20,947.08                 | 0.00             | 4,209.46                    | 0.00               |
| 664397106     | NORTHEAST UTILITIES              | NU                             |                           |                  |                             |                    |
| 650.0000      | 02/20/2013 07/13/2009            | 26,897.50                      | 15,192.07                 | 0.00             | 11,705.43                   | 0.00               |
| 664397106     | NORTHEAST UTILITIES              | NU                             |                           |                  |                             |                    |
| 6.0000        | 10/21/2013 07/13/2009            | 252.29                         | 140.23                    | 0.00             | 112.06                      | 0.00               |
| 69331C108     | PG & E CORP                      | PCG                            |                           |                  |                             |                    |
| 900.0000      | 07/17/2013 Various               | 41,183.28                      | 39,751.25                 | 0.00             | 1,432.03                    | 0.00               |

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# 2013 Tax Information Statement

Page 17 of 33  
Ref: 11

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number: 0088501

Recipient's Tax ID Number: XX-XXX5974

Payer's Federal ID Number: 04-2233412

Payer's State ID Number:

MA

Questions? (617)951-7706

☐ 2nd TIN notice

Account Number:

Recipient's Tax ID Number:

Payer's Federal ID Number:

Payer's State ID Number:

Questions?

☐ Corrected

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip      | Description (Box 8)                  | Date of Sale or Exchange (Box 10) | Stocks (Box 11a) | Bonds, etc. (Box 11b) | Other Basis (Box 11c) | Wash Sale Loss Disallowed (Box 11d) | Federal Income Tax Withheld (Box 12) | State Income Tax Withheld (Box 13) |
|------------|--------------------------------------|-----------------------------------|------------------|-----------------------|-----------------------|-------------------------------------|--------------------------------------|------------------------------------|
| (Box 1e)   | (Box 1f)                             | (Box 1g)                          | (Box 1h)         | (Box 1i)              | (Box 1j)              | (Box 1k)                            | (Box 1l)                             | (Box 1m)                           |
| 718172109  | PHILIP MORRIS INTERNATIONAL          | 10/21/2013                        | Various          | PM                    | 30,366.17             | 15,688.31                           | 0.00                                 | 14,677.86                          |
| 350 0000   |                                      |                                   |                  |                       |                       |                                     |                                      | 0.00                               |
| 754907103  | RAYONIER INC                         | 04/17/2013                        | Various          | RYN                   | 39,881.60             | 23,146.41                           | 0.00                                 | 16,735.19                          |
| 700.0000   |                                      |                                   |                  |                       |                       |                                     |                                      | 0.00                               |
| 754907103  | RAYONIER INC                         | 08/02/2013                        | Various          | RYN                   | 40,496.98             | 17,520.30                           | 0.00                                 | 22,976.68                          |
| 687.0000   |                                      |                                   |                  |                       |                       |                                     |                                      | 0.00                               |
| 780287108  | ROYAL GOLD INC                       | 04/12/2013                        | 06/23/2010       | RGLD                  | 24,352.53             | 19,484.00                           | 0.00                                 | 4,868.53                           |
| 400.0000   |                                      |                                   |                  |                       |                       |                                     |                                      | 0.00                               |
| 74973WAA5  | RTI INTL METALS CONV 3.000% 12/01/15 | 03/08/2013                        | 12/09/2010       |                       | 29,125.00             | 25,000.00                           | 0.00                                 | 4,125.00                           |
| 25000 0000 |                                      |                                   |                  |                       |                       |                                     |                                      | 0.00                               |
| 80105N105  | SANOFI SPONS ADR                     | 01/29/2013                        | 10/22/2010       | SNY                   | 17,060.96             | 12,122.36                           | 0.00                                 | 4,938.60                           |
| 350.0000   |                                      |                                   |                  |                       |                       |                                     |                                      | 0.00                               |
| 80105N105  | SANOFI SPONS ADR                     | 10/21/2013                        | 08/13/2010       | SNY                   | 10,076.22             | 5,726.89                            | 0.00                                 | 4,349.33                           |
| 200 0000   |                                      |                                   |                  |                       |                       |                                     |                                      | 0.00                               |
| 6243586    | SATS LTD NPV                         | 10/22/2013                        | Various          |                       | 51,407.64             | 36,488.44                           | 0.00                                 | 14,919.20                          |
| 19000.0000 |                                      |                                   |                  |                       |                       |                                     |                                      | 0.00                               |
| 802PY22    | SINGAPORE TELECOMM LTD               | 10/22/2013                        | 04/27/2012       |                       | 53,471.00             | 45,277.02                           | 0.00                                 | 8,193.98                           |
| 18000.0000 |                                      |                                   |                  |                       |                       |                                     |                                      | 0.00                               |
| 847560109  | SPECTRA ENERGY CORP                  | 01/02/2013                        | Various          | SE                    | 32,061.28             | 27,602.29                           | 0.00                                 | 4,458.99                           |
| 1150 0000  |                                      |                                   |                  |                       |                       |                                     |                                      | 0.00                               |

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# 2013 Tax Information Statement

Page 18 of 33  
Ref: 11

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number:  
0088501

Recipient's Tax ID Number:  
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Payer's Federal ID Number:  
04-2233412

Payer's State ID Number:  
MA

State:  
(617)951-7706

Questions?

☐ Corrected

☐ 2nd TIN notice

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip                                    | Description (Box 8)             | Date of Sale or Exchange | Stock or Other Symbol (Box 1d) | Stocks, Bonds, etc. | Cost or Other Basis | Wash Sale Loss Disallowed | Nat'l Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|------------------------------------------|---------------------------------|--------------------------|--------------------------------|---------------------|---------------------|---------------------------|--------------------|-----------------------------|--------------------|
| (Box 1e)                                 |                                 |                          |                                |                     |                     |                           |                    | (Box 4)                     | (Box 15)           |
| B04PZ72                                  | SUNTEC REIT                     | 10/22/2013               | Various                        | 24,778.75           | 17,925.10           | 0.00                      | 6,853.65           | 0.00                        | 0.00               |
| B61JC67                                  | TREASURY WINE ESTATES LTD       | 04/03/2013               | 07/27/2011                     | 34,709.20           | 23,213.24           | 0.00                      | 11,495.96          | 0.00                        | 0.00               |
| B61JC67                                  | TREASURY WINE ESTATES LTD       | 04/04/2013               | 07/27/2011                     | 3,172.79            | 2,085.24            | 0.00                      | 1,087.55           | 0.00                        | 0.00               |
| 896522AF6                                | TRINITY IND CONV 3.875% 6/01/36 | 08/05/2013               | 05/30/2012                     | 52,425.00           | 51,435.34           | 0.00                      | 989.66             | 0.00                        | 0.00               |
| 45000.0000                               | UNILEVER NV NY SHARES           | 10/21/2013               | Various                        | 80,416.21           | 56,412.42           | 0.00                      | 24,003.79          | 0.00                        | 0.00               |
| 904784709                                | VENTAS INC                      | 10/21/2013               | 10/22/2010                     | 38,074.36           | 30,652.08           | 0.00                      | 7,422.28           | 0.00                        | 0.00               |
| 92276F100                                | WEYERHAEUSER CO                 | 06/17/2013               | Various                        | 28,709.20           | 16,335.34           | 0.00                      | 12,373.86          | 0.00                        | 0.00               |
| 589.0000                                 |                                 |                          |                                | 1,422,383.43        | 1,086,702.91        | 0.00                      | 335,680.52         | 0.00                        | 0.00               |
| 962166104                                |                                 |                          |                                |                     |                     |                           |                    |                             |                    |
| 1000.0000                                |                                 |                          |                                |                     |                     |                           |                    |                             |                    |
| Total Long Term Sales Reported on 1099-B |                                 |                          |                                |                     |                     |                           |                    |                             |                    |

Report on Form 8949, Part II, with Box E checked

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# 2013 Tax Information Statement

Page 7 of 29  
Ref: 11

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088502

## Recipient's Tax ID Number:

XX-XXX5974

## Payer's Federal ID Number:

04-2233412

## Payer's State ID Number:

MA

## Questions?

(617)951-7706

☐ Corrected

☐ 2nd TIN notice

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

## 2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip                               | Description (Box 8)            |                     | Stock or Other Symbol (Box 1d) |                     |                           |                  |                             |                    |  |  |
|-------------------------------------|--------------------------------|---------------------|--------------------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|--|--|
| Quantity Sold                       | Date of Sale or Exchange       | Date of Acquisition | Stocks, Bonds, etc.            | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |  |  |
| (Box 1e)                            | (Box 1a)                       | (Box 1b)            | (Box 2a)                       | (Box 3)             | (Box 5)                   | (Box 4)          | (Box 4)                     | (Box 15)           |  |  |
| Short Term Sales Reported on 1099-B |                                |                     |                                |                     |                           |                  |                             |                    |  |  |
| 025816109                           | AMERICAN EXPRESS CO            |                     | AXP                            |                     |                           |                  |                             |                    |  |  |
| 499.0000                            | 10/21/2013                     | 12/12/2012          | 40,268.38                      | 28,747.39           | 0.00                      | 11,520.99        | 0.00                        | 0.00               |  |  |
| 03524A108                           | ANHEUSER-BUSCH INBEV SPONS ADR |                     | BUD                            |                     |                           |                  |                             |                    |  |  |
| 984.0000                            | 09/19/2013                     | Various             | 100,772.93                     | 92,299.04           | 0.00                      | 8,473.89         | 0.00                        | 0.00               |  |  |
| 03524A108                           | ANHEUSER-BUSCH INBEV SPONS ADR |                     | BUD                            |                     |                           |                  |                             |                    |  |  |
| 2018.0000                           | 10/21/2013                     | 04/26/2013          | 206,770.53                     | 189,157.03          | 0.00                      | 17,613.50        | 0.00                        | 0.00               |  |  |
| 037833100                           | APPLE INC                      |                     | AAPL                           |                     |                           |                  |                             |                    |  |  |
| 204.0000                            | 08/05/2013                     | Various             | 95,559.44                      | 109,388.59          | 0.00                      | -13,829.15       | 0.00                        | 0.00               |  |  |
| 037833100                           | APPLE INC                      |                     | AAPL                           |                     |                           |                  |                             |                    |  |  |
| 40.0000                             | 10/21/2013                     | 12/13/2012          | 20,965.24                      | 21,170.93           | 0.00                      | -205.69          | 0.00                        | 0.00               |  |  |
| 04033A100                           | ARIAD PHARMACEUTICALS INC      |                     | ARIA                           |                     |                           |                  |                             |                    |  |  |
| 9716.0000                           | 10/09/2013                     | Various             | 57,167.65                      | 194,603.52          | 0.00                      | -137,435.87      | 0.00                        | 0.00               |  |  |
| 067383109                           | BARD CR INC                    |                     | BCR                            |                     |                           |                  |                             |                    |  |  |
| 1841.0000                           | 10/21/2013                     | 04/12/2013          | 231,583.64                     | 189,513.63          | 0.00                      | 42,070.01        | 0.00                        | 0.00               |  |  |
| 110122108                           | BRISTOL MYERS SQUIBB CO        |                     | BMJ                            |                     |                           |                  |                             |                    |  |  |
| 722.0000                            | 04/15/2013                     | 12/12/2012          | 29,944.72                      | 23,999.28           | 0.00                      | 5,945.44         | 0.00                        | 0.00               |  |  |

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# 2013 Tax Information Statement

**Payer's Name and Address:**  
ROPE & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

**Account Number:** 0088502  
**Recipient's Tax ID Number:** XX-XXX5974  
**Payer's Federal ID Number:** 04-2233412  
**Payer's State ID Number:** MA  
**State:** (617)951-7706  
**Questions?** ☐ 2nd TIN notice  
☐ Corrected

**Recipient's Name and Address:**  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip     | Description (Box 6)     | Date of Sale or Exchange | Acquisition | Stocks, Bonds, etc. | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|-------------------------|--------------------------|-------------|---------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)  | (Box 1a)                | (Box 1b)                 |             | (Box 2a)            | (Box 3)             | (Box 5)                   | (Box 4)          | (Box 15)                    |                    |
| 110122108 | BRISTOL MYERS SQUIBB CO |                          |             | BMV                 |                     |                           |                  |                             |                    |
| 4563 0000 | 10/21/2013              | Various                  |             | 224,389.24          | 151,201.61          | 0.00                      | 73,187.63        | 0.00                        | 0.00               |
| 15135U109 | CENOVUS ENERGY INC      |                          |             | CVE                 |                     |                           |                  |                             |                    |
| 4418 0000 | 10/21/2013              | Various                  |             | 132,716.13          | 146,043.48          | 0.00                      | -13,327.35       | 0.00                        | 0.00               |
| 171340102 | CHURCH & DWIGHT INC     |                          |             | CHD                 |                     |                           |                  |                             |                    |
| 1546 0000 | 10/21/2013              | 12/12/2012               |             | 96,390.83           | 83,849.57           | 0.00                      | 12,541.26        | 0.00                        | 0.00               |
| 235851102 | DANAHER CORP            |                          |             | DHR                 |                     |                           |                  |                             |                    |
| 47 0000   | 01/10/2013              | 07/20/2012               |             | 2,797.87            | 2,399.55            | 0.00                      | 398.32           | 0.00                        | 0.00               |
| 254687106 | DISNEY WALT CO NEW      |                          |             | DIS                 |                     |                           |                  |                             |                    |
| 751 0000  | 04/29/2013              | 12/12/2012               |             | 47,376.73           | 37,309.68           | 0.00                      | 10,067.05        | 0.00                        | 0.00               |
| 254687106 | DISNEY WALT CO NEW      |                          |             | DIS                 |                     |                           |                  |                             |                    |
| 194 0000  | 10/21/2013              | 12/12/2012               |             | 13,090.84           | 9,637.92            | 0.00                      | 3,452.92         | 0.00                        | 0.00               |
| 260003108 | DOVER CORP              |                          |             | DOV                 |                     |                           |                  |                             |                    |
| 698 0000  | 10/21/2013              | 10/17/2013               |             | 62,456.08           | 60,079.07           | 0.00                      | 2,377.01         | 0.00                        | 0.00               |
| 265504100 | DUNKIN BRANDS GROUP INC |                          |             | DNKN                |                     |                           |                  |                             |                    |
| 2050 0000 | 01/14/2013              | Various                  |             | 70,176.48           | 63,899.27           | 0.00                      | 6,277.21         | 0.00                        | 0.00               |
| 265504100 | DUNKIN BRANDS GROUP INC |                          |             | DNKN                |                     |                           |                  |                             |                    |
| 1109 0000 | 06/05/2013              | 08/02/2012               |             | 45,212.67           | 32,687.33           | 0.00                      | 12,525.34        | 0.00                        | 0.00               |

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ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088502  
XX-XXX5974  
04-2233412  
MA  
(617)951-7706

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

## State:

MA

## Questions?

☐ Corrected

☐ 2nd TIN notice

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Covered (Box 6a is not checked)

| Cusip            | Description (Box 8)                  | Stock or Other Symbol (Box 1d) | Stocks<br>Bonds, etc. | Cost or<br>Other Basis | Wash Sale<br>Loss Disallowed | Nat Gain<br>or Loss | Federal<br>Income<br>Tax<br>Withheld | State<br>Tax<br>Withheld |
|------------------|--------------------------------------|--------------------------------|-----------------------|------------------------|------------------------------|---------------------|--------------------------------------|--------------------------|
| Quantity<br>Sold | Date of<br>Acquisition               | (Box 1a)                       | (Box 1b)              | (Box 2a)               | (Box 3)                      | (Box 4)             | (Box 5)                              | (Box 15)                 |
| 268648102        | EMC CORP MASS                        | EMC                            | 74,220.79             | 73,336.69              | 0.00                         | 884.10              | 0.00                                 | 0.00                     |
| 2936.0000        | 10/21/2013 Various                   | ESRX                           | 94,831.85             | 87,911.31              | 0.00                         | 6,920.54            | 0.00                                 | 0.00                     |
| 30219G108        | EXPRESS SCRIPTS HLDG                 | FISV                           | 157,217.36            | 120,147.91             | 0.00                         | 37,069.44           | 0.00                                 | 0.00                     |
| 1474.0000        | 10/21/2013 Various                   | FTI                            | 151,975.33            | 123,995.99             | 0.00                         | 27,979.34           | 0.00                                 | 0.00                     |
| 337738108        | FISERV INC                           | GNRC                           | 170,756.88            | 142,185.11             | 0.00                         | 28,571.77           | 0.00                                 | 0.00                     |
| 1494.0000        | 10/21/2013 12/12/2012                | IBM                            | 34,965.14             | 32,653.61              | 0.00                         | 2,311.53            | 0.00                                 | 0.00                     |
| 30249U101        | FMC TECHNOLOGIES INC                 | IBM                            | 21,909.74             | 21,320.88              | 0.00                         | 588.86              | 0.00                                 | 0.00                     |
| 2594.0000        | 10/21/2013 Various                   | INTU                           | 174,956.85            | 147,506.82             | 0.00                         | 27,450.03           | 0.00                                 | 0.00                     |
| 368736104        | GENERAC HOLDINGS                     | JNJ                            | 216,771.70            | 181,024.46             | 0.00                         | 35,747.24           | 0.00                                 | 0.00                     |
| 4076.0000        | 10/21/2013 06/24/2013                |                                |                       |                        |                              |                     |                                      |                          |
| 459200101        | INTERNATIONAL BUSINESS MACHINES CORP |                                |                       |                        |                              |                     |                                      |                          |
| 170.0000         | 05/24/2013 12/13/2012                |                                |                       |                        |                              |                     |                                      |                          |
| 459200101        | INTERNATIONAL BUSINESS MACHINES CORP |                                |                       |                        |                              |                     |                                      |                          |
| 111.0000         | 07/19/2013 12/13/2012                |                                |                       |                        |                              |                     |                                      |                          |
| 461202103        | INTUIT                               |                                |                       |                        |                              |                     |                                      |                          |
| 2543.0000        | 10/21/2013 05/24/2013                |                                |                       |                        |                              |                     |                                      |                          |
| 478160104        | JOHNSON & JOHNSON                    |                                |                       |                        |                              |                     |                                      |                          |
| 2379.0000        | 10/21/2013 02/22/2013                |                                |                       |                        |                              |                     |                                      |                          |

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# 2013 Tax Information Statement

Page 10 of 29  
Ref: 11

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088502  
XX-XXX5974  
04-2233412

## Payer's Federal ID Number:

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(617)951-7706

## Payer's State ID Number:

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(617)951-7706  
☐ 2nd TIN notice

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800 BOYLSTON ST  
BOSTON, MA 02199-3600

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Covered (Box 6a is not checked)

| Cusip     | Description (Box 8)    | Date of Sale or Exchange | Quantity Sold | (Box 1a)   | (Box 1b)   | Stocks | Bonds, etc. | Other Basis | Wash Sale | Loss Disallowed | Federal Income | State Tax | Withheld |
|-----------|------------------------|--------------------------|---------------|------------|------------|--------|-------------|-------------|-----------|-----------------|----------------|-----------|----------|
| (Box 1e)  | (Box 1a)               | (Box 1b)                 |               |            |            |        |             |             |           |                 |                |           |          |
| 46625H100 | JP MORGAN CHASE & CO   | 10/21/2013               | Various       | 256,822.40 | 239,146.08 | 0.00   | 17,676.32   | 0.00        | 0.00      | 0.00            | 0.00           | 0.00      | 0.00     |
| 4735.0000 | L BRANDS, INC          | 06/05/2013               | Various       | 63,907.38  | 60,814.75  | 0.00   | 3,092.63    | 0.00        | 0.00      | 0.00            | 0.00           | 0.00      | 0.00     |
| 501797104 | L BRANDS, INC          | 08/05/2013               | 01/04/2013    | 44,061.46  | 34,130.32  | 0.00   | 9,931.14    | 0.00        | 0.00      | 0.00            | 0.00           | 0.00      | 0.00     |
| 1243.0000 | L BRANDS, INC          | 10/21/2013               | 01/04/2013    | 3,721.95   | 2,791.66   | 0.00   | 930.29      | 0.00        | 0.00      | 0.00            | 0.00           | 0.00      | 0.00     |
| 518439104 | LAUDER ESTEE COS CL- A | 10/21/2013               | 12/12/2012    | 52,384.93  | 44,891.99  | 0.00   | 7,492.94    | 0.00        | 0.00      | 0.00            | 0.00           | 0.00      | 0.00     |
| 742.0000  | LENNAR CORP-CL A       | 05/24/2013               | 12/13/2012    | 17,331.68  | 15,181.13  | 0.00   | 2,150.55    | 0.00        | 0.00      | 0.00            | 0.00           | 0.00      | 0.00     |
| 526057104 | LENNAR CORP-CL A       | 10/21/2013               | 07/08/2013    | 44,924.82  | 44,082.63  | 0.00   | 842.19      | 0.00        | 0.00      | 0.00            | 0.00           | 0.00      | 0.00     |
| 407.0000  | M & T BANK CORP        | 10/21/2013               | Various       | 206,308.05 | 194,525.65 | 0.00   | 11,782.40   | 0.00        | 0.00      | 0.00            | 0.00           | 0.00      | 0.00     |
| 526057104 | MCDONALDS CORP         | 04/15/2013               | 12/13/2012    | 32,546.88  | 28,242.92  | 0.00   | 4,303.96    | 0.00        | 0.00      | 0.00            | 0.00           | 0.00      | 0.00     |
| 1321.0000 |                        |                          |               |            |            |        |             |             |           |                 |                |           |          |
| 55261F104 |                        |                          |               |            |            |        |             |             |           |                 |                |           |          |
| 1813.0000 |                        |                          |               |            |            |        |             |             |           |                 |                |           |          |
| 580135101 |                        |                          |               |            |            |        |             |             |           |                 |                |           |          |
| 317.0000  |                        |                          |               |            |            |        |             |             |           |                 |                |           |          |

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# 2013 Tax Information Statement

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088502

## Recipient's Tax ID Number:

XX-XXX5974

## Payer's Federal ID Number:

04-2233412

## Payer's State ID Number:

MA

## Questions?

(617)951-7706

☐ Corrected

☐ 2nd TIN notice

## Recipient's Name and Address:

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C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

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Covered (Box 6a is not checked)

| CUSIP         |  | Description (Box 9)       |                     | Stock or Other Symbol (Box 1d) |          | Stocks, Bonds, etc. |          | Cost or Other Basis |         | Wash Sale Loss Disallowed |         | Net Gain or Loss |         | Federal Income Tax Withheld |          | State Tax Withheld |          |
|---------------|--|---------------------------|---------------------|--------------------------------|----------|---------------------|----------|---------------------|---------|---------------------------|---------|------------------|---------|-----------------------------|----------|--------------------|----------|
| Quantity Sold |  | Date of Sale or Exchange  | Date of Acquisition | (Box 1a)                       | (Box 1b) | (Box 2a)            | (Box 2b) | (Box 3)             | (Box 4) | (Box 5)                   | (Box 6) | (Box 7)          | (Box 8) | (Box 9)                     | (Box 10) | (Box 11)           | (Box 12) |
| 615369105     |  | MOODYS CORP               |                     |                                |          | MCO                 |          |                     |         |                           |         |                  |         |                             |          |                    |          |
| 567 0000      |  | 01/14/2013                | 12/12/2012          |                                |          | 30,214.61           |          | 27,976.68           |         | 0.00                      |         | 2,237.93         |         | 0.00                        |          | 0.00               |          |
| 66987V109     |  | NOVARTIS AG SPONSORED ADR |                     |                                |          | NVS                 |          |                     |         |                           |         |                  |         |                             |          |                    |          |
| 266 0000      |  | 01/23/2013                | 04/19/2012          |                                |          | 17,908.31           |          | 14,726.11           |         | 0.00                      |         | 3,182.20         |         | 0.00                        |          | 0.00               |          |
| 674599105     |  | OCCIDENTAL PETE CORP      |                     |                                |          | OXY                 |          |                     |         |                           |         |                  |         |                             |          |                    |          |
| 2404 0000     |  | 10/21/2013                | Various             |                                |          | 234,019.60          |          | 196,894.59          |         | 0.00                      |         | 37,125.01        |         | 0.00                        |          | 0.00               |          |
| 68389X105     |  | ORACLE CORPORATION        |                     |                                |          | ORCL                |          |                     |         |                           |         |                  |         |                             |          |                    |          |
| 2464 0000     |  | 10/21/2013                | Various             |                                |          | 81,508.56           |          | 81,384.46           |         | 0.00                      |         | 124.10           |         | 0.00                        |          | 0.00               |          |
| 74005P104     |  | PRAXAIR INC               |                     |                                |          | PX                  |          |                     |         |                           |         |                  |         |                             |          |                    |          |
| 455 0000      |  | 10/21/2013                | 12/12/2012          |                                |          | 56,529.99           |          | 48,880.65           |         | 0.00                      |         | 7,649.34         |         | 0.00                        |          | 0.00               |          |
| 75281A109     |  | RANGE RESOURCES CORP      |                     |                                |          | RRC                 |          |                     |         |                           |         |                  |         |                             |          |                    |          |
| 3192 0000     |  | 10/21/2013                | Various             |                                |          | 245,518.68          |          | 216,761.27          |         | 0.00                      |         | 28,757.41        |         | 0.00                        |          | 0.00               |          |
| 80004C101     |  | SANDISK CORP              |                     |                                |          | SNDK                |          |                     |         |                           |         |                  |         |                             |          |                    |          |
| 3627 0000     |  | 10/21/2013                | Various             |                                |          | 252,432.33          |          | 205,830.26          |         | 0.00                      |         | 46,602.07        |         | 0.00                        |          | 0.00               |          |
| 806857108     |  | SCHLUMBERGER LTD          |                     |                                |          | SLB                 |          |                     |         |                           |         |                  |         |                             |          |                    |          |
| 1141 0000     |  | 10/21/2013                | Various             |                                |          | 107,021.60          |          | 82,900.76           |         | 0.00                      |         | 24,120.84        |         | 0.00                        |          | 0.00               |          |
| 82966C103     |  | SIRONA DENTAL SYSTEMS     |                     |                                |          | SIRO                |          |                     |         |                           |         |                  |         |                             |          |                    |          |
| 1509 0000     |  | 10/21/2013                | Various             |                                |          | 106,092.62          |          | 99,616.32           |         | 0.00                      |         | 6,476.30         |         | 0.00                        |          | 0.00               |          |

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# 2013 Tax Information Statement

Page 12 of 29  
Ref: 11

**Payer's Name and Address:**  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

**Account Number:** 0088502  
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| Cusip                                            | Description (Box 3)               | Stock or Other Symbol (Box 1d) | Stocks, Bonds, etc. (Box 2a) | Cost or Other Basis (Box 3) | Wash Sale Loss Disallowed (Box 5) | Net Capital Gain or Loss (Box 4) | Federal Income Tax Withheld (Box 15) |
|--------------------------------------------------|-----------------------------------|--------------------------------|------------------------------|-----------------------------|-----------------------------------|----------------------------------|--------------------------------------|
| Quantity Sold (Box 1e)                           | Date of Sale or Exchange (Box 1a) | Date of Acquisition (Box 1b)   |                              |                             |                                   |                                  |                                      |
| 835898107                                        | SOTHEBY'S (DELAWARE)              |                                | BID                          | 33,491.40                   | 28,863.27                         | 4,628.13                         | 0.00                                 |
| 889.0000                                         |                                   | 02/22/2013 12/12/2012          |                              |                             |                                   |                                  |                                      |
| 835898107                                        | SOTHEBY'S (DELAWARE)              |                                | BID                          | 44,843.79                   | 33,343.73                         | 11,500.06                        | 0.00                                 |
| 1027.0000                                        |                                   | 08/08/2013 12/12/2012          |                              |                             |                                   |                                  |                                      |
| 889478103                                        | TOLL BROTHERS INC                 |                                | TOL                          | 252,969.94                  | 255,887.34                        | -2,917.40                        | 0.00                                 |
| 8038.0000                                        |                                   | 10/21/2013 Various             |                              |                             |                                   |                                  |                                      |
| H89128104                                        | TYCO INTERNATIONAL LTD            |                                | TYC                          | 35,268.28                   | 29,678.67                         | 5,589.61                         | 0.00                                 |
| 1033.0000                                        |                                   | 05/24/2013 12/12/2012          |                              |                             |                                   |                                  |                                      |
| H89128104                                        | TYCO INTERNATIONAL LTD            |                                | TYC                          | 27,123.28                   | 22,294.91                         | 4,828.37                         | 0.00                                 |
| 776.0000                                         |                                   | 07/12/2013 12/12/2012          |                              |                             |                                   |                                  |                                      |
| H89128104                                        | TYCO INTERNATIONAL LTD            |                                | TYC                          | 108,676.86                  | 86,513.01                         | 22,163.85                        | 0.00                                 |
| 3015.0000                                        |                                   | 10/21/2013 Various             |                              |                             |                                   |                                  |                                      |
| 92220P105                                        | VARIAN MEDICAL SYSTEMS INC        |                                | VAR                          | 28,749.12                   | 27,617.10                         | 1,132.02                         | 0.00                                 |
| 396.0000                                         |                                   | 07/29/2013 02/22/2013          |                              |                             |                                   |                                  |                                      |
| 966244105                                        | WHITEWAVE FOODS CO - A            |                                | WWAV                         | 244,509.76                  | 206,327.42                        | 38,182.34                        | 0.00                                 |
| 12785 0000                                       |                                   | 10/21/2013 Various             |                              |                             |                                   |                                  |                                      |
| <b>Total Short Term Sales Reported on 1099-B</b> |                                   |                                |                              | <b>5,204,133.32</b>         | <b>4,695,373.35</b>               | <b>508,759.96</b>                | <b>0.00</b>                          |

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|-------------------------------------------------|----------|--------------------------|------------|--------------------------------|----------|---------------------|----------|---------------------|---------|---------------------------|---------|------------------|---------|-----------------------------|----------|--------------------|----------|
| Quantity Sold                                   | (Box 1e) | Date of Sale or Exchange | (Box 1a)   | Date of Acquisition            | (Box 1b) | (Box 2a)            | (Box 2b) | (Box 3)             | (Box 4) | (Box 5)                   | (Box 6) | (Box 7)          | (Box 8) | (Box 9)                     | (Box 10) | (Box 11)           | (Box 12) |
| Report on Form 8949, Part I, with Box A checked |          |                          |            |                                |          |                     |          |                     |         |                           |         |                  |         |                             |          |                    |          |
| Long Term Sales Reported on 1099-B              |          |                          |            |                                |          |                     |          |                     |         |                           |         |                  |         |                             |          |                    |          |
| 025816109                                       |          | AMERICAN EXPRESS CO      |            |                                |          |                     |          |                     |         |                           |         |                  |         |                             |          |                    |          |
| 2750 0000                                       |          | 10/21/2013               | Various    |                                |          | 221,919.93          |          | 120,689.16          |         | 0.00                      |         | 101,230.77       |         | 0.00                        |          | 0.00               |          |
| 037833100                                       |          | APPLE INC                |            |                                |          |                     |          |                     |         |                           |         |                  |         |                             |          |                    |          |
| 500.0000                                        |          | 10/21/2013               | Various    |                                |          | 262,065.54          |          | 173,348.86          |         | 0.00                      |         | 88,716.68        |         | 0.00                        |          | 0.00               |          |
| 127097103                                       |          | CABOT OIL & GAS CORP     |            |                                |          |                     |          |                     |         |                           |         |                  |         |                             |          |                    |          |
| 5496.0000                                       |          | 10/21/2013               | Various    |                                |          | 200,369.40          |          | 75,378.33           |         | 0.00                      |         | 124,991.07       |         | 0.00                        |          | 0.00               |          |
| 15135U109                                       |          | CENOVUS ENERGY INC       |            |                                |          |                     |          |                     |         |                           |         |                  |         |                             |          |                    |          |
| 3900.0000                                       |          | 10/21/2013               | Various    |                                |          | 117,155.48          |          | 143,375.22          |         | 0.00                      |         | -26,219.74       |         | 0.00                        |          | 0.00               |          |
| 166764100                                       |          | CHEVRON CORP             |            |                                |          |                     |          |                     |         |                           |         |                  |         |                             |          |                    |          |
| 378.0000                                        |          | 05/24/2013               | 03/11/2011 |                                |          | 47,235.49           |          | 37,895.25           |         | 0.00                      |         | 9,540.24         |         | 0.00                        |          | 0.00               |          |
| 166764100                                       |          | CHEVRON CORP             |            |                                |          |                     |          |                     |         |                           |         |                  |         |                             |          |                    |          |
| 572 0000                                        |          | 06/03/2013               | Various    |                                |          | 70,849.37           |          | 56,808.28           |         | 0.00                      |         | 14,041.09        |         | 0.00                        |          | 0.00               |          |
| 171340102                                       |          | CHURCH & DWIGHT INC      |            |                                |          |                     |          |                     |         |                           |         |                  |         |                             |          |                    |          |
| 950 0000                                        |          | 10/21/2013               | 08/13/2012 |                                |          | 59,231.11           |          | 49,169.82           |         | 0.00                      |         | 10,061.29        |         | 0.00                        |          | 0.00               |          |

# 2013 Tax Information Statement

Page 14 of 29  
Ref: 11

**Payer's Name and Address:**  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

**Account Number:**  
0088502  
**Recipient's Tax ID Number:**  
XX-XXX5974  
**Payer's Federal ID Number:**  
04-2233412  
**Payer's State ID Number:**  
MA  
**State:**  
MA  
**Questions?**  
(617)951-7706

**Recipient's Name and Address:**  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

☐ Corrected ☐ 2nd TIN notice

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip     | Description (Box 8)       | Date of Sale or Exchange | Acquisition | Stocks, Bonds, etc. | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|---------------------------|--------------------------|-------------|---------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)  | (Box 1a)                  | (Box 1b)                 |             | (Box 2a)            | (Box 3)             | (Box 5)                   | (Box 4)          | (Box 15)                    |                    |
| 235851102 | DANAHER CORP              | 01/10/2013               | 03/11/2011  | DHR                 | 50,897.50           | 43,579.09                 | 7,318.41         | 0.00                        | 0.00               |
| 855 0000  |                           |                          |             |                     |                     |                           |                  |                             |                    |
| 235851102 | DANAHER CORP              | 10/21/2013               | Various     | DHR                 | 129,131.63          | 91,123.07                 | 38,008.56        | 0.00                        | 0.00               |
| 1795 0000 |                           |                          |             |                     |                     |                           |                  |                             |                    |
| 254687106 | DISNEY WALT CO NEW        | 10/21/2013               | 10/03/2011  | DIS                 | 236,174.98          | 105,485.80                | 130,689.18       | 0.00                        | 0.00               |
| 3500 0000 |                           |                          |             |                     |                     |                           |                  |                             |                    |
| 260003108 | DOVER CORP                | 09/09/2013               | 03/23/2012  | DOV                 | 34,406.06           | 24,497.22                 | 9,908.84         | 0.00                        | 0.00               |
| 392 0000  |                           |                          |             |                     |                     |                           |                  |                             |                    |
| 260003108 | DOVER CORP                | 10/21/2013               | Various     | DOV                 | 203,116.49          | 139,440.32                | 63,676.17        | 0.00                        | 0.00               |
| 2270 0000 |                           |                          |             |                     |                     |                           |                  |                             |                    |
| 265504100 | DUNKIN BRANDS GROUP INC   | 10/21/2013               | Various     | DNKN                | 197,989.58          | 120,715.33                | 77,274.25        | 0.00                        | 0.00               |
| 4121 0000 |                           |                          |             |                     |                     |                           |                  |                             |                    |
| 28176E108 | EDWARDS LIFESCIENCES CORP | 03/26/2013               | Various     | EW                  | 87,902.69           | 77,090.19                 | 10,812.50        | 0.00                        | 0.00               |
| 1072 0000 |                           |                          |             |                     |                     |                           |                  |                             |                    |
| 28176E108 | EDWARDS LIFESCIENCES CORP | 03/27/2013               | 11/11/2011  | EW                  | 22,468.96           | 19,543.08                 | 2,925.88         | 0.00                        | 0.00               |
| 274 0000  |                           |                          |             |                     |                     |                           |                  |                             |                    |
| 268648102 | EMC CORP MASS             | 10/21/2013               | Various     | EMC                 | 166,845.09          | 167,164.60                | -319.51          | 0.00                        | 0.00               |
| 6600 0000 |                           |                          |             |                     |                     |                           |                  |                             |                    |

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# 2013 Tax Information Statement

Page 15 of 29  
Ref: 11

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088502  
XX-XXX5974  
04-2233412

## Payer's State ID Number:

MA  
(617)951-7706

## Questions?

☐ Corrected ☐ 2nd TIN notice

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip     | Description (Box 8) |                          | Stock or Other Symbol (Box 1d) |                                      | Stocks   |            | Cost or Other Basis |         | Wash Sale Loss Disallowed |            | Net Gain or Loss |          | Federal Income Tax Withheld |          | State Tax Withheld |          |
|-----------|---------------------|--------------------------|--------------------------------|--------------------------------------|----------|------------|---------------------|---------|---------------------------|------------|------------------|----------|-----------------------------|----------|--------------------|----------|
|           | Quantity Sold       | Date of Sale or Exchange | Date of Acquisition            | (Box 1a)                             | (Box 1b) | (Box 2a)   | (Box 3)             | (Box 5) | (Box 4)                   | (Box 15)   | (Box 15)         | (Box 15) | (Box 15)                    | (Box 15) | (Box 15)           | (Box 15) |
| 26875P101 | 1340 0000           | 10/21/2013               | Various                        | EOG RES INC                          | EOG      | 245,821.84 | 136,918.32          | 0.00    | 0.00                      | 108,903.52 | 0.00             | 0.00     | 0.00                        | 0.00     | 0.00               | 0.00     |
| 30219G108 | 2100.0000           | 10/21/2013               | Various                        | EXPRESS SCRIPTS HLDG                 | ESRX     | 135,106.44 | 109,293.53          | 0.00    | 0.00                      | 25,812.91  | 0.00             | 0.00     | 0.00                        | 0.00     | 0.00               | 0.00     |
| 30249U101 | 1748 0000           | 07/12/2013               | Various                        | FMC TECHNOLOGIES INC                 | FTI      | 101,439.53 | 79,860.22           | 0.00    | 0.00                      | 21,579.31  | 0.00             | 0.00     | 0.00                        | 0.00     | 0.00               | 0.00     |
| 30249U101 | 2077.0000           | 10/21/2013               | Various                        | FMC TECHNOLOGIES INC                 | FTI      | 121,685.71 | 88,974.01           | 0.00    | 0.00                      | 32,711.70  | 0.00             | 0.00     | 0.00                        | 0.00     | 0.00               | 0.00     |
| 369604103 | 5905.0000           | 07/08/2013               | Various                        | GENERAL ELECTRIC CO                  | GE       | 138,366.33 | 112,643.03          | 0.00    | 0.00                      | 25,723.30  | 0.00             | 0.00     | 0.00                        | 0.00     | 0.00               | 0.00     |
| 459200101 | 196.0000            | 07/19/2013               | 04/21/2011                     | INTERNATIONAL BUSINESS MACHINES CORP | IBM      | 38,687.46  | 32,892.72           | 0.00    | 0.00                      | 5,794.74   | 0.00             | 0.00     | 0.00                        | 0.00     | 0.00               | 0.00     |
| 459200101 | 754.0000            | 10/21/2013               | Various                        | INTERNATIONAL BUSINESS MACHINES CORP | IBM      | 131,201.24 | 123,675.43          | 0.00    | 0.00                      | 7,525.81   | 0.00             | 0.00     | 0.00                        | 0.00     | 0.00               | 0.00     |
| 501797104 | 3400.0000           | 10/21/2013               | Various                        | L BRANDS, INC                        | LB       | 204,106.88 | 135,231.38          | 0.00    | 0.00                      | 68,875.50  | 0.00             | 0.00     | 0.00                        | 0.00     | 0.00               | 0.00     |
| 518439104 | 2850 0000           | 10/21/2013               | Various                        | LAUDER ESTEE COS CL- A               | EL       | 201,208.97 | 153,249.82          | 0.00    | 0.00                      | 47,959.15  | 0.00             | 0.00     | 0.00                        | 0.00     | 0.00               | 0.00     |

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# 2013 Tax Information Statement

Page 16 of 29  
Ref: 11

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088502  
XX-XXX5974  
04-2233412

## Payer's State ID Number:

MA  
(617)951-7706

## Questions?

☐ Corrected

☐ 2nd TIN notice

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip     | Description (Box 2)           | Date of Sale or Exchange (Box 1a) | Date of Acquisition (Box 1b) | Stocks, Bonds, etc. (Box 2a) | Cost or Other Basis (Box 3) | Wash Sale Loss Disallowed (Box 5) | Net Gain or Loss (Box 4) | Federal Income Tax Withheld (Box 15) |
|-----------|-------------------------------|-----------------------------------|------------------------------|------------------------------|-----------------------------|-----------------------------------|--------------------------|--------------------------------------|
| 526057104 | LENNAR CORP-CL A              | 05/24/2013                        | 04/19/2011                   | 10,134.98                    | 4,419.37                    | 0.00                              | 5,715.61                 | 0.00                                 |
| 526057104 | LENNAR CORP-CL A              | 10/21/2013                        | 04/19/2011                   | 175,550.26                   | 95,852.15                   | 0.00                              | 79,698.11                | 0.00                                 |
| 55068R202 | LUXOTTICA GROUP SPA SPONS ADR | 10/21/2013                        | Various                      | 217,459.85                   | 126,918.46                  | 0.00                              | 90,541.39                | 0.00                                 |
| 4223.0000 | MCDONALDS CORP                | 04/15/2013                        | 03/10/2011                   | 26,899.94                    | 20,174.00                   | 0.00                              | 6,725.94                 | 0.00                                 |
| 580135101 | MCDONALDS CORP                | 07/29/2013                        | Various                      | 157,588.85                   | 123,018.50                  | 0.00                              | 34,570.35                | 0.00                                 |
| 1610.0000 | MOODY'S CORP                  | 01/14/2013                        | 06/17/2011                   | 28,829.10                    | 19,141.18                   | 0.00                              | 9,687.92                 | 0.00                                 |
| 615369105 | MOODY'S CORP                  | 02/05/2013                        | Various                      | 160,423.01                   | 110,719.84                  | 0.00                              | 49,703.17                | 0.00                                 |
| 3359.0000 | NESTLE SA SPONS ADR           | 10/21/2013                        | Various                      | 212,032.96                   | 162,397.48                  | 0.00                              | 49,635.48                | 0.00                                 |
| 641069406 | NOVARTIS AG SPONSORED ADR     | 01/23/2013                        | 04/21/2011                   | 17,235.06                    | 14,598.40                   | 0.00                              | 2,636.66                 | 0.00                                 |
| 2947.0000 |                               |                                   |                              |                              |                             |                                   |                          |                                      |
| 66987V109 |                               |                                   |                              |                              |                             |                                   |                          |                                      |
| 256.0000  |                               |                                   |                              |                              |                             |                                   |                          |                                      |

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# 2013 Tax Information Statement

Page 17 of 29  
Ref: 11

**Payer's Name and Address:**  
ROPE & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

**Account Number:** 0088502  
**Recipient's Tax ID Number:** XX-XXX5974  
**Payer's Federal ID Number:** 04-2233412  
**Payer's State ID Number:** MA  
**State:** (617)951-7706

**Recipient's Name and Address:**  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

**Questions?** ☐ Corrected ☐ 2nd TIN notice

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip     | Description (Box 3)       | Date of Sale or Exchange (Box 1a) | Date of Acquisition (Box 1b) | Stocks, Bonds, etc. (Box 2a) | Cost or Other Basis (Box 3) | Wash Sale Loss Disallowed (Box 5) | Net Gain or Loss (Box 4) | Federal Income Tax Withheld (Box 15) |
|-----------|---------------------------|-----------------------------------|------------------------------|------------------------------|-----------------------------|-----------------------------------|--------------------------|--------------------------------------|
| 66987V109 | NOVARTIS AG SPONSORED ADR | 06/21/2013                        | 04/19/2012                   | NVS                          | 19,321.09                   | 0.00                              | 5,114.31                 | 0.00                                 |
| 349.0000  |                           |                                   |                              |                              |                             |                                   |                          |                                      |
| 66987V109 | NOVARTIS AG SPONSORED ADR | 10/21/2013                        | Various                      | NVS                          | 147,246.16                  | 0.00                              | 54,951.09                | 0.00                                 |
| 2685.0000 |                           |                                   |                              |                              |                             |                                   |                          |                                      |
| 681919106 | OMNICOM GROUP             | 05/09/2013                        | 03/11/2011                   | OMC                          | 49,475.05                   | 0.00                              | 13,299.73                | 0.00                                 |
| 1005.0000 |                           |                                   |                              |                              |                             |                                   |                          |                                      |
| 681919106 | OMNICOM GROUP             | 07/19/2013                        | Various                      | OMC                          | 90,443.83                   | 0.00                              | 32,750.51                | 0.00                                 |
| 1895.0000 |                           |                                   |                              |                              |                             |                                   |                          |                                      |
| 68389X105 | ORACLE CORPORATION        | 01/04/2013                        | 03/11/2011                   | ORCL                         | 28,360.97                   | 0.00                              | 2,346.28                 | 0.00                                 |
| 889.0000  |                           |                                   |                              |                              |                             |                                   |                          |                                      |
| 68389X105 | ORACLE CORPORATION        | 10/21/2013                        | Various                      | ORCL                         | 136,425.14                  | 0.00                              | 12,797.72                | 0.00                                 |
| 4511.0000 |                           |                                   |                              |                              |                             |                                   |                          |                                      |
| 74005P104 | PRAXAIR INC               | 10/21/2013                        | Various                      | PX                           | 78,019.84                   | 0.00                              | 21,373.56                | 0.00                                 |
| 800.0000  |                           |                                   |                              |                              |                             |                                   |                          |                                      |
| 740189105 | PRECISION CASTPARTS CORP  | 06/21/2013                        | 03/11/2011                   | PCP                          | 35,904.64                   | 0.00                              | 16,897.77                | 0.00                                 |
| 248.0000  |                           |                                   |                              |                              |                             |                                   |                          |                                      |
| 740189105 | PRECISION CASTPARTS CORP  | 10/21/2013                        | Various                      | PCP                          | 123,654.80                  | 0.00                              | 88,143.98                | 0.00                                 |
| 873.0000  |                           |                                   |                              |                              |                             |                                   |                          |                                      |

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# 2013 Tax Information Statement

Page 18 of 29  
Ref: 11

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

Recipient's Tax ID Number:  
Payer's Federal ID Number:  
Payer's State ID Number:

MA  
(617)951-7706

## Questions?

☐ Corrected

☐ 2nd TIN notice

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800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip                                    | Description (Box 6)        | Date of Sale or Exchange | Date of Acquisition | Stocks, Bonds, etc. | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|------------------------------------------|----------------------------|--------------------------|---------------------|---------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)                                 | (Box 1a)                   | (Box 1b)                 |                     | (Box 2a)            | (Box 3)             | (Box 5)                   |                  | (Box 4)                     | (Box 15)           |
| 776696106                                | ROPER INDS INC NEW         | 10/21/2013               | 05/17/2011          | ROP                 | 156,890.05          | 97,869.10                 | 59,020.95        | 0.00                        | 0.00               |
| 806857108                                | SCHLUMBERGER LTD           | 05/24/2013               | 03/11/2011          | SLB                 | 25,968.00           | 30,211.83                 | -4,243.83        | 0.00                        | 0.00               |
| 806857108                                | SCHLUMBERGER LTD           | 10/21/2013               | Various             | SLB                 | 65,563.63           | 60,016.25                 | 5,547.38         | 0.00                        | 0.00               |
| 829666103                                | SIRONA DENTAL SYSTEMS      | 10/21/2013               | Various             | SIRO                | 219,708.05          | 148,456.55                | 71,251.50        | 0.00                        | 0.00               |
| 835898107                                | SOTHEBY'S (DELAWARE)       | 08/08/2013               | 05/15/2012          | BID                 | 14,584.05           | 10,545.15                 | 4,038.90         | 0.00                        | 0.00               |
| 835898107                                | SOTHEBY'S (DELAWARE)       | 09/24/2013               | 05/15/2012          | BID                 | 65,806.25           | 42,717.32                 | 23,088.93        | 0.00                        | 0.00               |
| 2113.0000                                | SOTHEBY'S (DELAWARE)       | 10/21/2013               | 05/15/2012          | BID                 | 109,848.24          | 66,712.27                 | 43,135.97        | 0.00                        | 0.00               |
| H89128104                                | TYCO INTERNATIONAL LTD     | 10/21/2013               | Various             | TYC                 | 91,915.75           | 56,690.47                 | 35,225.28        | 0.00                        | 0.00               |
| 2550.0000                                | VARIAN MEDICAL SYSTEMS INC | 07/29/2013               | Various             | VAR                 | 159,717.36          | 118,880.08                | 40,837.28        | 0.00                        | 0.00               |
| 92220P105                                |                            |                          |                     |                     | 6,298,065.56        | 4,436,032.00              | 1,862,033.56     | 0.00                        | 0.00               |
| 2200.0000                                |                            |                          |                     |                     |                     |                           |                  |                             |                    |
| Total Long Term Sales Reported on 1099-B |                            |                          |                     |                     |                     |                           |                  |                             |                    |

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# 2013 Tax Information Statement

Page 19 of 29  
Ref: 11

**Payer's Name and Address:**  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

**Account Number:** 0088502  
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800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

☐ Corrected ☐ 2nd TIN notice

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip                  | Description (Box 8)               | Stock or Other Symbol (Box 1d) |                                |                             |                                   |                  |                                     |                                    |  |  |  |
|------------------------|-----------------------------------|--------------------------------|--------------------------------|-----------------------------|-----------------------------------|------------------|-------------------------------------|------------------------------------|--|--|--|
| Quantity Sold (Box 1e) | Date of Sale or Exchange (Box 1a) | Date of Acquisition (Box 1b)   | Stocks or Bonds, etc. (Box 2a) | Cost or Other Basis (Box 3) | Wash Sale Loss Disallowed (Box 5) | Net Gain or Loss | Federal Income Tax Withheld (Box 4) | State Income Tax Withheld (Box 15) |  |  |  |

Report on Form 8949, Part II, with Box D checked

2013 Tax Information Statement

Recipient's Name and Address:  
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800 BOYLSTON ST, 30/051  
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Account Number: 0088502  
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800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds, etc., less commissions and option premiums.  
For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip                              | Description (Box 8)      |                     | Stock or Other Symbol (Box 1d) |                     |                           |                  |                             |                    |  |  |  |  |
|------------------------------------|--------------------------|---------------------|--------------------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|--|--|--|--|
|                                    | Date of Sale or Exchange | Date of Acquisition | Stocks, Bonds, etc.            | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |  |  |  |  |
| (Box 1e)                           | (Box 1a)                 |                     | (Box 2a)                       |                     |                           |                  | (Box 4)                     | (Box 15)           |  |  |  |  |
| Long Term Sales Reported on 1099-B |                          |                     |                                |                     |                           |                  |                             |                    |  |  |  |  |
| 037833100                          | APPLE INC                |                     |                                |                     |                           |                  |                             |                    |  |  |  |  |
| 75.0000                            | 10/21/2013               | Various             | 39,309.83                      | 23,863.88           | 0.00                      | 15,445.95        | 0.00                        | 0.00               |  |  |  |  |
| 15135U109                          | CENOVUS ENERGY INC       |                     |                                |                     |                           |                  |                             |                    |  |  |  |  |
| 200.0000                           | 10/21/2013               | 12/31/2010          | 6,007.97                       | 6,631.54            | 0.00                      | -623.57          | 0.00                        | 0.00               |  |  |  |  |
| 166764100                          | CHEVRON CORP             |                     |                                |                     |                           |                  |                             |                    |  |  |  |  |
| 600.0000                           | 06/03/2013               | 10/25/2010          | 74,317.52                      | 51,036.00           | 0.00                      | 23,281.52        | 0.00                        | 0.00               |  |  |  |  |
| 171340102                          | CHURCH & DWIGHT INC      |                     |                                |                     |                           |                  |                             |                    |  |  |  |  |
| 1500.0000                          | 10/21/2013               | Various             | 93,522.80                      | 51,132.00           | 0.00                      | 42,390.80        | 0.00                        | 0.00               |  |  |  |  |
| 235851102                          | DANAHER CORP             |                     |                                |                     |                           |                  |                             |                    |  |  |  |  |
| 1200.0000                          | 10/21/2013               | 10/25/2010          | 86,327.56                      | 51,816.00           | 0.00                      | 34,511.56        | 0.00                        | 0.00               |  |  |  |  |
| 26875P101                          | EOG RES INC              |                     |                                |                     |                           |                  |                             |                    |  |  |  |  |
| 175.0000                           | 10/21/2013               | 10/25/2010          | 32,103.60                      | 17,074.75           | 0.00                      | 15,028.85        | 0.00                        | 0.00               |  |  |  |  |
| 30219G108                          | EXPRESS SCRIPTS HLDG     |                     |                                |                     |                           |                  |                             |                    |  |  |  |  |
| 600.0000                           | 10/21/2013               | 10/25/2010          | 38,601.84                      | 29,620.02           | 0.00                      | 8,981.82         | 0.00                        | 0.00               |  |  |  |  |

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# 2013 Tax Information Statement

Page 21 of 29  
Ref: 11

Recipient's Name and Address:  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number: 0088502  
Recipient's Tax ID Number: XX-XXX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ 2nd TIN notice

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

☐ Corrected

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip                                    | Description (Box 8)                  | Quantity Sold | Date of Sale or Exchange | Date of Acquisition | Stock or Other Symbol (Box 1d) | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|------------------------------------------|--------------------------------------|---------------|--------------------------|---------------------|--------------------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)                                 | (Box 1a)                             |               |                          |                     | (Box 2a)                       |                     |                           |                  | (Box 4)                     | (Box 15)           |
| 337738108                                | FISERV INC                           |               |                          |                     | FISV                           |                     |                           |                  |                             |                    |
| 750 0000                                 | 10/21/2013                           | 10/25/2010    |                          |                     | 78,924.38                      | 41,701.50           | 0.00                      | 37,222.88        | 0.00                        | 0.00               |
| 369604103                                | GENERAL ELECTRIC CO                  |               |                          |                     | GE                             |                     |                           |                  |                             |                    |
| 100 0000                                 | 07/08/2013                           | 12/31/2010    |                          |                     | 2,343.21                       | 1,833.00            | 0.00                      | 510.21           | 0.00                        | 0.00               |
| 459200101                                | INTERNATIONAL BUSINESS MACHINES CORP |               |                          |                     | IBM                            |                     |                           |                  |                             |                    |
| 125 0000                                 | 10/21/2013                           | 10/25/2010    |                          |                     | 21,750.87                      | 17,551.25           | 0.00                      | 4,199.62         | 0.00                        | 0.00               |
| 641069406                                | NESTLE SA SPONS ADR                  |               |                          |                     | NSRGY                          |                     |                           |                  |                             |                    |
| 350 0000                                 | 10/21/2013                           | 10/25/2010    |                          |                     | 25,182.06                      | 19,162.50           | 0.00                      | 6,019.56         | 0.00                        | 0.00               |
| 681919106                                | OMNICOM GROUP                        |               |                          |                     | OMC                            |                     |                           |                  |                             |                    |
| 1200 0000                                | 07/19/2013                           | 10/25/2010    |                          |                     | 78,012.25                      | 52,032.00           | 0.00                      | 25,980.25        | 0.00                        | 0.00               |
| 74005P104                                | PRAXAIR INC                          |               |                          |                     | PX                             |                     |                           |                  |                             |                    |
| 400 0000                                 | 10/21/2013                           | 12/31/2010    |                          |                     | 49,696.70                      | 38,160.00           | 0.00                      | 11,536.70        | 0.00                        | 0.00               |
| 806857108                                | SCHLUMBERGER LTD                     |               |                          |                     | SLB                            |                     |                           |                  |                             |                    |
| 800 0000                                 | 10/21/2013                           | 10/25/2010    |                          |                     | 75,037.05                      | 55,320.00           | 0.00                      | 19,717.05        | 0.00                        | 0.00               |
| H89128104                                | TYCO INTERNATIONAL LTD               |               |                          |                     | TYC                            |                     |                           |                  |                             |                    |
| 800 0000                                 | 10/21/2013                           | 10/25/2010    |                          |                     | 28,836.31                      | 15,429.99           | 0.00                      | 13,406.32        | 0.00                        | 0.00               |
| Total Long Term Sales Reported on 1099-B |                                      |               |                          |                     |                                | 729,973.95          | 472,364.43                | 257,609.52       | 0.00                        | 0.00               |

Report on Form 8949, Part II, with Box E checked

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# 2013 Tax Information Statement

**Payer's Name and Address:**  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

**Account Number:** 0088503  
**Recipient's Tax ID Number:** XX-XX5974  
**Payer's Federal ID Number:** 04-2233412  
**Payer's State ID Number:** MA  
**State:** (617)951-7706  
**Questions?** ☐ Corrected ☐ 2nd TIN notice

**Recipient's Name and Address:**  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

## 2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip                                     | Description (Box 8)                  | Stock or Other Symbol (Box 1d) |              |              |             |            |                     |  |                           |  |                  |  |                             |  |
|-------------------------------------------|--------------------------------------|--------------------------------|--------------|--------------|-------------|------------|---------------------|--|---------------------------|--|------------------|--|-----------------------------|--|
| Quantity Sold                             | Date of Sale or Exchange             | Date of Acquisition            | Stocks       |              | Bonds, etc. |            | Cost or Other Basis |  | Wash Sale Loss Disallowed |  | Net Gain or Loss |  | Federal Income Tax Withheld |  |
| (Box 1e)                                  | (Box 1a)                             | (Box 1b)                       | (Box 2a)     | (Box 3)      | (Box 5)     | (Box 4)    | (Box 15)            |  |                           |  |                  |  |                             |  |
| Short Term Sales Reported on 1099-B       |                                      |                                |              |              |             |            |                     |  |                           |  |                  |  |                             |  |
| 261980494                                 | DREYFUS EMG MKTS DBT LOCAL C FD CL I |                                |              |              |             |            |                     |  |                           |  |                  |  |                             |  |
| 242550.2430                               | 11/01/2013                           | 06/18/2013                     | 3,451,489.96 | 3,500,000.00 | 0.00        | -48,510.04 | 0.00                |  |                           |  |                  |  |                             |  |
| 64128K868                                 | N B HIGH INCOME BOND FD INS          |                                |              |              |             |            |                     |  |                           |  |                  |  |                             |  |
| 369198 3120                               | 11/01/2013                           | 06/18/2013                     | 3,559,071.73 | 3,500,000.00 | 0.00        | 59,071.73  | 0.00                |  |                           |  |                  |  |                             |  |
| Total Short Term Sales Reported on 1099-B |                                      |                                | 7,010,561.69 | 7,000,000.00 | 0.00        | 10,561.69  | 0.00                |  |                           |  |                  |  |                             |  |

Report on Form 8949, Part I, with Box A checked

# 2013 Tax Information Statement

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Ref: 11

**Payer's Name and Address:**  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

**Account Number:** 0088504  
**Recipient's Tax ID Number:** XX-XXX5974  
**Payer's Federal ID Number:** 04-2233412  
**Payer's State ID Number:** MA  
**State:** (617)951-7706  
**Questions?** ☐ 2nd TIN notice  
☐ Corrected

**Recipient's Name and Address:**  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

## 2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip                               | Description (Box 8)          |                     | Stock or Other Symbol (Box 1d) |                     |                           |                  |          | Federal Income Tax Withheld | State Tax Withheld |
|-------------------------------------|------------------------------|---------------------|--------------------------------|---------------------|---------------------------|------------------|----------|-----------------------------|--------------------|
| Quantity Sold                       | Date of Sale or Exchange     | Date of Acquisition | Stocks, Bonds, etc.            | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss |          |                             |                    |
| (Box 1e)                            | (Box 1a)                     | (Box 1b)            | (Box 2a)                       | (Box 3)             | (Box 5)                   | (Box 4)          | (Box 15) |                             |                    |
| Short Term Sales Reported on 1099-B |                              |                     |                                |                     |                           |                  |          |                             |                    |
| 00508X203                           | ACTUANT CORP CL A            |                     | ATU                            |                     |                           |                  |          |                             |                    |
| 760.0000                            | 10/21/2013                   | Various             | 29,188.79                      | 29,286.09           | 0.00                      | -97.30           | 0.00     | 0.00                        |                    |
| 00912X302                           | AIR LEASE CORP               |                     | AL                             |                     |                           |                  |          |                             |                    |
| 1060.0000                           | 10/21/2013                   | Various             | 30,655.53                      | 29,769.06           | 0.00                      | 886.47           | 0.00     | 0.00                        |                    |
| 025676206                           | AMERICAN EQUITY INVT LIFE HL |                     | AEL                            |                     |                           |                  |          |                             |                    |
| 1040.0000                           | 10/21/2013                   | Various             | 22,239.30                      | 19,235.77           | 0.00                      | 3,003.53         | 0.00     | 0.00                        |                    |
| 059692103                           | BANCORPSOUTH INC             |                     | BXS                            |                     |                           |                  |          |                             |                    |
| 1060.0000                           | 10/21/2013                   | 06/24/2013          | 22,504.58                      | 17,942.09           | 0.00                      | 4,562.49         | 0.00     | 0.00                        |                    |
| 20585P105                           | COMVERSE INC                 |                     | CNSI                           |                     |                           |                  |          |                             |                    |
| 570.0000                            | 10/21/2013                   | Various             | 18,198.03                      | 15,779.20           | 0.00                      | 2,418.83         | 0.00     | 0.00                        |                    |
| 12646R105                           | CST BRANDS INC               |                     | CST                            |                     |                           |                  |          |                             |                    |
| 880.0000                            | 10/21/2013                   | Various             | 27,385.82                      | 27,417.24           | 0.00                      | -31.42           | 0.00     | 0.00                        |                    |
| 235825205                           | DANA HOLDING CORP            |                     | DAN                            |                     |                           |                  |          |                             |                    |
| 550.0000                            | 10/21/2013                   | 05/17/2013          | 12,540.40                      | 9,983.38            | 0.00                      | 2,557.02         | 0.00     | 0.00                        |                    |
| 269279402                           | EXCO RESOURCES INC           |                     | XCO                            |                     |                           |                  |          |                             |                    |
| 2270.0000                           | 10/21/2013                   | 07/09/2013          | 15,892.24                      | 19,117.94           | 0.00                      | -3,225.70        | 0.00     | 0.00                        |                    |

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# 2013 Tax Information Statement

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Ref: 11

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088504

## Recipient's Tax ID Number:

XX-XXX5974

## Payer's Federal ID Number:

04-2233412

## Payer's State ID Number:

MA

## Questions?

(617)951-7706

☐ Corrected

☐ 2nd TIN notice

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

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Covered (Box 6a is not checked)

| Cusip     | Description (Box 8)              | Date of Sale or Exchange (Box 1a) | Date of Acquisition (Box 1b) | Stocks or Bonds, etc. (Box 2a) | Gross Other Basis (Box 3) | Wash Sale Loss Disallowed (Box 5) | Net Gain or Loss (Box 4) | Federal Income Tax Withheld (Box 15) |
|-----------|----------------------------------|-----------------------------------|------------------------------|--------------------------------|---------------------------|-----------------------------------|--------------------------|--------------------------------------|
| (Box 1e)  |                                  |                                   |                              |                                |                           |                                   |                          |                                      |
| 303726103 | FAIRCHILD SEMICONDUCTOR INTL INC | 10/21/2013                        | Various                      | FCS                            | 24,017.76                 | 27,477.77                         | 0.00                     | 0.00                                 |
| 1920.0000 |                                  |                                   |                              |                                |                           |                                   | -3,460.01                | 0.00                                 |
| 313549404 | FEDERAL MOGUL CORP               | 10/21/2013                        | 09/06/2013                   | FDML                           | 19,376.46                 | 20,098.28                         | 0.00                     | 0.00                                 |
| 1220.0000 |                                  |                                   |                              |                                |                           |                                   | -721.82                  | 0.00                                 |
| 337915102 | FIRSTMERIT CORP                  | 10/21/2013                        | 01/31/2013                   | FMER                           | 13,557.45                 | 8,844.77                          | 0.00                     | 0.00                                 |
| 580.0000  |                                  |                                   |                              |                                |                           |                                   | 4,712.68                 | 0.00                                 |
| 368736104 | GENERAC HOLDINGS                 | 10/21/2013                        | Various                      | GNRC                           | 32,981.41                 | 25,962.24                         | 0.00                     | 0.00                                 |
| 790.0000  |                                  |                                   |                              |                                |                           |                                   | 7,019.17                 | 0.00                                 |
| 41043F208 | HANGER INC                       | 10/21/2013                        | 10/01/2013                   | HGR                            | 10,591.99                 | 10,248.54                         | 0.00                     | 0.00                                 |
| 300.0000  |                                  |                                   |                              |                                |                           |                                   | 343.45                   | 0.00                                 |
| 42330P107 | HELI ENERGY SOLUTIONS GROUP      | 10/21/2013                        | Various                      | HLX                            | 29,866.29                 | 28,063.15                         | 0.00                     | 0.00                                 |
| 1200.0000 |                                  |                                   |                              |                                |                           |                                   | 1,803.14                 | 0.00                                 |
| 450911201 | ITT CORP                         | 10/21/2013                        | 12/12/2012                   | ITT                            | 11,917.59                 | 7,238.40                          | 0.00                     | 0.00                                 |
| 320.0000  |                                  |                                   |                              |                                |                           |                                   | 4,679.19                 | 0.00                                 |
| 580037109 | MCDERMOTT INTERNATIONAL INC      | 03/05/2013                        | 06/11/2012                   | MDR                            | 9,211.19                  | 9,504.44                          | 0.00                     | 0.00                                 |
| 880.0000  |                                  |                                   |                              |                                |                           |                                   | -293.25                  | 0.00                                 |
| 667340103 | NORTHWEST BANCSHARES INC         | 10/21/2013                        | 12/12/2012                   | NWBI                           | 6,551.79                  | 5,642.35                          | 0.00                     | 0.00                                 |
| 470.0000  |                                  |                                   |                              |                                |                           |                                   | 909.44                   | 0.00                                 |

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# 2013 Tax Information Statement

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**Payer's Name and Address:**  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

**Account Number:** 0088504  
**Recipient's Tax ID Number:** XX-XXX5974  
**Payer's Federal ID Number:** 04-2233412  
**Payer's State ID Number:** MA  
**State:** (617)951-7706  
**Questions?** ☐ 2nd TIN notice

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800 BOYLSTON ST, 30/051  
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BOSTON, MA 02199-3600

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Covered (Box 6a is not checked)

| Cusip     | Description (Box 3)            | Date of Sale or Exchange (Box 1a) | Date of Acquisition (Box 1b) | Stock or Other Symbol (Box 1d) | Stocks, Bonds, etc. (Box 2a) | Cost or Other Basis (Box 3) | Wash Sale Loss Disallowed (Box 5) | Net Gain or Loss (Box 4) | Federal Income Tax Withheld (Box 15) |
|-----------|--------------------------------|-----------------------------------|------------------------------|--------------------------------|------------------------------|-----------------------------|-----------------------------------|--------------------------|--------------------------------------|
| 668074305 | NORTHWESTERN CORP              | 10/21/2013                        | 12/12/2012                   | NWE                            | 9,721.41                     | 7,351.44                    | 0.00                              | 2,369.97                 | 0.00                                 |
| 69349H107 | PNM RES INC                    | 10/21/2013                        | Various                      | PNM                            | 17,809.69                    | 15,854.12                   | 0.00                              | 1,955.57                 | 0.00                                 |
| 750 0000  | REGAL BELOIT CORP              | 10/21/2013                        | 05/07/2013                   | RBC                            | 9,449.95                     | 8,804.08                    | 0.00                              | 645.87                   | 0.00                                 |
| 758750103 | RYLAND GROUP INC               | 10/21/2013                        | 12/12/2012                   | RYL                            | 8,137.86                     | 7,204.13                    | 0.00                              | 933.73                   | 0.00                                 |
| 783764103 | RYMAN HOSPITALITY PPTYS INC    | 10/21/2013                        | Various                      | RHP                            | 21,246.83                    | 25,693.31                   | 0.00                              | -4,446.48                | 0.00                                 |
| 78377T107 | SABRA HEALTH REIT              | 10/21/2013                        | Various                      | SBRA                           | 26,945.93                    | 22,668.49                   | 0.00                              | 4,277.44                 | 0.00                                 |
| 580.0000  | SANCHEZ ENERGY C               | 10/21/2013                        | 05/17/2013                   | SN                             | 28,192.29                    | 19,043.52                   | 0.00                              | 9,148.77                 | 0.00                                 |
| 78573L106 | SPIRIT REALTY CAPITAL INC REIT | 07/30/2013                        | 01/31/2013                   | SRC                            | 6.27                         | 6.85                        | 0.00                              | -0.58                    | 0.00                                 |
| 1080.0000 | SPIRIT REALTY CAPITAL INC REIT | 10/21/2013                        | Various                      | SRC                            | 25,199.00                    | 26,023.68                   | 0.00                              | -824.68                  | 0.00                                 |
| 79970Y105 |                                |                                   |                              |                                |                              |                             |                                   |                          |                                      |
| 930.0000  |                                |                                   |                              |                                |                              |                             |                                   |                          |                                      |
| 84860W102 |                                |                                   |                              |                                |                              |                             |                                   |                          |                                      |
| 6720      |                                |                                   |                              |                                |                              |                             |                                   |                          |                                      |
| 84860W102 |                                |                                   |                              |                                |                              |                             |                                   |                          |                                      |
| 2647 0000 |                                |                                   |                              |                                |                              |                             |                                   |                          |                                      |

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# 2013 Tax Information Statement

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## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

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BOSTON, MA 02199-3600

## State:

MA

## Questions?

☐ Corrected

☐ 2nd TIN notice

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| CUSIP                                     |           | Description (Box 8)          |            | Stock/Other Symbol (Box 12) |  | Stocks<br>Bonds, etc. |           | Cost or<br>Other Basis |      | Wash Sale<br>Loss Disallowed |      | Net Gain<br>or Loss |      | Federal<br>Income<br>Tax |      | State<br>Income<br>Tax |  |
|-------------------------------------------|-----------|------------------------------|------------|-----------------------------|--|-----------------------|-----------|------------------------|------|------------------------------|------|---------------------|------|--------------------------|------|------------------------|--|
| (Box 1e)                                  |           | (Box 1a)                     |            | (Box 1b)                    |  | (Box 2a)              |           | (Box 3)                |      | (Box 5)                      |      | (Box 4)             |      | (Box 15)                 |      |                        |  |
| 86722A103                                 | 1040.0000 | SUNCOKE ENERGY INC           | 05/17/2013 | Various                     |  | SXC                   | 15,885.74 | 15,307.92              | 0.00 | 0.00                         | 0.00 | 577.82              | 0.00 | 0.00                     | 0.00 |                        |  |
| 902788108                                 | 370.0000  | UMB FINANCIAL CORP           | 10/21/2013 | Various                     |  | UMBF                  | 21,700.42 | 20,095.23              | 0.00 | 0.00                         | 0.00 | 1,605.19            | 0.00 | 0.00                     | 0.00 |                        |  |
| 92343X100                                 | 4331      | VERINT SYS INC               | 02/19/2013 | 12/20/2012                  |  | VRNT                  | 14.93     | 12.42                  | 0.00 | 0.00                         | 0.00 | 2.51                | 0.00 | 0.00                     | 0.00 |                        |  |
| 92343X100                                 | 790.0000  | VERINT SYS INC               | 10/21/2013 | Various                     |  | VRNT                  | 29,807.96 | 23,413.16              | 0.00 | 0.00                         | 0.00 | 6,394.80            | 0.00 | 0.00                     | 0.00 |                        |  |
| 92672A101                                 | 190.0000  | VIEWPOINT FINL GROUP INC     | 10/21/2013 | 12/12/2012                  |  | VPFG                  | 4,093.06  | 3,936.80               | 0.00 | 0.00                         | 0.00 | 156.26              | 0.00 | 0.00                     | 0.00 |                        |  |
| 930059100                                 | 220.0000  | WADDELL & REED FINL INC      | 10/21/2013 | 03/05/2013                  |  | WDR                   | 12,916.66 | 9,121.49               | 0.00 | 0.00                         | 0.00 | 3,795.17            | 0.00 | 0.00                     | 0.00 |                        |  |
| 93317W102                                 | 780.0000  | WALTER INVESTMENT MANAGEMENT | 10/21/2013 | Various                     |  | WAC                   | 30,323.24 | 28,482.41              | 0.00 | 0.00                         | 0.00 | 1,840.83            | 0.00 | 0.00                     | 0.00 |                        |  |
| Total Short Term Sales Reported on 1099-B |           |                              |            |                             |  |                       |           | 598,127.86             |      | 544,629.76                   |      | 53,498.10           |      | 0.00                     |      | 0.00                   |  |

Report on Form 8949, Part I, with Box A checked

Long Term Sales Reported on 1099-B

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# 2013 Tax Information Statement

Page 11 of 31  
Ref: 11

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088504  
XX-XXX5974  
04-2233412

## Recipient's Tax ID Number:

04-2233412  
MA  
(617)951-7706

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

## State:

MA

## Questions?

☐ Corrected

☐ 2nd TIN notice

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip                  | Description (Box 8)               | Stock or Other Symbol (Box 1d) | Stocks (Box 2a) | Bonds, etc. (Box 2b) | Cost or Other Basis (Box 3) | Wash Sale Loss Disallowed (Box 5) | Net Gain or Loss (Box 6) | Federal Income Tax Withheld (Box 7) | State Tax Withheld (Box 15) |
|------------------------|-----------------------------------|--------------------------------|-----------------|----------------------|-----------------------------|-----------------------------------|--------------------------|-------------------------------------|-----------------------------|
| Quantity Sold (Box 1e) | Date of Sale or Exchange (Box 1a) | Date of Acquisition (Box 1b)   |                 |                      |                             |                                   |                          |                                     |                             |
| 018522300              | ALLETE INC                        |                                | ALE             |                      |                             |                                   |                          |                                     |                             |
| 150.0000               | 10/21/2013                        | 05/20/2011                     | 7,493.13        |                      | 5,970.03                    | 0.00                              | 1,523.10                 | 0.00                                | 0.00                        |
| 053774105              | AVIS BUDGET GROUP                 |                                | CAR             |                      |                             |                                   |                          |                                     |                             |
| 40.0000                | 04/23/2013                        | 07/19/2011                     | 1,134.81        |                      | 631.34                      | 0.00                              | 503.47                   | 0.00                                | 0.00                        |
| 053774105              | AVIS BUDGET GROUP                 |                                | CAR             |                      |                             |                                   |                          |                                     |                             |
| 610.0000               | 05/07/2013                        | 03/02/2012                     | 18,875.17       |                      | 7,891.14                    | 0.00                              | 10,984.03                | 0.00                                | 0.00                        |
| 14057J101              | CAPITOL FEDERAL FINANCIAL INC.    |                                | CFFN            |                      |                             |                                   |                          |                                     |                             |
| 2420.0000              | 10/21/2013                        | Various                        | 31,226.74       |                      | 29,373.13                   | 0.00                              | 1,853.61                 | 0.00                                | 0.00                        |
| 144577103              | CARRIZO OIL & GAS INC             |                                | CRZO            |                      |                             |                                   |                          |                                     |                             |
| 240.0000               | 01/31/2013                        | Various                        | 5,085.86        |                      | 8,863.35                    | 0.00                              | -3,777.49                | 0.00                                | 0.00                        |
| 12503M108              | CBOE HOLDINGS INC                 |                                | CBOE            |                      |                             |                                   |                          |                                     |                             |
| 810.0000               | 10/21/2013                        | Various                        | 40,009.34       |                      | 22,518.07                   | 0.00                              | 17,491.27                | 0.00                                | 0.00                        |
| 163893209              | CHEMTURA CORP                     |                                | CHMT            |                      |                             |                                   |                          |                                     |                             |
| 1650.0000              | 10/21/2013                        | Various                        | 40,429.31       |                      | 28,378.52                   | 0.00                              | 12,050.79                | 0.00                                | 0.00                        |
| 235825205              | DANA HOLDING CORP                 |                                | DAN             |                      |                             |                                   |                          |                                     |                             |
| 1220.0000              | 10/21/2013                        | Various                        | 27,816.88       |                      | 21,271.89                   | 0.00                              | 6,544.99                 | 0.00                                | 0.00                        |
| 24869P104              | DENNY'S CORPORATION               |                                | DENN            |                      |                             |                                   |                          |                                     |                             |
| 1180.0000              | 10/21/2013                        | Various                        | 7,572.47        |                      | 4,587.45                    | 0.00                              | 2,985.02                 | 0.00                                | 0.00                        |

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# 2013 Tax Information Statement

Page 12 of 31  
Ref: 11

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088504  
XX-XXX5974  
04-2233412

## Recipient's Tax ID Number:

04-2233412  
MA  
(617)951-7706

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

## State:

MA

## Questions?

☐ Corrected

☐ 2nd TIN notice

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip     | Description (Box 8)                 | Stock or Other Symbol (Box 12) | Stocks, Bonds, etc. (Box 2a) | Cost or Other Basis (Box 3) | Wash Sale Loss Disallowed (Box 5) | Net Gain or Loss (Box 4) | Federal Income Tax Withheld (Box 15) |
|-----------|-------------------------------------|--------------------------------|------------------------------|-----------------------------|-----------------------------------|--------------------------|--------------------------------------|
| (Box 1e)  | (Box 1a)                            | (Box 1b)                       | (Box 2a)                     | (Box 3)                     | (Box 5)                           | (Box 4)                  | (Box 15)                             |
| 29355X107 | ENPRO INDUSTRIES INC                |                                | NPO                          |                             |                                   |                          |                                      |
| 220 0000  | 10/21/2013 03/09/2011               |                                | 13,283.13                    | 8,620.61                    | 0.00                              | 4,662.52                 | 0.00                                 |
| 33582V108 | FIRST NIAGARA FINANCIAL GRP         |                                | FNFG                         |                             |                                   |                          |                                      |
| 770 0000  | 03/27/2013 02/16/2012               |                                | 6,787.94                     | 7,605.06                    | 0.00                              | -817.12                  | 0.00                                 |
| 34964C106 | FORTUNE BRANDS HOME & SECURITY, INC |                                | FBHS                         |                             |                                   |                          |                                      |
| 400 0000  | 10/21/2013 12/21/2011               |                                | 15,435.73                    | 6,461.28                    | 0.00                              | 8,974.45                 | 0.00                                 |
| 371559105 | GENESEE & WYOMING INC CL A          |                                | GWR                          |                             |                                   |                          |                                      |
| 260 0000  | 10/21/2013 04/18/2012               |                                | 25,571.55                    | 14,007.03                   | 0.00                              | 11,564.52                | 0.00                                 |
| 402635304 | GULFPORT ENERGY CORP                |                                | GIPR                         |                             |                                   |                          |                                      |
| 820 0000  | 10/21/2013 Various                  |                                | 55,616.63                    | 25,068.72                   | 0.00                              | 30,547.91                | 0.00                                 |
| 410867105 | HANOVER INSURANCE GROUP INC         |                                | THG                          |                             |                                   |                          |                                      |
| 300 0000  | 10/21/2013 Various                  |                                | 17,475.60                    | 12,374.12                   | 0.00                              | 5,101.48                 | 0.00                                 |
| 450828108 | IBERIABANK CORP                     |                                | IBKC                         |                             |                                   |                          |                                      |
| 70 0000   | 10/21/2013 07/31/2012               |                                | 4,009.33                     | 3,294.20                    | 0.00                              | 715.13                   | 0.00                                 |
| 450911201 | ITT CORP                            |                                | ITT                          |                             |                                   |                          |                                      |
| 960 0000  | 10/21/2013 Various                  |                                | 35,752.77                    | 19,788.60                   | 0.00                              | 15,964.17                | 0.00                                 |
| 477839104 | JOHN BEAN TECHNOLOGIES              |                                | JBT                          |                             |                                   |                          |                                      |
| 730 0000  | 10/21/2013 Various                  |                                | 20,434.73                    | 10,871.02                   | 0.00                              | 9,563.71                 | 0.00                                 |

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# 2013 Tax Information Statement

Page 13 of 31  
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## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088504  
XX-XXX5974  
04-2233412

## Payer's Federal ID Number:

MA

State: (617)951-7706

## Questions?

☐ Corrected

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

☐ 2nd TIN notice

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Covered (Box 6a is not checked)

| Cusip     | Description (Box 8)         | Date of Sale or Exchange | Quantity Sold | Stock or Other Symbol (Box 1a) | Stocks, Bonds, etc. (Box 2a) | Cost or Other Basis (Box 3) | Wash Sale Loss Disallowed (Box 5) | Net Gain or Loss (Box 4) | Federal Income Tax Withheld (Box 15) |
|-----------|-----------------------------|--------------------------|---------------|--------------------------------|------------------------------|-----------------------------|-----------------------------------|--------------------------|--------------------------------------|
| 50060P106 | KOPPERS HOLDINGS INC        | 10/21/2013               | 110.0000      | KOP                            | 4,735.99                     | 4,305.86                    | 0.00                              | 430.13                   | 0.00                                 |
| 56382Q102 | MANNING & NAPIER            | 04/22/2013               | 190.0000      | MN                             | 3,115.93                     | 2,364.38                    | 0.00                              | 751.55                   | 0.00                                 |
| 56382Q102 | MANNING & NAPIER            | 04/23/2013               | 280.0000      | MN                             | 4,633.44                     | 3,484.35                    | 0.00                              | 1,149.09                 | 0.00                                 |
| 56382Q102 | MANNING & NAPIER            | 04/24/2013               | 270.0000      | MN                             | 4,455.71                     | 3,359.90                    | 0.00                              | 1,095.81                 | 0.00                                 |
| 580037109 | MCDERMOTT INTERNATIONAL INC | 03/05/2013               | 640.0000      | MDR                            | 6,699.05                     | 9,408.70                    | 0.00                              | -2,709.65                | 0.00                                 |
| 62886E108 | NCR CORP                    | 09/25/2013               | 600.0000      | NCR                            | 23,736.42                    | 9,507.00                    | 0.00                              | 14,229.42                | 0.00                                 |
| 62886E108 | NCR CORP                    | 10/21/2013               | 500.0000      | NCR                            | 20,601.84                    | 7,922.50                    | 0.00                              | 12,679.34                | 0.00                                 |
| 667340103 | NORTHWEST BANCSHARES INC    | 10/21/2013               | 530.0000      | NWBI                           | 7,388.19                     | 6,344.26                    | 0.00                              | 1,043.93                 | 0.00                                 |
| 668074305 | NORTHWESTERN CORP           | 10/21/2013               | 410.0000      | NWE                            | 18,979.89                    | 14,213.59                   | 0.00                              | 4,766.30                 | 0.00                                 |

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# 2013 Tax Information Statement

**Payer's Name and Address:**  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

**Account Number:** 0088504  
**Recipient's Tax ID Number:** XX-XXX5974  
**Payer's Federal ID Number:** 04-2233412  
**Payer's State ID Number:** MA  
**State:** (617)951-7706  
**Questions?** ☐ 2nd TIN notice

**Recipient's Name and Address:**  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip     | Description (Box 8) |                          | Stocks/Other Symbol (Box 12) |          | Stocks/Other Basis (Box 3) |           | Wash Sale Loss Disallowed (Box 5) |          | Net Gain or Loss (Box 4) |          | Federal Income Tax Withheld (Box 15) |           |
|-----------|---------------------|--------------------------|------------------------------|----------|----------------------------|-----------|-----------------------------------|----------|--------------------------|----------|--------------------------------------|-----------|
|           | Quantity Sold       | Date of Sale or Exchange | (Box 1a)                     | (Box 1b) | (Box 2a)                   | (Box 2b)  | (Box 3a)                          | (Box 3b) | (Box 4a)                 | (Box 4b) | (Box 15a)                            | (Box 15b) |
| 674215108 | 700.0000            | 10/21/2013               | OASIS PETROLEUM INC          | Various  | 39,884.34                  | 21,186.00 | 0.00                              | 0.00     | 18,498.34                | 0.00     | 0.00                                 | 0.00      |
| 70959W103 | 1040.0000           | 10/21/2013               | PENSKE AUTO GROUP            | Various  | 43,754.38                  | 20,665.52 | 0.00                              | 0.00     | 23,088.86                | 0.00     | 0.00                                 | 0.00      |
| 693320202 | 470.0000            | 05/07/2013               | PHH CORP                     | Various  | 9,464.55                   | 7,266.48  | 0.00                              | 0.00     | 2,198.07                 | 0.00     | 0.00                                 | 0.00      |
| 758750103 | 110.0000            | 10/21/2013               | REGAL BELOIT CORP            | Various  | 7,996.11                   | 7,938.52  | 0.00                              | 0.00     | 57.59                    | 0.00     | 0.00                                 | 0.00      |
| 758932107 | 1150.0000           | 10/21/2013               | REGIS CORP                   | Various  | 17,157.70                  | 20,548.77 | 0.00                              | 0.00     | -3,391.07                | 0.00     | 0.00                                 | 0.00      |
| 783764103 | 250.0000            | 10/21/2013               | RYLAND GROUP INC             | Various  | 9,687.92                   | 7,529.65  | 0.00                              | 0.00     | 2,158.27                 | 0.00     | 0.00                                 | 0.00      |
| 79546E104 | 900.0000            | 10/21/2013               | SALLY BEAUTY CO-W/I          | Various  | 23,505.77                  | 11,786.31 | 0.00                              | 0.00     | 11,719.46                | 0.00     | 0.00                                 | 0.00      |
| 831865209 | 340.0000            | 09/06/2013               | SMITH A O CORPORATION        | Various  | 14,645.65                  | 6,444.06  | 0.00                              | 0.00     | 8,201.59                 | 0.00     | 0.00                                 | 0.00      |
| 831865209 | 660.0000            | 10/21/2013               | SMITH A O CORPORATION        | Various  | 32,504.43                  | 12,356.45 | 0.00                              | 0.00     | 20,147.98                | 0.00     | 0.00                                 | 0.00      |

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# 2013 Tax Information Statement

Page 15 of 31  
Ref: 11

**Payer's Name and Address:**  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

**Account Number:** 0088504  
**Recipient's Tax ID Number:** XX-XXX5974  
**Payer's Federal ID Number:** 04-2233412  
**Payer's State ID Number:** MA  
**State:** (617)951-7706  
**Questions?** ☐ 2nd TIN notice  
☐ Corrected

**Recipient's Name and Address:**  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip                                    | Quantity Sold | Description (Box 8)      | Date of Sale or Exchange | Date of Acquisition | Stock or Other Symbol (Box 1d) |          | Cost or Other Basis (Box 3) | Wash Sale Loss Disallowed (Box 5) | Net Gain or Loss (Box 4) | Federal Income Tax Withheld (Box 15) |
|------------------------------------------|---------------|--------------------------|--------------------------|---------------------|--------------------------------|----------|-----------------------------|-----------------------------------|--------------------------|--------------------------------------|
|                                          |               |                          |                          |                     | (Box 1a)                       | (Box 1b) |                             |                                   |                          |                                      |
| 86722A103                                | 500.0000      | SUNCOKE ENERGY INC       | 05/17/2013               | 03/22/2012          | SXC                            |          | 6,954.10                    | 0.00                              | 683.28                   | 0.00                                 |
| 896522109                                | 220.0000      | TRINITY INDUSTRIES INC   | 07/24/2013               | 02/15/2011          | TRN                            |          | 6,935.08                    | 0.00                              | 1,196.59                 | 0.00                                 |
| 92672A101                                | 1160.0000     | VIEWPOINT FINL GROUP INC | 10/21/2013               | Various             | VPFG                           |          | 15,473.77                   | 0.00                              | 9,515.41                 | 0.00                                 |
| 930059100                                | 400.0000      | WADDELL & REED FINL INC  | 10/21/2013               | 09/07/2011          | WDR                            |          | 11,869.20                   | 0.00                              | 11,615.63                | 0.00                                 |
| 97650W108                                | 640.0000      | WINTRUST FINANCIAL CORP  | 10/21/2013               | Various             | WTFC                           |          | 21,617.60                   | 0.00                              | 6,395.31                 | 0.00                                 |
| Total Long Term Sales Reported on 1099-B |               |                          |                          |                     |                                |          | 477,057.61                  | 0.00                              | 281,956.79               | 0.00                                 |

Report on Form 8949, Part II, with Box D checked

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# 2013 Tax Information Statement

Page 16 of 31  
Ref: 11

Account Number: 0088504  
 Recipient's Tax ID Number: XX-XXX5974  
 Payer's Federal ID Number: 04-2233412  
 Payer's State ID Number: MA  
 State: (617)951-7706  
 Questions? ☐ 2nd TIN notice  
 Corrected ☐

Recipient's Name and Address:  
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 C/O ROPES & GRAY LLP PCG/TRUST  
 800 BOYLSTON ST, 30/051  
 800 BOYLSTON ST  
 BOSTON, MA 02199-3600

Payer's Name and Address:  
 ROPES & GRAY LLP FIDUCIARY ACCOUNT  
 800 BOYLSTON ST, PRUDENTIAL TOWER  
 BOSTON, MA 02199-3600

## 2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds, etc., less commissions and option premiums.  
 For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip                                     | Description (Box 8)           | Date of Sale or Exchange | Date of Acquisition | Stock or Other Symbol (Box 1d) | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-------------------------------------------|-------------------------------|--------------------------|---------------------|--------------------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)                                  |                               |                          |                     |                                | (Box 2a)            |                           |                  | (Box 4)                     | (Box 15)           |
| <b>Long Term Sales Reported on 1099-B</b> |                               |                          |                     |                                |                     |                           |                  |                             |                    |
| 00508Y102                                 | ACUTY BRANDS INC              |                          |                     | AYI                            |                     |                           |                  |                             |                    |
| 340.0000                                  | 09/25/2013 Various            |                          |                     | 30,994.20                      | 14,284.57           | 0.00                      | 16,709.63        | 0.00                        | 0.00               |
| 018522300                                 | ALLETE INC                    |                          |                     | ALE                            |                     |                           |                  |                             |                    |
| 330.0000                                  | 10/21/2013 04/30/2009         |                          |                     | 16,484.90                      | 8,659.20            | 0.00                      | 7,825.70         | 0.00                        | 0.00               |
| 053774105                                 | AVIS BUDGET GROUP             |                          |                     | CAR                            |                     |                           |                  |                             |                    |
| 900.0000                                  | 04/23/2013 12/08/2010         |                          |                     | 25,533.24                      | 13,009.77           | 0.00                      | 12,523.47        | 0.00                        | 0.00               |
| 053774105                                 | AVIS BUDGET GROUP             |                          |                     | CAR                            |                     |                           |                  |                             |                    |
| 10.0000                                   | 05/07/2013 12/08/2010         |                          |                     | 309.43                         | 144.55              | 0.00                      | 164.88           | 0.00                        | 0.00               |
| 05615F102                                 | BABCOCK & WILCOX              |                          |                     | BWC                            |                     |                           |                  |                             |                    |
| 715.0000                                  | 10/21/2013 Various            |                          |                     | 23,534.24                      | 15,574.00           | 0.00                      | 7,960.24         | 0.00                        | 0.00               |
| 08173R104                                 | BENEFICIAL MUTUAL BANCORP INC |                          |                     | BNCL                           |                     |                           |                  |                             |                    |
| 1080.0000                                 | 07/17/2013 Various            |                          |                     | 9,362.89                       | 12,113.06           | 0.00                      | -2,750.17        | 0.00                        | 0.00               |
| 08173R104                                 | BENEFICIAL MUTUAL BANCORP INC |                          |                     | BNCL                           |                     |                           |                  |                             |                    |
| 380.0000                                  | 07/18/2013 04/11/2008         |                          |                     | 3,380.72                       | 3,770.85            | 0.00                      | -390.13          | 0.00                        | 0.00               |

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# 2013 Tax Information Statement

Page 17 of 31  
Ref: 11

Account Number: 0088504  
 Recipient's Tax ID Number: XX-XXX5974  
 Payer's Federal ID Number: 04-2233412  
 Payer's State ID Number: MA  
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 ROPES & GRAY LLP FIDUCIARY ACCOUNT  
 800 BOYLSTON ST, PRUDENTIAL TOWER  
 BOSTON, MA 02199-3600

Recipient's Name and Address:  
 SWARTZ FOUNDATION  
 C/O ROPES & GRAY LLP PCG/TRUST  
 800 BOYLSTON ST, 30/051  
 800 BOYLSTON ST  
 BOSTON, MA 02199-3600

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip         | Description (Box 8)               | Stock or Other Symbol (Box 1d) | Stocks, Bonds, etc. (Box 2a) | Cost or Other Basis (Box 4) | Net Gain or Loss (Box 15) | Federal Income Tax Withheld | State Tax Withheld |
|---------------|-----------------------------------|--------------------------------|------------------------------|-----------------------------|---------------------------|-----------------------------|--------------------|
| Quantity Sold | Date of Sale or Exchange          |                                |                              |                             |                           |                             |                    |
| (Box 1e)      | (Box 1a)                          |                                |                              |                             |                           |                             |                    |
| 11133T103     | BROADRIDGE FINL SOLUTIONS INC     | BR                             | 43,411.93                    | 24,229.20                   | 19,182.73                 | 0.00                        | 0.00               |
| 1310 0000     | Various                           |                                |                              |                             |                           |                             |                    |
| 144577103     | CARRIZO OIL & GAS INC             | CRZO                           | 6,569.24                     | 10,156.62                   | -3,587.38                 | 0.00                        | 0.00               |
| 310.0000      | 01/31/2013 12/22/2010             |                                |                              |                             |                           |                             |                    |
| 167250109     | CHICAGO BRIDGE & IRON COMPANY ADR | CBI                            | 19,907.46                    | 11,305.80                   | 8,601.66                  | 0.00                        | 0.00               |
| 330 0000      | 07/09/2013 04/27/2007             |                                |                              |                             |                           |                             |                    |
| 167250109     | CHICAGO BRIDGE & IRON COMPANY ADR | CBI                            | 34,175.82                    | 15,759.60                   | 18,416.22                 | 0.00                        | 0.00               |
| 460 0000      | 10/21/2013 04/27/2007             |                                |                              |                             |                           |                             |                    |
| 17273K109     | CIRCOR INTL INC                   | CIR                            | 31,909.55                    | 18,090.00                   | 13,819.55                 | 0.00                        | 0.00               |
| 500.0000      | 10/21/2013 04/27/2007             |                                |                              |                             |                           |                             |                    |
| 20451N101     | COMPASS MINERALS                  | CMP                            | 19,606.53                    | 16,124.86                   | 3,481.67                  | 0.00                        | 0.00               |
| 220.0000      | 07/29/2013 Various                |                                |                              |                             |                           |                             |                    |
| 247850100     | DELTIC TIMBER CORP                | DEL                            | 25,514.85                    | 20,804.40                   | 4,710.45                  | 0.00                        | 0.00               |
| 390 0000      | 10/21/2013 Various                |                                |                              |                             |                           |                             |                    |
| 24869P104     | DENNY'S CORPORATION               | DENN                           | 15,915.02                    | 8,011.12                    | 7,903.90                  | 0.00                        | 0.00               |
| 2480.0000     | 10/21/2013 Various                |                                |                              |                             |                           |                             |                    |
| 254423106     | DINEEQUITY INC                    | DIN                            | 33,461.94                    | 27,374.60                   | 6,087.34                  | 0.00                        | 0.00               |
| 460.0000      | 10/21/2013 04/27/2007             |                                |                              |                             |                           |                             |                    |
| 261608103     | DRESSER-RAND GRO                  | DRC                            | 22,266.47                    | 12,072.97                   | 10,193.50                 | 0.00                        | 0.00               |
| 350 0000      | 07/24/2013 11/01/2010             |                                |                              |                             |                           |                             |                    |

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# 2013 Tax Information Statement

Page 18 of 31  
Ref: 11

Account Number: 0088504  
Recipient's Name and Address:  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Recipient's Tax ID Number: XX-XXX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ 2nd TIN notice

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

☐ Corrected

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| Cusip     | Description (Box 8)                  | Date of Sale or Exchange | Quantity Sold | Stock or Other Symbol (Box 1d) | Cost or Other Basis | Wash Sale Loss Disallowed | Nat'l Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|--------------------------------------|--------------------------|---------------|--------------------------------|---------------------|---------------------------|--------------------|-----------------------------|--------------------|
| (Box 1e)  | (Box 1a)                             | (Box 1c)                 | (Box 1f)      | (Box 2a)                       | (Box 4)             | (Box 15)                  | (Box 15)           | (Box 15)                    | (Box 15)           |
| 29355X107 | ENPRO INDUSTRIES INC                 | 10/21/2013               | Various       | NPO                            | 16,777.20           | 0.00                      | 12,204.17          | 0.00                        | 0.00               |
| 480.0000  |                                      |                          |               |                                |                     |                           |                    |                             |                    |
| 31847R102 | FIRST AMERICAN FINANCIAL CORPORATION | 10/21/2013               | Various       | FAF                            | 26,627.69           | 0.00                      | 6,069.23           | 0.00                        | 0.00               |
| 1270.0000 |                                      |                          |               |                                |                     |                           |                    |                             |                    |
| 33582V108 | FIRST NIAGARA FINANCIAL GRP          | 03/27/2013               | Various       | FNFG                           | 18,736.13           | 0.00                      | -5,689.17          | 0.00                        | 0.00               |
| 1480.0000 |                                      |                          |               |                                |                     |                           |                    |                             |                    |
| 337915102 | FIRSTMERIT CORP                      | 10/21/2013               | Various       | FMER                           | 21,142.94           | 0.00                      | 4,803.21           | 0.00                        | 0.00               |
| 1110.0000 |                                      |                          |               |                                |                     |                           |                    |                             |                    |
| 343498101 | FLOWERS FOODS INC                    | 01/31/2013               | 08/11/2008    | FLO                            | 6,774.81            | 0.00                      | 1,830.33           | 0.00                        | 0.00               |
| 320.0000  |                                      |                          |               |                                |                     |                           |                    |                             |                    |
| 343498101 | FLOWERS FOODS INC                    | 10/21/2013               | Various       | FLO                            | 21,062.69           | 0.00                      | 21,251.57          | 0.00                        | 0.00               |
| 1770.0000 |                                      |                          |               |                                |                     |                           |                    |                             |                    |
| 34354P105 | FLOWERVE CORP                        | 02/22/2013               | 04/27/2007    | FLS                            | 13,413.40           | 0.00                      | 21,971.57          | 0.00                        | 0.00               |
| 220.0000  |                                      |                          |               |                                |                     |                           |                    |                             |                    |
| 346233109 | FORESTAR GROUP INC                   | 10/21/2013               | Various       | FOR                            | 15,518.02           | 0.00                      | -438.29            | 0.00                        | 0.00               |
| 650.0000  |                                      |                          |               |                                |                     |                           |                    |                             |                    |
| 350060109 | FOSTER LB COMPANY                    | 10/21/2013               | Various       | FSTR                           | 8,599.80            | 0.00                      | 8,067.43           | 0.00                        | 0.00               |
| 350.0000  |                                      |                          |               |                                |                     |                           |                    |                             |                    |
| 410345102 | HANESBRANDS INC                      | 02/13/2013               | 04/27/2007    | HBI                            | 7,980.80            | 0.00                      | 3,669.45           | 0.00                        | 0.00               |
| 290.0000  |                                      |                          |               |                                |                     |                           |                    |                             |                    |

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# 2013 Tax Information Statement

Account Number: 0088504  
Recipient's Name and Address:  
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800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Recipient's Tax ID Number: XX-XXX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ 2nd TIN notice

Payer's Name and Address:  
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800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

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| Cusip     | Quantity Sold | Description (Box 8)<br>Date of Sale or Exchange | Date of Acquisition   | Stock or Other Symbol (Box 1d) |                                 | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|---------------|-------------------------------------------------|-----------------------|--------------------------------|---------------------------------|---------------------------|------------------|-----------------------------|--------------------|
|           |               |                                                 |                       | (Box 2a)<br>Bonds, etc.        | (Box 1d)<br>Cost or Other Basis |                           |                  |                             |                    |
| 410345102 | 220.0000      | HANESBRANDS INC                                 | 09/18/2013 04/27/2007 | HBI                            | 13,913.19                       | 6,054.40                  | 0.00             | 7,858.79                    | 0.00               |
| 410345102 | 620.0000      | HANESBRANDS INC                                 | 10/21/2013 Various    | HBI                            | 39,443.71                       | 16,766.50                 | 0.00             | 22,677.21                   | 0.00               |
| 410867105 | 410.0000      | HANOVER INSURANCE GROUP INC                     | 10/21/2013 10/14/2008 | THG                            | 23,883.33                       | 15,465.20                 | 0.00             | 8,418.13                    | 0.00               |
| 431475102 | 940.0000      | HILL-ROM HOLDING                                | 10/21/2013 Various    | HRC                            | 36,537.79                       | 22,563.45                 | 0.00             | 13,974.34                   | 0.00               |
| 450828108 | 410.0000      | IBERIABANK CORP                                 | 10/21/2013 Various    | IBKC                           | 23,483.20                       | 18,387.58                 | 0.00             | 5,095.62                    | 0.00               |
| 483007704 | 500.0000      | KAISER ALUMINUM CORP                            | 10/21/2013 Various    | KALU                           | 31,555.94                       | 29,917.82                 | 0.00             | 1,638.12                    | 0.00               |
| 485170302 | 190.0000      | KANSAS CITY SOUTHERN                            | 02/13/2013 04/27/2007 | KSU                            | 18,361.58                       | 7,061.51                  | 0.00             | 11,300.07                   | 0.00               |
| 50060P106 | 270.0000      | KOPPERS HOLDINGS INC                            | 10/21/2013 05/13/2010 | KOP                            | 11,624.72                       | 8,746.79                  | 0.00             | 2,877.93                    | 0.00               |
| 580037109 | 410.0000      | MCDERMOTT INTERNATIONAL INC                     | 03/05/2013 01/07/2009 | MDR                            | 4,291.58                        | 2,532.51                  | 0.00             | 1,759.07                    | 0.00               |
| 667340103 | 1200.0000     | NORTHWEST BANCSHARES INC                        | 10/21/2013 Various    | NWBI                           | 16,727.97                       | 13,657.19                 | 0.00             | 3,070.78                    | 0.00               |

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# 2013 Tax Information Statement

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Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number:

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04-2233412

Recipient's Tax ID Number:

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(617)951-7706

Payer's State ID Number:

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☐ 2nd TIN notice

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800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

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| Cusip            | Description (Box 8)            | Stock or Other Symbol (Box 1d) | Stocks<br>Bonds etc. | Cost or<br>Other Basis | Wash Sale<br>Loss Disallowed | Net Gain<br>or Loss | Federal<br>Income<br>Tax Withheld | State<br>Tax<br>Withheld |
|------------------|--------------------------------|--------------------------------|----------------------|------------------------|------------------------------|---------------------|-----------------------------------|--------------------------|
| Quantity<br>Sold | Date of<br>Sale or<br>Exchange | Acquisition                    | (Box 1a)             | (Box 2a)               |                              | (Box 4)             | (Box 15)                          |                          |
| 703395103        | PATTERSON COS INC              |                                | PDCO                 |                        |                              |                     |                                   |                          |
| 630.0000         | 10/21/2013                     | 04/06/2009                     | 26,316.14            | 11,736.90              | 0.00                         | 14,579.24           | 0.00                              | 0.00                     |
| 693320202        | PHH CORP                       |                                | PHH                  |                        |                              |                     |                                   |                          |
| 940.0000         | 05/07/2013                     | Various                        | 18,929.11            | 19,091.78              | 0.00                         | -162.67             | 0.00                              | 0.00                     |
| 758750103        | REGAL BELOIT CORP              |                                | RBC                  |                        |                              |                     |                                   |                          |
| 220.0000         | 10/21/2013                     | 11/19/2010                     | 15,992.22            | 12,546.38              | 0.00                         | 3,445.84            | 0.00                              | 0.00                     |
| 79546E104        | SALLY BEAUTY CO-W/I            |                                | SBH                  |                        |                              |                     |                                   |                          |
| 110.0000         | 10/21/2013                     | 01/22/2010                     | 2,872.93             | 976.80                 | 0.00                         | 1,896.13            | 0.00                              | 0.00                     |
| 896522109        | TRINITY INDUSTRIES INC         |                                | TRN                  |                        |                              |                     |                                   |                          |
| 80.0000          | 07/24/2013                     | 08/11/2010                     | 2,956.97             | 1,441.80               | 0.00                         | 1,515.17            | 0.00                              | 0.00                     |
| 896522109        | TRINITY INDUSTRIES INC         |                                | TRN                  |                        |                              |                     |                                   |                          |
| 510.0000         | 09/12/2013                     | 08/11/2010                     | 22,817.20            | 9,191.51               | 0.00                         | 13,625.69           | 0.00                              | 0.00                     |
| 91879Q109        | VAIL RESORTS INC               |                                | MTN                  |                        |                              |                     |                                   |                          |
| 520.0000         | 10/21/2013                     | 08/15/2008                     | 36,427.12            | 23,108.80              | 0.00                         | 13,318.32           | 0.00                              | 0.00                     |
| 92240G101        | VECTREN CORP                   |                                | VVC                  |                        |                              |                     |                                   |                          |
| 740.0000         | 10/21/2013                     | 01/21/2009                     | 25,341.55            | 18,640.60              | 0.00                         | 6,700.95            | 0.00                              | 0.00                     |
| 929740108        | WABTEC CORP                    |                                | WAB                  |                        |                              |                     |                                   |                          |
| 700.0000         | 10/21/2013                     | 04/27/2007                     | 46,005.40            | 13,345.89              | 0.00                         | 32,659.51           | 0.00                              | 0.00                     |
| 96208T104        | WEX INC                        |                                | WEX                  |                        |                              |                     |                                   |                          |
| 480.0000         | 10/21/2013                     | 04/27/2007                     | 42,017.03            | 15,331.20              | 0.00                         | 26,685.83           | 0.00                              | 0.00                     |

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# 2013 Tax Information Statement

Page 21 of 31  
Ref: 11

## Recipient's Name and Address:

SWARTZ FOUNDATION  
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800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

0088504

XX-XXX5974

04-2233412

MA

(617)951-7706

☐ 2nd TIN notice

## Account Number:

Recipient's Tax ID Number:

Payer's Federal ID Number:

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State:

Questions?

☐ Corrected

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| Cusip                                    | Description (Box 8)    | Quantity Sold | Date of Sale or Exchange | Date of Acquisition | Stock or Other Symbol (Box 1d) |            | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|------------------------------------------|------------------------|---------------|--------------------------|---------------------|--------------------------------|------------|---------------------------|------------------|-----------------------------|--------------------|
|                                          |                        |               |                          |                     | (Box 1a)                       | (Box 2a)   |                           |                  |                             |                    |
| 98310W108                                | WYNDHAM WORLDWIDE CORP |               |                          |                     |                                |            |                           |                  |                             |                    |
| 390.0000                                 | 06/24/2013 Various     |               |                          |                     | 21,166.41                      | 13,792.50  | 0.00                      | 7,373.91         | 0.00                        | 0.00               |
| Total Long Term Sales Reported on 1099-B |                        |               |                          |                     | 1,073,376.50                   | 668,475.76 | 0.00                      | 404,900.74       | 0.00                        | 0.00               |

Report on Form 8949, Part II, with Box E checked

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BOSTON, MA 02199-3600

☐ 2nd TIN notice

## 2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip                               | Description (Box 8)               |                     | Stock or Other Symbol (Box 1d) |                     |                           |                  |                             |                    |  |  |  |  |  |
|-------------------------------------|-----------------------------------|---------------------|--------------------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|--|--|--|--|--|
| Quantity Sold                       | Date of Sale or Exchange          | Date of Acquisition | Stocks, Bonds, etc.            | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |  |  |  |  |  |
| (Box 1e)                            | (Box 1a)                          | (Box 1b)            | (Box 2a)                       | (Box 3)             | (Box 5)                   | (Box 4)          | (Box 15)                    |                    |  |  |  |  |  |
| Short Term Sales Reported on 1099-B |                                   |                     |                                |                     |                           |                  |                             |                    |  |  |  |  |  |
| 04269X105                           | ARRAY BIOPHARMA INC               |                     | ARRAY                          |                     |                           |                  |                             |                    |  |  |  |  |  |
| 2500.0000                           | 10/21/2013                        | Various             | 13,251.01                      | 15,634.20           | 0.00                      | -2,383.19        | 0.00                        | 0.00               |  |  |  |  |  |
| 04270V106                           | ARRIS GROUP INC                   |                     | 04270V                         |                     |                           |                  |                             |                    |  |  |  |  |  |
| 700.0000                            | 10/21/2013                        | 06/19/2013          | 11,733.77                      | 10,390.49           | 0.00                      | 1,343.28         | 0.00                        | 0.00               |  |  |  |  |  |
| 049513104                           | ATMEL CORP                        |                     | ATML                           |                     |                           |                  |                             |                    |  |  |  |  |  |
| 1500.0000                           | 10/21/2013                        | 06/11/2013          | 10,876.95                      | 11,834.97           | 0.00                      | -958.02          | 0.00                        | 0.00               |  |  |  |  |  |
| 124765108                           | CAE INC                           |                     | CAE                            |                     |                           |                  |                             |                    |  |  |  |  |  |
| 1100.0000                           | 10/21/2013                        | 05/14/2013          | 11,970.13                      | 11,872.63           | 0.00                      | 97.50            | 0.00                        | 0.00               |  |  |  |  |  |
| 167250109                           | CHICAGO BRIDGE & IRON COMPANY ADR |                     | CBI                            |                     |                           |                  |                             |                    |  |  |  |  |  |
| 7214                                | 02/26/2013                        | 02/13/2013          | 37.31                          | 37.92               | 0.00                      | -0.61            | 0.00                        | 0.00               |  |  |  |  |  |
| 167250109                           | CHICAGO BRIDGE & IRON COMPANY ADR |                     | CBI                            |                     |                           |                  |                             |                    |  |  |  |  |  |
| 74.0000                             | 06/18/2013                        | 02/13/2013          | 4,468.85                       | 3,890.18            | 0.00                      | 578.67           | 0.00                        | 0.00               |  |  |  |  |  |
| 29269A102                           | ENDOCYTE INC                      |                     | ECYT                           |                     |                           |                  |                             |                    |  |  |  |  |  |
| 950.0000                            | 10/21/2013                        | 07/16/2013          | 10,734.02                      | 16,316.11           | 0.00                      | -5,582.09        | 0.00                        | 0.00               |  |  |  |  |  |
| H27178104                           | FOSTER WHEELER AG                 |                     | FWLT                           |                     |                           |                  |                             |                    |  |  |  |  |  |
| 450.0000                            | 10/21/2013                        | 12/12/2012          | 12,523.54                      | 10,802.25           | 0.00                      | 1,721.29         | 0.00                        | 0.00               |  |  |  |  |  |

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## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088505  
XX-XXX5974

## Recipient's Tax ID Number:

04-2233412

## Payer's State ID Number:

MA

## State:

(617)951-7706

## Questions?

☐ Corrected

☐ 2nd TIN notice

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Covered (Box 6a is not checked)

| Cusip         | Description (Box 8)         |                     | Stock or Other Symbol (Box 1d) |                     |                           |                  |                             |                    |  |  |  |  |  |  |  |  |
|---------------|-----------------------------|---------------------|--------------------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|--|--|--|--|--|--|--|--|
| Quantity Sold | Date of Sale or Exchange    | Date of Acquisition | Stocks, Bonds, etc.            | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |  |  |  |  |  |  |  |  |
| (Box 1e)      | (Box 1a)                    | (Box 1b)            | (Box 2a)                       | (Box 3)             | (Box 5)                   | (Box 4)          | (Box 15)                    |                    |  |  |  |  |  |  |  |  |
| 364730101     | GANNETT INC                 |                     | GCI                            |                     |                           |                  |                             |                    |  |  |  |  |  |  |  |  |
| 50.0000       | 10/21/2013                  | 12/12/2012          | 1,275.34                       | 911.00              | 0.00                      | 364.34           | 0.00                        | 0.00               |  |  |  |  |  |  |  |  |
| 52729N308     | LEVEL 3 COMMUNICATIONS, INC |                     | LVL                            |                     |                           |                  |                             |                    |  |  |  |  |  |  |  |  |
| 300.0000      | 10/21/2013                  | 12/12/2012          | 8,230.63                       | 6,240.00            | 0.00                      | 1,990.63         | 0.00                        | 0.00               |  |  |  |  |  |  |  |  |
| 502161102     | LSI CORP                    |                     | LSI                            |                     |                           |                  |                             |                    |  |  |  |  |  |  |  |  |
| 1700.0000     | 10/21/2013                  | 07/15/2013          | 13,365.88                      | 12,845.12           | 0.00                      | 520.76           | 0.00                        | 0.00               |  |  |  |  |  |  |  |  |
| 580037109     | MCDERMOTT INTERNATIONAL INC |                     | MDR                            |                     |                           |                  |                             |                    |  |  |  |  |  |  |  |  |
| 1800.0000     | 10/21/2013                  | 02/05/2013          | 13,397.97                      | 21,913.36           | 0.00                      | -8,515.39        | 0.00                        | 0.00               |  |  |  |  |  |  |  |  |
| 584688105     | MEDICINES CO                |                     | MDCO                           |                     |                           |                  |                             |                    |  |  |  |  |  |  |  |  |
| 400.0000      | 10/21/2013                  | 12/12/2012          | 12,847.77                      | 8,847.20            | 0.00                      | 4,000.57         | 0.00                        | 0.00               |  |  |  |  |  |  |  |  |
| 62913F201     | NII HOLDINGS INC            |                     | NIHD                           |                     |                           |                  |                             |                    |  |  |  |  |  |  |  |  |
| 450.0000      | 10/21/2013                  | 06/14/2013          | 2,334.56                       | 3,214.07            | 0.00                      | -879.51          | 0.00                        | 0.00               |  |  |  |  |  |  |  |  |
| 749941100     | RF MICRO DEVICES INC        |                     | RFMD                           |                     |                           |                  |                             |                    |  |  |  |  |  |  |  |  |
| 3800.0000     | 10/21/2013                  | Various             | 23,075.62                      | 18,364.91           | 0.00                      | 4,710.71         | 0.00                        | 0.00               |  |  |  |  |  |  |  |  |
| V7780T103     | ROYAL CARIBBEAN CRUISES LTD |                     | RCL                            |                     |                           |                  |                             |                    |  |  |  |  |  |  |  |  |
| 350.0000      | 10/21/2013                  | 04/10/2013          | 13,654.74                      | 11,609.12           | 0.00                      | 2,045.62         | 0.00                        | 0.00               |  |  |  |  |  |  |  |  |
| 835898107     | SOTHEBY'S (DELAWARE)        |                     | BID                            |                     |                           |                  |                             |                    |  |  |  |  |  |  |  |  |
| 200.0000      | 10/21/2013                  | 03/28/2013          | 10,367.29                      | 7,460.00            | 0.00                      | 2,907.29         | 0.00                        | 0.00               |  |  |  |  |  |  |  |  |

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. The taxpayer is ultimately responsible for the accuracy of their own tax return.

# 2013 Tax Information Statement

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088505  
XX-XXX5974  
04-2233412

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

State: MA

Questions? (617)951-7706

☐ Corrected

☐ 2nd TIN notice

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip |  | Description (Box 8) |  | Stock or Other Symbol (Box 1d) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. The taxpayer is ultimately responsible for the accuracy of their own tax return.

# 2013 Tax Information Statement

Page 10 of 28  
Ref: 11

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088505  
XX-XXX5974  
04-2233412

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

State: MA

Questions? (617)951-7706

☐ Corrected

☐ 2nd TIN notice

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip     | Quantity Sold | Description (Box 8)         | Date of Sale or Exchange | Date of Acquisition | Stock or Other Symbol (Box 7a) |                     |           |         | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|---------------|-----------------------------|--------------------------|---------------------|--------------------------------|---------------------|-----------|---------|---------------------------|------------------|-----------------------------|--------------------|
|           |               |                             |                          |                     | Stocks, Bonds, etc.            | Cost or Other Basis | (Box 3)   | (Box 5) |                           |                  |                             |                    |
| (Box 1e)  | (Box 1a)      | (Box 1b)                    |                          |                     | (Box 2a)                       |                     | (Box 3)   | (Box 5) |                           | (Box 4)          | (Box 15)                    |                    |
| 13321L108 |               | CAMECO CORP                 |                          |                     | CCJ                            |                     |           |         |                           |                  |                             |                    |
| 570 0000  |               | 10/21/2013                  | 01/09/2012               |                     | 10,372.10                      |                     | 10,573.50 | 0.00    |                           | -201.40          | 0.00                        | 0.00               |
| H27178104 |               | FOSTER WHEELER AG           |                          |                     | FWLT                           |                     |           |         |                           |                  |                             |                    |
| 630.0000  |               | 10/21/2013                  | 01/06/2012               |                     | 17,532.96                      |                     | 12,434.37 | 0.00    |                           | 5,098.59         | 0.00                        | 0.00               |
| 364730101 |               | GANNETT INC                 |                          |                     | GCI                            |                     |           |         |                           |                  |                             |                    |
| 1510.0000 |               | 10/21/2013                  | Various                  |                     | 38,515.38                      |                     | 21,686.28 | 0.00    |                           | 16,829.10        | 0.00                        | 0.00               |
| N47279109 |               | INTERXION HOLDING NV        |                          |                     | INXN                           |                     |           |         |                           |                  |                             |                    |
| 680.0000  |               | 10/21/2013                  | 09/13/2011               |                     | 15,959.32                      |                     | 8,055.16  | 0.00    |                           | 7,904.16         | 0.00                        | 0.00               |
| 47102X105 |               | JANUS CAPITAL GROUP INC     |                          |                     | JNS                            |                     |           |         |                           |                  |                             |                    |
| 1780 0000 |               | 10/21/2013                  | 05/10/2012               |                     | 16,915.75                      |                     | 13,198.08 | 0.00    |                           | 3,717.67         | 0.00                        | 0.00               |
| 46612J507 |               | JDS UNIPHASE CORP           |                          |                     | JDSU                           |                     |           |         |                           |                  |                             |                    |
| 1130.0000 |               | 10/21/2013                  | 04/12/2012               |                     | 18,231.85                      |                     | 14,937.79 | 0.00    |                           | 3,294.06         | 0.00                        | 0.00               |
| 52729N308 |               | LEVEL 3 COMMUNICATIONS, INC |                          |                     | LVL1                           |                     |           |         |                           |                  |                             |                    |
| 725 0000  |               | 10/21/2013                  | 04/19/2011               |                     | 19,890.69                      |                     | 16,557.59 | 0.00    |                           | 3,333.10         | 0.00                        | 0.00               |
| 62913F201 |               | NII HOLDINGS INC            |                          |                     | NIHD                           |                     |           |         |                           |                  |                             |                    |
| 1170.0000 |               | 10/21/2013                  | Various                  |                     | 6,069.85                       |                     | 19,149.74 | 0.00    |                           | -13,079.89       | 0.00                        | 0.00               |
| 656844107 |               | NORTH AMERN ENERGY PARTNERS |                          |                     | NOA                            |                     |           |         |                           |                  |                             |                    |
| 860 0000  |               | 03/15/2013                  | 01/30/2012               |                     | 3,901.94                       |                     | 5,573.53  | 0.00    |                           | -1,671.59        | 0.00                        | 0.00               |

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# 2013 Tax Information Statement

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

Recipient's Tax ID Number: 0088505  
XX-XXX5974  
Payer's Federal ID Number: 04-2233412

## Payer's State ID Number:

State: MA  
Questions? (617)951-7706

☐ Corrected

☐ 2nd TIN notice

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip     | Description (Box 8)                      | Date of Sale or Exchange (Box 1a) | Date of Acquisition (Box 1b) | Stock or Other Symbol (Box 1d) | Stocks, Bonds, etc. (Box 2a) | Cost or Other Basis (Box 3) | Wash Sale Loss Disallowed (Box 5) | Net Gain or Loss (Box 4) | Federal Income Tax Withheld (Box 15) |
|-----------|------------------------------------------|-----------------------------------|------------------------------|--------------------------------|------------------------------|-----------------------------|-----------------------------------|--------------------------|--------------------------------------|
| G67743107 | ORIENT-EXPRESS HOTELS LTD                | 10/21/2013                        | 03/07/2012                   | OEH                            | 16,670.26                    | 11,405.09                   | 0.00                              | 5,265.17                 | 0.00                                 |
| V7780T103 | ROYAL CARIBBEAN CRUISES LTD              | 10/21/2013                        | Various                      | RCL                            | 28,870.02                    | 20,109.52                   | 0.00                              | 8,760.50                 | 0.00                                 |
| 820280105 | SHAW GROUP INC                           | 02/13/2013                        | 01/07/2011                   | SHAW                           | 27,708.10                    | 19,315.60                   | 0.00                              | 8,392.50                 | 0.00                                 |
| 835898107 | SOTHEBY'S (DELAWARE)                     | 10/21/2013                        | Various                      | BID                            | 37,322.25                    | 24,332.87                   | 0.00                              | 12,989.38                | 0.00                                 |
| 879433829 | TELEPHONE AND DATA SYSTEMS INC           | 10/21/2013                        | 08/23/2012                   | TDS                            | 18,517.67                    | 14,885.25                   | 0.00                              | 3,632.42                 | 0.00                                 |
| 620.0000  | THE MOSAIC COMPANY                       | 10/21/2013                        | 06/30/2011                   | MOS                            | 10,245.22                    | 14,676.71                   | 0.00                              | -4,431.49                | 0.00                                 |
| 61945C103 | TRIMBLE NAVIGATION LTD                   | 10/21/2013                        | 06/30/2011                   | TRMB                           | 16,993.41                    | 10,940.85                   | 0.00                              | 6,052.56                 | 0.00                                 |
| 904677200 | UNIFI INC                                | 10/21/2013                        | 01/19/2011                   | UFI                            | 7,439.35                     | 5,458.60                    | 0.00                              | 1,980.75                 | 0.00                                 |
| 320.0000  | UNITED STATES STEEL CORP                 | 04/02/2013                        | 03/07/2011                   | X                              | 3,417.33                     | 10,521.04                   | 0.00                              | -7,103.71                | 0.00                                 |
| 912909108 | UNITED STATES STEEL CORP                 | 04/02/2013                        | 03/07/2011                   | X                              | 344,406.73                   | 276,023.80                  | 0.00                              | 68,382.93                | 0.00                                 |
| 190 0000  | Total Long Term Sales Reported on 1099-B |                                   |                              |                                |                              |                             |                                   |                          |                                      |

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Covered (Box 6a is not checked)

| Cusip    | Description (Box 8) | Date of<br>Sale or<br>Exchange | Date of<br>Acquisition | Stock or Other Symbol (Box 9d) |                        |                 |                     |                                   | Wash Sale<br>Loss Disallowed | Federal<br>Income<br>Tax Withheld | State<br>Tax<br>Withheld |
|----------|---------------------|--------------------------------|------------------------|--------------------------------|------------------------|-----------------|---------------------|-----------------------------------|------------------------------|-----------------------------------|--------------------------|
|          |                     |                                |                        | Stocks,<br>Bonds, etc.         | Cost or<br>Other Basis | Gain or<br>Loss | Net Gain<br>or Loss | Federal<br>Income<br>Tax Withheld |                              |                                   |                          |
| (Box 1e) | (Box 1a)            | (Box 1b)                       |                        | (Box 2a)                       | (Box 3)                | (Box 5)         | (Box 4)             | (Box 15)                          |                              |                                   |                          |

Report on Form 8949, Part II, with Box D checked

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800 BOYLSTON ST, PRUDENTIAL TOWER  
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## 2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds, etc., less commissions and option premiums.

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip                              | Description (Box 8)      | Stock or Other Symbol (Box 1d) |                     |                     |                           |                  |                    |           |          |  |
|------------------------------------|--------------------------|--------------------------------|---------------------|---------------------|---------------------------|------------------|--------------------|-----------|----------|--|
| Quantity Sold                      | Date of Sale or Exchange | Date of Acquisition            | Stocks, Bonds, etc. | Cost or Other Basis | Wash Sale Loss Disallowed | Nat Gain or Loss | Federal Income Tax | State Tax | Withheld |  |
| (Box 1e)                           | (Box 1a)                 |                                | (Box 2a)            |                     |                           |                  | (Box 4)            | (Box 15)  |          |  |
| Long Term Sales Reported on 1099-B |                          |                                |                     |                     |                           |                  |                    |           |          |  |
| 00164V103                          | AMC NETWORKS-A           |                                | AMCX                |                     |                           |                  |                    |           |          |  |
| 312.0000                           | 10/21/2013               | Various                        | 22,104.45           | 5,677.73            | 0.00                      | 16,426.72        | 0.00               | 0.00      | 0.00     |  |
| 04270V106                          | ARRIS GROUP INC          |                                | 04270V              |                     |                           |                  |                    |           |          |  |
| 1410.0000                          | 10/21/2013               | 08/25/2008                     | 23,635.16           | 13,310.40           | 0.00                      | 10,324.76        | 0.00               | 0.00      | 0.00     |  |
| 049513104                          | ATMEL CORP               |                                | ATML                |                     |                           |                  |                    |           |          |  |
| 5590.0000                          | 10/21/2013               | Various                        | 40,534.78           | 21,299.77           | 0.00                      | 19,235.01        | 0.00               | 0.00      | 0.00     |  |
| 053807103                          | AVNET INC                |                                | AVT                 |                     |                           |                  |                    |           |          |  |
| 1000.0000                          | 10/21/2013               | Various                        | 42,171.26           | 21,840.75           | 0.00                      | 20,330.51        | 0.00               | 0.00      | 0.00     |  |
| 080555105                          | BELO CORPORATION         |                                | BLC                 |                     |                           |                  |                    |           |          |  |
| 1550.0000                          | 10/21/2013               | Various                        | 21,220.30           | 4,666.00            | 0.00                      | 16,554.30        | 0.00               | 0.00      | 0.00     |  |
| 109696104                          | BRINKS CO                |                                | BCO                 |                     |                           |                  |                    |           |          |  |
| 490.0000                           | 02/05/2013               | 08/30/2010                     | 13,124.30           | 9,650.59            | 0.00                      | 3,473.71         | 0.00               | 0.00      | 0.00     |  |
| 12686C109                          | CABLEVISION NY GROUP CLA |                                | CVC                 |                     |                           |                  |                    |           |          |  |
| 1250.0000                          | 10/21/2013               | Various                        | 19,438.93           | 13,248.27           | 0.00                      | 6,190.66         | 0.00               | 0.00      | 0.00     |  |

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Page 15 of 28

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Recipient's Name and Address:

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800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

0088505

XX-XXX5974

04-2233412

MA

(617)951-7706

☐ 2nd TIN notice

Account Number:

Recipient's Tax ID Number:

Payer's Federal ID Number:

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State:

Questions?

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BOSTON, MA 02199-3600

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| Cusip     | Quantity Sold | Description (Box 8)<br>Date of Sale or Exchange | (Box 1a)<br>Date of Acquisition | Stock or Other Symbol (Box 1d) |        | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|---------------|-------------------------------------------------|---------------------------------|--------------------------------|--------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
|           |               |                                                 |                                 | Bonds, etc.                    | Stocks |                     |                           |                  |                             |                    |
| (Box 1e)  |               |                                                 |                                 | (Box 2a)                       |        |                     |                           |                  | (Box 4)                     | (Box 15)           |
| 423452101 |               | HELMERICH & PAYNE INC                           | HP                              |                                |        |                     |                           |                  |                             |                    |
| 700.0000  |               | 10/21/2013 Various                              |                                 | 53,582.48                      |        | 8,845.00            | 0.00                      | 44,737.48        | 0.00                        | 0.00               |
| 428291108 |               | HEXCEL CORP                                     | HXL                             |                                |        |                     |                           |                  |                             |                    |
| 1130.0000 |               | 10/21/2013 Various                              |                                 | 46,038.42                      |        | 24,108.48           | 0.00                      | 21,929.94        | 0.00                        | 0.00               |
| 44919P508 |               | IAC INTERACTIVE CORP                            | IACI                            |                                |        |                     |                           |                  |                             |                    |
| 420.0000  |               | 10/21/2013 Various                              |                                 | 23,232.02                      |        | 6,856.39            | 0.00                      | 16,375.63        | 0.00                        | 0.00               |
| 45253H101 |               | IMMUNOGEN INC                                   | IMGN                            |                                |        |                     |                           |                  |                             |                    |
| 830.0000  |               | 10/21/2013 Various                              |                                 | 13,736.26                      |        | 6,822.75            | 0.00                      | 6,913.51         | 0.00                        | 0.00               |
| 462044108 |               | ION GEOPHYSICAL CORP                            | IO                              |                                |        |                     |                           |                  |                             |                    |
| 1700.0000 |               | 06/14/2013 Various                              |                                 | 10,184.00                      |        | 24,791.58           | 0.00                      | -14,607.58       | 0.00                        | 0.00               |
| 464330109 |               | ISIS PHARMACEUTICALS                            | ISIS                            |                                |        |                     |                           |                  |                             |                    |
| 1550.0000 |               | 10/21/2013 Various                              |                                 | 50,237.24                      |        | 20,004.48           | 0.00                      | 30,232.76        | 0.00                        | 0.00               |
| 485170302 |               | KANSAS CITY SOUTHERN                            | KSU                             |                                |        |                     |                           |                  |                             |                    |
| 530.0000  |               | 10/21/2013 Various                              |                                 | 61,614.74                      |        | 8,213.53            | 0.00                      | 53,401.21        | 0.00                        | 0.00               |
| 512807108 |               | LAM RESEARCH CORP                               | LRCX                            |                                |        |                     |                           |                  |                             |                    |
| 200.0000  |               | 06/17/2013 10/06/2004                           |                                 | 9,566.86                       |        | 4,588.00            | 0.00                      | 4,978.86         | 0.00                        | 0.00               |
| 512807108 |               | LAM RESEARCH CORP                               | LRCX                            |                                |        |                     |                           |                  |                             |                    |
| 1526.0000 |               | 10/21/2013 Various                              |                                 | 82,399.65                      |        | 33,458.08           | 0.00                      | 48,941.57        | 0.00                        | 0.00               |
| 517834107 |               | LAS VEGAS SANDS CORP                            | LVS                             |                                |        |                     |                           |                  |                             |                    |
| 1440.0000 |               | 10/21/2013 Various                              |                                 | 104,071.95                     |        | 5,373.44            | 0.00                      | 98,698.51        | 0.00                        | 0.00               |

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2013 Tax Information Statement

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800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

Account Number: 0088505  
Recipient's Tax ID Number: XX-XXX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ Corrected ☐ 2nd TIN notice

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| Cusip     | Description (Box 2)           | Date of Sale or Exchange | Acquisition | Stock or Other Symbol (Box 1d) | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|-------------------------------|--------------------------|-------------|--------------------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)  | (Box 1a)                      | (Box 1b)                 | (Box 1c)    | (Box 2a)                       | (Box 3a)            | (Box 3b)                  | (Box 3c)         | (Box 4)                     | (Box 15)           |
| G54050102 | LAZARD LTD CL A               | 10/21/2013               | 05/09/2008  | LAZ                            | 19,215.10           | 18,210.00                 | 1,005.10         | 0.00                        | 0.00               |
| 531229102 | LIBERTY MEDIA CORP - LIBER-A  | 10/21/2013               | 04/17/2009  | LMCA                           | 46,958.03           | 2,917.13                  | 44,040.90        | 0.00                        | 0.00               |
| 502161102 | LSI CORP                      | 10/21/2013               | Various     | LSI                            | 25,866.91           | 13,314.68                 | 12,552.23        | 0.00                        | 0.00               |
| 55826P100 | MADISON SQUARE GARDEN CO CL A | 10/21/2013               | Various     | MSG                            | 18,036.57           | 4,227.12                  | 13,809.45        | 0.00                        | 0.00               |
| 312 0000  | MEADWESTVACO CORP             | 07/12/2013               | 10/01/2004  | MWV                            | 12,576.34           | 9,935.83                  | 2,640.51         | 0.00                        | 0.00               |
| 583334107 | MEADWESTVACO CORP             | 10/21/2013               | Various     | MWV                            | 11,462.82           | 7,728.02                  | 3,734.80         | 0.00                        | 0.00               |
| 62855J104 | MYRIAD GENETICS INC           | 10/21/2013               | Various     | MYGN                           | 25,305.37           | 8,859.10                  | 16,446.27        | 0.00                        | 0.00               |
| 1050.0000 | ONYX PHARMACEUTICALS INC      | 10/02/2013               | Various     | ONXX                           | 85,000.00           | 17,088.07                 | 67,911.93        | 0.00                        | 0.00               |
| 683399109 | ORIENT-EXPRESS HOTELS LTD     | 10/21/2013               | Various     | OEH                            | 34,153.70           | 25,042.45                 | 9,111.25         | 0.00                        | 0.00               |
| 680.0000  | PALL CORP                     | 10/21/2013               | Various     | PLL                            | 64,915.55           | 19,496.50                 | 45,419.05        | 0.00                        | 0.00               |

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| Cusip     | Description (Box 8)           | Date of Sale or Exchange | Quantity Sold (Box 1e) | Stock or Other Symbol (Box 1d) | Cost or Other Basis (Box 2a) | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|-------------------------------|--------------------------|------------------------|--------------------------------|------------------------------|---------------------------|------------------|-----------------------------|--------------------|
| 740189105 | PRECISION CASTPARTS CORP      | 10/21/2013 Various       | 390.0000               | PCP                            | 94,431.94                    | 11,636.80                 | 0.00             | 82,795.14                   | 0.00               |
| 754730109 | RAYMOND JAMES FINANCIAL INC   | 10/21/2013 Various       | 640.0000               | RJF                            | 27,891.15                    | 12,955.95                 | 0.00             | 14,935.20                   | 0.00               |
| 75886F107 | REGENERON PHARMACEUTICALS INC | 05/02/2013 08/28/2007    | 100.0000               | REGN                           | 24,319.49                    | 1,830.00                  | 0.00             | 22,489.49                   | 0.00               |
| 75886F107 | REGENERON PHARMACEUTICALS INC | 10/21/2013 06/27/2006    | 460.0000               | REGN                           | 136,827.13                   | 5,649.01                  | 0.00             | 131,178.12                  | 0.00               |
| 749941100 | RF MICRO DEVICES INC          | 10/21/2013 Various       | 2200.0000              | RFMD                           | 13,359.57                    | 11,965.00                 | 0.00             | 1,394.57                    | 0.00               |
| 770323103 | ROBERT HALF INTL INC          | 10/21/2013 Various       | 600.0000               | RHI                            | 24,280.20                    | 11,111.00                 | 0.00             | 13,169.20                   | 0.00               |
| G7665A101 | ROWAN COMPANIES PLC           | 10/21/2013 Various       | 940.0000               | RDC                            | 34,483.02                    | 32,736.15                 | 0.00             | 1,746.87                    | 0.00               |
| V7780T103 | ROYAL CARIBBEAN CRUISES LTD   | 10/21/2013 01/06/2009    | 700.0000               | RCL                            | 27,309.47                    | 10,535.00                 | 0.00             | 16,774.47                   | 0.00               |
| 74973W107 | RTI INTERNATIONAL METALS INC  | 10/21/2013 Various       | 780.0000               | RTI                            | 26,523.48                    | 31,317.51                 | 0.00             | -4,794.03                   | 0.00               |
| 79377W108 | SAKS INC                      | 10/21/2013 Various       | 1550.0000              | SKS                            | 24,849.42                    | 19,706.00                 | 0.00             | 5,143.42                    | 0.00               |

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| Cusip     | Description (Box 3)               | Date of Sale or Exchange | Quantity Sold | Stock of Other Symbols (Box 4) | SEAC      | Stocks, Bonds, etc. | Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|-----------------------------------|--------------------------|---------------|--------------------------------|-----------|---------------------|-------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)  | (Box 1a)                          | (Box 1b)                 | (Box 1c)      | (Box 2a)                       | (Box 2b)  | (Box 2c)            | (Box 2d)    | (Box 2e)                  | (Box 2f)         | (Box 2g)                    | (Box 2h)           |
| 811699107 | SEACHANGE INTL INC                | 10/21/2013               | Various       | 30,489.85                      | 16,992.65 | 0.00                | 13,497.20   | 0.00                      | 0.00             | 0.00                        | 0.00               |
| 2240.0000 | SEATTLE GENETICS INC              | 10/21/2013               | Various       | 47,921.26                      | 13,980.00 | 0.00                | 33,941.26   | 0.00                      | 0.00             | 0.00                        | 0.00               |
| 812578102 | SINCLAIR BROADCAST GROUP INC CL A | 10/21/2013               | Various       | 72,219.51                      | 14,923.60 | 0.00                | 57,295.91   | 0.00                      | 0.00             | 0.00                        | 0.00               |
| 1200.0000 | STARZ                             | 10/21/2013               | Various       | 8,923.20                       | 397.99    | 0.00                | 8,525.21    | 0.00                      | 0.00             | 0.00                        | 0.00               |
| 829226109 | STILLWATER MINING COMPANY         | 10/21/2013               | Various       | 23,737.50                      | 22,881.20 | 0.00                | 856.30      | 0.00                      | 0.00             | 0.00                        | 0.00               |
| 2040.0000 | THE MOSAIC COMPANY                | 10/21/2013               | Various       | 20,024.75                      | 6,123.20  | 0.00                | 13,901.55   | 0.00                      | 0.00             | 0.00                        | 0.00               |
| 85571Q102 | TRIMBLE NAVIGATION LTD            | 10/21/2013               | Various       | 51,587.14                      | 18,298.39 | 0.00                | 33,288.75   | 0.00                      | 0.00             | 0.00                        | 0.00               |
| 300.0000  | TRIQUINT SEMICONDUCTOR INC        | 10/21/2013               | Various       | 26,693.54                      | 12,522.67 | 0.00                | 14,170.87   | 0.00                      | 0.00             | 0.00                        | 0.00               |
| 86074Q102 | TW TELECOM INC                    | 10/21/2013               | Various       | 44,933.13                      | 26,141.89 | 0.00                | 18,791.24   | 0.00                      | 0.00             | 0.00                        | 0.00               |
| 2110.0000 | UNIFI INC                         | 10/21/2013               | Various       | 14,715.96                      | 4,162.47  | 0.00                | 10,553.49   | 0.00                      | 0.00             | 0.00                        | 0.00               |
| 61945C103 |                                   |                          |               |                                |           |                     |             |                           |                  |                             |                    |
| 430.0000  |                                   |                          |               |                                |           |                     |             |                           |                  |                             |                    |
| 896239100 |                                   |                          |               |                                |           |                     |             |                           |                  |                             |                    |
| 1700.0000 |                                   |                          |               |                                |           |                     |             |                           |                  |                             |                    |
| 89674K103 |                                   |                          |               |                                |           |                     |             |                           |                  |                             |                    |
| 3100.0000 |                                   |                          |               |                                |           |                     |             |                           |                  |                             |                    |
| 87311L104 |                                   |                          |               |                                |           |                     |             |                           |                  |                             |                    |
| 1440.0000 |                                   |                          |               |                                |           |                     |             |                           |                  |                             |                    |
| 904677200 |                                   |                          |               |                                |           |                     |             |                           |                  |                             |                    |
| 633.0000  |                                   |                          |               |                                |           |                     |             |                           |                  |                             |                    |

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# 2013 Tax Information Statement

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

0088505

XX-XX5974  
04-2233412

MA

(617)951-7706

☐ 2nd TIN notice

## Account Number:

Recipient's Tax ID Number:

Payer's Federal ID Number:

Payer's State ID Number:

State:

Questions?

☐ Corrected

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip                                    | Quantity Sold | Description (Box 9)<br>Date of Sale or Exchange | Stock or Other Symbols (Box 1d) |          |                     |                     | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|------------------------------------------|---------------|-------------------------------------------------|---------------------------------|----------|---------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
|                                          |               |                                                 | (Box 1a)                        | (Box 2a) | Stocks, Bonds, etc. | Cost or Other Basis |                           |                  |                             |                    |
| 911684108                                | 400.0000      | UNITED STATES CELLULAR CORP                     | USM                             |          |                     | 18,436.61           | 19,397.82                 | 0.00             | -961.21                     | 0.00               |
| 912909108                                | 180.0000      | UNITED STATES STEEL CORP                        | X                               |          |                     | 3,237.47            | 7,528.97                  | 0.00             | -4,291.50                   | 0.00               |
| 920355104                                |               | VALSPAR CORP                                    | VAL                             |          |                     |                     |                           |                  |                             |                    |
| 830.0000                                 |               | 10/21/2013 Various                              |                                 |          |                     | 57,349.85           | 19,393.60                 | 0.00             | 37,956.25                   | 0.00               |
| 928298108                                | 1790.0000     | VISHAY INTERTECHNOLOGY INC                      | VSH                             |          |                     |                     |                           |                  |                             |                    |
|                                          |               | 10/21/2013 Various                              |                                 |          |                     | 23,753.29           | 22,852.60                 | 0.00             | 900.69                      | 0.00               |
| 930059100                                |               | WADDELL & REED FINL INC                         | WDR                             |          |                     |                     |                           |                  |                             |                    |
| 700.0000                                 |               | 10/21/2013 11/03/2008                           |                                 |          |                     | 41,059.00           | 10,108.00                 | 0.00             | 30,951.00                   | 0.00               |
| Total Long Term Sales Reported on 1099-B |               |                                                 |                                 |          |                     | 2,266,182.34        | 914,215.78                | 0.00             | 1,351,966.56                | 0.00               |

Report on Form 8949, Part II, with Box E checked

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## Payer's Name and Address:

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800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088506

## Recipient's Tax ID Number:

XX-XXX5974

## Payer's Federal ID Number:

04-2233412

## Payer's State ID Number:

MA

## State:

(617)951-7706

## Questions?

☐ Corrected ☐ 2nd TIN notice

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

## 2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip                               | Description (Box 8)        | Stock or Other Symbol (Box 1d) |                     |                     |                           |                  |                             |                    |  |  |  |  |  |  |  |  |      |  |
|-------------------------------------|----------------------------|--------------------------------|---------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|--|--|--|--|--|--|--|--|------|--|
| Quantity Sold                       | Date of Sale or Exchange   | Date of Acquisition            | Stocks, Bonds, etc. | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |  |  |  |  |  |  |  |  |      |  |
| (Box 1e)                            | (Box 1a)                   | (Box 1b)                       | (Box 2a)            | (Box 3)             | (Box 5)                   | (Box 6)          | (Box 7)                     | (Box 8)            |  |  |  |  |  |  |  |  |      |  |
| Short Term Sales Reported on 1099-B |                            |                                |                     |                     |                           |                  |                             |                    |  |  |  |  |  |  |  |  |      |  |
| 002535300                           | AARONS INC                 |                                | AAN                 |                     |                           |                  |                             |                    |  |  |  |  |  |  |  |  |      |  |
| 12.0000                             | 06/07/2013                 | 09/10/2012                     | 332.63              | 367.52              | 0.00                      | -34.89           | 0.00                        | 0.00               |  |  |  |  |  |  |  |  | 0.00 |  |
| 00846U101                           | AGILENT TECHNOLOGIES INC   |                                | A                   |                     |                           |                  |                             |                    |  |  |  |  |  |  |  |  |      |  |
| 82.0000                             | 10/21/2013                 | Various                        | 4,291.75            | 3,380.52            | 0.00                      | 911.23           | 0.00                        | 0.00               |  |  |  |  |  |  |  |  | 0.00 |  |
| 01741R102                           | ALLEGHENY TECHNOLOGIES INC |                                | ATI                 |                     |                           |                  |                             |                    |  |  |  |  |  |  |  |  |      |  |
| 1202.0000                           | 10/21/2013                 | Various                        | 38,570.35           | 36,463.42           | 0.00                      | 2,106.93         | 0.00                        | 0.00               |  |  |  |  |  |  |  |  | 0.00 |  |
| 03027X100                           | AMERICAN TOWER CORP REIT   |                                | AMT                 |                     |                           |                  |                             |                    |  |  |  |  |  |  |  |  |      |  |
| 22.0000                             | 10/21/2013                 | 06/07/2013                     | 1,749.41            | 1,728.54            | 0.00                      | 20.87            | 0.00                        | 0.00               |  |  |  |  |  |  |  |  | 0.00 |  |
| 03073E105                           | AMERISOURCEBERGEN CORP     |                                | ABC                 |                     |                           |                  |                             |                    |  |  |  |  |  |  |  |  |      |  |
| 744.0000                            | 10/21/2013                 | Various                        | 47,717.40           | 37,701.48           | 0.00                      | 10,015.92        | 0.00                        | 0.00               |  |  |  |  |  |  |  |  | 0.00 |  |
| 127055101                           | CABOT CORP                 |                                | CBT                 |                     |                           |                  |                             |                    |  |  |  |  |  |  |  |  |      |  |
| 600.0000                            | 10/21/2013                 | 10/04/2013                     | 27,163.20           | 26,020.15           | 0.00                      | 1,143.05         | 0.00                        | 0.00               |  |  |  |  |  |  |  |  | 0.00 |  |
| 12504L109                           | CBRE GROUP INC             |                                | CBG                 |                     |                           |                  |                             |                    |  |  |  |  |  |  |  |  |      |  |
| 242.0000                            | 10/21/2013                 | 09/16/2013                     | 5,544.71            | 5,717.55            | 0.00                      | -172.84          | 0.00                        | 0.00               |  |  |  |  |  |  |  |  | 0.00 |  |
| 189754104                           | COACH INC                  |                                | COH                 |                     |                           |                  |                             |                    |  |  |  |  |  |  |  |  |      |  |
| 10.0000                             | 06/07/2013                 | 01/11/2013                     | 586.88              | 588.79              | 0.00                      | -1.91            | 0.00                        | 0.00               |  |  |  |  |  |  |  |  | 0.00 |  |

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# 2013 Tax Information Statement

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088506  
XX-XXX5974

## Payer's Federal ID Number:

04-2233412

## Payer's State ID Number:

MA

## Questions?

(617)951-7706

☐ Corrected

☐ 2nd TIN notice

## Recipient's Name and Address:

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C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

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Covered (Box 6a is not checked)

| Cusip         | Description (Box 8)           | Date of Sale or Exchange (Box 1a) | Date of Acquisition (Box 1b) | Stocks, Bonds, etc. (Box 2a) | Cost or Other Basis (Box 3) | Wash Sale Loss Disallowed (Box 5) | Net Gain or Loss (Box 4) | Federal Income Tax Withheld (Box 15) |
|---------------|-------------------------------|-----------------------------------|------------------------------|------------------------------|-----------------------------|-----------------------------------|--------------------------|--------------------------------------|
| Quantity Sold |                               |                                   |                              |                              |                             |                                   |                          |                                      |
| (Box 1e)      |                               |                                   |                              |                              |                             |                                   |                          |                                      |
| 189754104     | COACH INC                     | 10/21/2013                        | 01/11/2013                   | 30,949.54                    | 33,796.51                   | 0.00                              | -2,846.97                | 0.00                                 |
| 574.0000      |                               |                                   |                              |                              |                             |                                   |                          |                                      |
| 126408103     | CSX CORP                      | 10/21/2013                        | 06/07/2013                   | 569.61                       | 552.66                      | 0.00                              | 16.95                    | 0.00                                 |
| 22.0000       |                               |                                   |                              |                              |                             |                                   |                          |                                      |
| 23331A109     | D R HORTON INC                | 10/21/2013                        | 04/18/2013                   | 2,338.81                     | 2,695.03                    | 0.00                              | -356.22                  | 0.00                                 |
| 126.0000      |                               |                                   |                              |                              |                             |                                   |                          |                                      |
| 278768106     | ECHOSTAR HOLDING CORP         | 06/07/2013                        | 02/19/2013                   | 319.91                       | 313.02                      | 0.00                              | 6.89                     | 0.00                                 |
| 8.0000        |                               |                                   |                              |                              |                             |                                   |                          |                                      |
| 278768106     | ECHOSTAR HOLDING CORP         | 10/21/2013                        | 02/19/2013                   | 43,048.76                    | 35,449.34                   | 0.00                              | 7,599.42                 | 0.00                                 |
| 906.0000      |                               |                                   |                              |                              |                             |                                   |                          |                                      |
| 361448103     | GATX CORP                     | 10/21/2013                        | 09/17/2013                   | 13,290.93                    | 12,836.91                   | 0.00                              | 454.02                   | 0.00                                 |
| 270.0000      |                               |                                   |                              |                              |                             |                                   |                          |                                      |
| 37940X102     | GLOBAL PAYMENTS INC           | 10/21/2013                        | 06/07/2013                   | 114.97                       | 94.52                       | 0.00                              | 20.45                    | 0.00                                 |
| 2.0000        |                               |                                   |                              |                              |                             |                                   |                          |                                      |
| 42330P107     | HELIUM ENERGY SOLUTIONS GROUP | 10/15/2013                        | Various                      | 6,198.92                     | 4,793.82                    | 0.00                              | 1,405.10                 | 0.00                                 |
| 254.0000      |                               |                                   |                              |                              |                             |                                   |                          |                                      |
| 45822P105     | INTEGRYS ENERGY GROUP INC     | 10/21/2013                        | 06/07/2013                   | 457.17                       | 455.04                      | 0.00                              | 2.13                     | 0.00                                 |
| 8.0000        |                               |                                   |                              |                              |                             |                                   |                          |                                      |

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800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

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800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Questions?

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| Cusip     | Description (Box 8)     | Date of Sale or Exchange | Quantity Sold | Stocks or Bonds etc. | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|-------------------------|--------------------------|---------------|----------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1a)  | (Box 1b)                |                          | (Box 1e)      | (Box 2a)             | (Box 3)             | (Box 5)                   | (Box 4)          | (Box 15)                    |                    |
| 481165108 | JOY GLOBAL INC          | 10/21/2013 06/07/2013    | 12.0000       | JOY                  | 645.23              | 0.00                      | 5.40             | 0.00                        | 0.00               |
| 58502B106 | MEDNAX INC              | 10/21/2013 06/07/2013    | 4.0000        | MD                   | 430.66              | 0.00                      | 65.66            | 0.00                        | 0.00               |
| 626717102 | MURPHY OIL CORP         | 10/21/2013 06/07/2013    | 4.0000        | MUR                  | 249.13              | 0.00                      | 22.37            | 0.00                        | 0.00               |
| 626755102 | MURPHY USA INC          | 09/13/2013 06/07/2013    | .5000         | MUSA                 | 20.20               | 0.00                      | 1.88             | 0.00                        | 0.00               |
| 626755102 | MURPHY USA INC          | 10/21/2013 06/07/2013    | 5.000         | MUSA                 | 20.82               | 0.00                      | 2.50             | 0.00                        | 0.00               |
| G6359F103 | NABORS INDUSTRIES LTD   | 10/21/2013 10/09/2013    | 444.0000      | NBR                  | 7,907.58            | 7,400.07                  | 507.51           | 0.00                        | 0.00               |
| 651290108 | NEWFIELD EXPLORATION CO | 10/21/2013 10/07/2013    | 204.0000      | NFX                  | 6,299.41            | 5,849.55                  | 449.86           | 0.00                        | 0.00               |
| 682680103 | ONEOK INC               | 09/20/2013 06/07/2013    | 16.0000       | OKE                  | 852.79              | 712.96                    | 139.83           | 0.00                        | 0.00               |
| 81211K100 | SEALED AIR CORP NEW     | 06/07/2013 12/11/2012    | 54.0000       | SEE                  | 1,317.03            | 894.19                    | 422.84           | 0.00                        | 0.00               |

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# 2013 Tax Information Statement

Page 10 of 35  
Ref: 11

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

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(617)951-7706

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☐ Corrected ☐ 2nd TIN notice

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| Cusip                                           | Description (Box 8)               | Stock or Other Symbol (Box 1d) | Stocks, Bonds, etc. (Box 2a) | Cost or Other Basis (Box 3) | Wash Sale Loss Disallowed (Box 5) | Net Gain or Loss (Box 4) | Federal Income Tax Withheld (Box 15) |
|-------------------------------------------------|-----------------------------------|--------------------------------|------------------------------|-----------------------------|-----------------------------------|--------------------------|--------------------------------------|
| Quantity Sold (Box 1e)                          | Date of Sale or Exchange (Box 1a) | Date of Acquisition (Box 1b)   |                              |                             |                                   |                          |                                      |
| 81211K100                                       | SEALED AIR CORP NEW               |                                | SEE                          |                             |                                   |                          |                                      |
| 2068.0000                                       | 10/21/2013                        | 12/11/2012                     | 57,766.11                    | 34,244.03                   | 0.00                              | 23,522.08                | 0.00                                 |
| 871607107                                       | SYNOPSIS INC                      |                                | SNPS                         |                             |                                   |                          |                                      |
| 120.0000                                        | 04/19/2013                        | 01/11/2013                     | 4,067.38                     | 3,808.81                    | 0.00                              | 258.57                   | 0.00                                 |
| 871607107                                       | SYNOPSIS INC                      |                                | SNPS                         |                             |                                   |                          |                                      |
| 4.0000                                          | 06/07/2013                        | 01/11/2013                     | 147.75                       | 126.96                      | 0.00                              | 20.79                    | 0.00                                 |
| 871607107                                       | SYNOPSIS INC                      |                                | SNPS                         |                             |                                   |                          |                                      |
| 1024.0000                                       | 10/21/2013                        | 01/11/2013                     | 39,204.97                    | 32,501.83                   | 0.00                              | 6,703.14                 | 0.00                                 |
| 920355104                                       | VALSPAR CORP                      |                                | VAL                          |                             |                                   |                          |                                      |
| 16.0000                                         | 10/21/2013                        | 06/07/2013                     | 1,105.34                     | 1,123.52                    | 0.00                              | -18.18                   | 0.00                                 |
| 966387102                                       | WHITING PETROLEUM CORP            |                                | WLL                          |                             |                                   |                          |                                      |
| 8.0000                                          | 10/21/2013                        | 06/07/2013                     | 534.50                       | 374.56                      | 0.00                              | 159.94                   | 0.00                                 |
| Total Short Term Sales Reported on 1099-B       |                                   |                                | 343,813.85                   | 291,259.53                  | 0.00                              | 52,554.32                | 0.00                                 |
| Report on Form 8949, Part I, with Box A checked |                                   |                                |                              |                             |                                   |                          |                                      |
| Long Term Sales Reported on 1099-B              |                                   |                                |                              |                             |                                   |                          |                                      |
| 002535300                                       | AARONS INC                        |                                | AAN                          |                             |                                   |                          |                                      |
| 1030.0000                                       | 10/21/2013                        | 09/10/2012                     | 29,054.31                    | 31,545.19                   | 0.00                              | -2,490.88                | 0.00                                 |

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|-----------|--------------------------|--------------------------|---------------|--------------------------------|------------------------------|-----------------------------|-----------------------------------|--------------------------|--------------------------------------|
| 00507V109 | ACTIVISION BLIZZARD, INC | 06/07/2013 03/29/2012    | 24.0000       | ATVI                           | 353.51                       | 305.76                      | 0.00                              | 47.75                    | 0.00                                 |
| 00507V109 | ACTIVISION BLIZZARD, INC | 10/21/2013 03/29/2012    | 2502.0000     | ATVI                           | 43,859.29                    | 31,875.20                   | 0.00                              | 11,984.09                | 0.00                                 |
| 00971T101 | AKAMAI TECHNOLOGIES INC  | 10/21/2013 Various       | 402.0000      | AKAM                           | 20,959.92                    | 13,500.89                   | 0.00                              | 7,459.03                 | 0.00                                 |
| 03027X100 | AMERICAN TOWER CORP REIT | 04/18/2013 03/04/2011    | 22.0000       | AMT                            | 1,759.84                     | 1,160.28                    | 0.00                              | 599.56                   | 0.00                                 |
| 03027X100 | AMERICAN TOWER CORP REIT | 10/21/2013 03/04/2011    | 110.0000      | AMT                            | 8,747.05                     | 5,801.40                    | 0.00                              | 2,945.65                 | 0.00                                 |
| 03662Q105 | ANSYS INC                | 06/07/2013 03/04/2011    | 4.0000        | ANSS                           | 297.03                       | 218.92                      | 0.00                              | 78.11                    | 0.00                                 |
| 03662Q105 | ANSYS INC                | 10/21/2013 03/04/2011    | 64.0000       | ANSS                           | 5,593.46                     | 3,502.72                    | 0.00                              | 2,090.74                 | 0.00                                 |
| 052769106 | AUTODESK INC             | 10/21/2013 03/04/2011    | 110.0000      | ADSK                           | 4,420.79                     | 4,474.80                    | 0.00                              | -54.01                   | 0.00                                 |
| 067383109 | BARD CR INC              | 06/07/2013 03/04/2011    | 4.0000        | BCR                            | 420.11                       | 384.60                      | 0.00                              | 35.51                    | 0.00                                 |

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# 2013 Tax Information Statement

Page 12 of 35  
Ref: 11

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

Recipient's Tax ID Number:  
Payer's Federal ID Number:  
Payer's State ID Number:

State:  
Questions?

☐ Corrected

☐ 2nd TIN notice

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

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| Cusip     | Description (Box 8)        | Date of Sale or Exchange | Date of Acquisition | Stocks or Other Symbol (Box 1d) | Stocks or Bonds, etc. (Box 2a) | Cost or Other Basis (Box 3) | Wash Sale Loss Disallowed (Box 5) | Net Gain or Loss (Box 4) | Federal Income Tax Withheld (Box 15) |
|-----------|----------------------------|--------------------------|---------------------|---------------------------------|--------------------------------|-----------------------------|-----------------------------------|--------------------------|--------------------------------------|
| (Box 1e)  | (Box 1a)                   | (Box 1b)                 |                     |                                 |                                |                             |                                   |                          |                                      |
| 067383109 | BARD CR INC                |                          |                     | BCR                             | 4,024.49                       | 3,076.80                    | 0.00                              | 947.69                   | 0.00                                 |
| 32.0000   | 10/21/2013                 | 03/04/2011               |                     |                                 |                                |                             |                                   |                          |                                      |
| 090572207 | BIO RAD LABORATORIES CL A  |                          |                     | BIO                             | 450.55                         | 461.28                      | 0.00                              | -10.73                   | 0.00                                 |
| 4.0000    | 06/07/2013                 | 03/04/2011               |                     |                                 |                                |                             |                                   |                          |                                      |
| 090572207 | BIO RAD LABORATORIES CL A  |                          |                     | BIO                             | 3,429.04                       | 3,228.96                    | 0.00                              | 200.08                   | 0.00                                 |
| 28.0000   | 10/21/2013                 | 03/04/2011               |                     |                                 |                                |                             |                                   |                          |                                      |
| 099724106 | BORG WARNER AUTOMOTIVE INC |                          |                     | BWA                             | 1,484.43                       | 1,384.20                    | 0.00                              | 100.23                   | 0.00                                 |
| 18.0000   | 06/07/2013                 | 03/04/2011               |                     |                                 |                                |                             |                                   |                          |                                      |
| 099724106 | BORG WARNER AUTOMOTIVE INC |                          |                     | BWA                             | 6,106.28                       | 4,460.20                    | 0.00                              | 1,646.08                 | 0.00                                 |
| 58.0000   | 10/21/2013                 | 03/04/2011               |                     |                                 |                                |                             |                                   |                          |                                      |
| 101121101 | BOSTON PROPERTIES INC REIT |                          |                     | BXP                             | 5,157.73                       | 4,440.48                    | 0.00                              | 717.25                   | 0.00                                 |
| 48.0000   | 10/21/2013                 | 03/04/2011               |                     |                                 |                                |                             |                                   |                          |                                      |
| 12504L109 | CBRE GROUP INC             |                          |                     | CBG                             | 327.31                         | 292.48                      | 0.00                              | 34.83                    | 0.00                                 |
| 14.0000   | 06/07/2013                 | 03/16/2012               |                     |                                 |                                |                             |                                   |                          |                                      |
| 12504L109 | CBRE GROUP INC             |                          |                     | CBG                             | 47,336.21                      | 43,022.10                   | 0.00                              | 4,314.11                 | 0.00                                 |
| 2066.0000 | 10/21/2013                 | Various                  |                     |                                 |                                |                             |                                   |                          |                                      |
| 222816100 | COVANCE INC                |                          |                     | CVD                             | 6,589.09                       | 4,266.84                    | 0.00                              | 2,322.25                 | 0.00                                 |
| 74.0000   | 10/21/2013                 | 03/04/2011               |                     |                                 |                                |                             |                                   |                          |                                      |

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# 2013 Tax Information Statement

**Payer's Name and Address:**

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

**Account Number:**

0088506

**Recipient's Tax ID Number:**

XX-XXX5974

**Payer's Federal ID Number:**

04-2233412

**Payer's State ID Number:**

MA

**Questions?**

(617)951-7706

☐ Corrected

☐ 2nd TIN notice

**Recipient's Name and Address:**

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C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
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| Cusip     | Description (Box 8)    | Date of Sale or Exchange | Quantity Sold (Box 1e) | Stock or Other Symbol (Box 1d) | Stock or Bond | Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|------------------------|--------------------------|------------------------|--------------------------------|---------------|-------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1a)  | (Box 1b)               | (Box 1c)                 | (Box 1d)               | (Box 1e)                       | (Box 1f)      | (Box 1g)    | (Box 1h)                  | (Box 1i)         | (Box 1j)                    | (Box 1k)           |
| 126408103 | CSX CORP               | 04/18/2013               | 94.0000                | CSX                            | 2,232.44      | 2,323.37    | 0.00                      | -90.93           | 0.00                        | 0.00               |
| 126408103 | CSX CORP               | 10/21/2013               | 206.0000               | CSX                            | 5,333.65      | 5,091.63    | 0.00                      | 242.02           | 0.00                        | 0.00               |
| 231021106 | CUMMINS INC            | 06/07/2013               | 6.0000                 | CMI                            | 709.90        | 614.47      | 0.00                      | 95.43            | 0.00                        | 0.00               |
| 231021106 | CUMMINS INC            | 10/21/2013               | 100.0000               | CMI                            | 13,666.76     | 10,241.17   | 0.00                      | 3,425.59         | 0.00                        | 0.00               |
| 23331A109 | D R HORTON INC         | 10/21/2013               | 2070.0000              | DHI                            | 38,423.31     | 23,248.08   | 0.00                      | 15,175.23        | 0.00                        | 0.00               |
| 237194105 | DARDEN RESTAURANTS INC | 06/07/2013               | 16.0000                | DRI                            | 868.14        | 855.73      | 0.00                      | 12.41            | 0.00                        | 0.00               |
| 237194105 | DARDEN RESTAURANTS INC | 10/21/2013               | 116.0000               | DRI                            | 6,012.40      | 5,499.11    | 0.00                      | 513.29           | 0.00                        | 0.00               |
| 277432100 | EASTMAN CHEMICAL CO    | 06/07/2013               | 20.0000                | EMN                            | 1,404.77      | 952.20      | 0.00                      | 452.57           | 0.00                        | 0.00               |
| 277432100 | EASTMAN CHEMICAL CO    | 10/21/2013               | 96.0000                | EMN                            | 7,790.34      | 4,570.56    | 0.00                      | 3,219.78         | 0.00                        | 0.00               |

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# 2013 Tax Information Statement

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ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

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State:

0088506

XX-XXX5974  
04-2233412

MA  
(617)951-7706

Questions?

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|------------------------|-----------------------------------|--------------------------------|------------------------------|-----------------------------|-----------------------------------|--------------------------|--------------------------------------|
| Quantity Sold (Box 1e) | Date of Sale or Exchange (Box 1a) | Date of Acquisition (Box 1b)   |                              |                             |                                   |                          |                                      |
| 278265103              | EATON VANCE CORP                  |                                | EV                           |                             |                                   |                          |                                      |
| 560.0000               | 10/21/2013                        | Various                        | 22,572.11                    | 14,973.18                   | 0.00                              | 7,598.93                 | 0.00                                 |
| 30219G108              | EXPRESS SCRIPTS HLDG              |                                | ESRX                         |                             |                                   |                          |                                      |
| 2.0000                 | 06/07/2013                        | 03/04/2011                     | 124.53                       | 111.28                      | 0.00                              | 13.25                    | 0.00                                 |
| 30219G108              | EXPRESS SCRIPTS HLDG              |                                | ESRX                         |                             |                                   |                          |                                      |
| 18.0000                | 10/21/2013                        | 03/04/2011                     | 1,158.69                     | 1,001.52                    | 0.00                              | 157.17                   | 0.00                                 |
| 361448103              | GATX CORP                         |                                | GMT                          |                             |                                   |                          |                                      |
| 96.0000                | 10/21/2013                        | 03/04/2011                     | 4,725.66                     | 3,322.56                    | 0.00                              | 1,403.10                 | 0.00                                 |
| 369550108              | GENERAL DYNAMICS CORP             |                                | GD                           |                             |                                   |                          |                                      |
| 64.0000                | 10/21/2013                        | 03/04/2011                     | 5,644.74                     | 4,796.80                    | 0.00                              | 847.94                   | 0.00                                 |
| 37940X102              | GLOBAL PAYMENTS INC               |                                | GPN                          |                             |                                   |                          |                                      |
| 316.0000               | 10/21/2013                        | Various                        | 18,164.98                    | 14,138.32                   | 0.00                              | 4,026.66                 | 0.00                                 |
| 415864107              | HARSCO CORPORATION                |                                | HSC                          |                             |                                   |                          |                                      |
| 370.0000               | 09/20/2013                        | Various                        | 9,476.88                     | 11,105.00                   | 0.00                              | -1,628.12                | 0.00                                 |
| 42330P107              | HELIUM ENERGY SOLUTIONS GROUP     |                                | HLX                          |                             |                                   |                          |                                      |
| 246.0000               | 10/15/2013                        | 03/04/2011                     | 6,003.68                     | 3,798.24                    | 0.00                              | 2,205.44                 | 0.00                                 |
| 45822P105              | INTEGRYS ENERGY GROUP INC         |                                | TEG                          |                             |                                   |                          |                                      |
| 328.0000               | 10/21/2013                        | Various                        | 18,744.08                    | 17,085.13                   | 0.00                              | 1,658.95                 | 0.00                                 |

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# 2013 Tax Information Statement

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## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088506  
XX-XXX5974  
04-2233412

## Payer's State ID Number:

MA  
(617)951-7706

## Questions?

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|------------------------|-----------------------------------|--------------------------------|------------------------------|-----------------------------|-----------------------------------|--------------------------|--------------------------------------|
| Quantity Sold (Box 1e) | Date of Sale or Exchange (Box 1a) | Date of Acquisition (Box 1b)   |                              |                             |                                   |                          |                                      |
| 45865V100              | INTERCONTINENTAL EXCHANGE INC     | ICE                            | 1,392.53                     | 1,034.80                    | 0.00                              | 357.73                   | 0.00                                 |
| 8.0000                 | 06/07/2013                        | 03/04/2011                     |                              |                             |                                   |                          |                                      |
| 45865V100              | INTERCONTINENTAL EXCHANGE INC     | ICE                            | 5,927.41                     | 3,880.50                    | 0.00                              | 2,046.91                 | 0.00                                 |
| 30.0000                | 10/21/2013                        | 03/04/2011                     |                              |                             |                                   |                          |                                      |
| 459902102              | INTERNATIONAL GAME TECHNOLOGY     | IGT                            | 13,570.46                    | 11,708.05                   | 0.00                              | 1,862.41                 | 0.00                                 |
| 730.0000               | 10/21/2013                        | Various                        |                              |                             |                                   |                          |                                      |
| 460254105              | INTERNATIONAL RECTIFIER CORP      | IRF                            | 3,382.76                     | 5,040.32                    | 0.00                              | -1,657.56                | 0.00                                 |
| 152.0000               | 07/09/2013                        | 03/04/2011                     |                              |                             |                                   |                          |                                      |
| 461202103              | INTUIT                            | INTU                           | 1,307.21                     | 1,156.98                    | 0.00                              | 150.23                   | 0.00                                 |
| 22.0000                | 06/07/2013                        | 03/04/2011                     |                              |                             |                                   |                          |                                      |
| 461202103              | INTUIT                            | INTU                           | 9,481.95                     | 7,257.42                    | 0.00                              | 2,224.53                 | 0.00                                 |
| 138.0000               | 10/21/2013                        | 03/04/2011                     |                              |                             |                                   |                          |                                      |
| 472319102              | JEFFERIES GROUP INC               | JEF                            | 17,327.43                    | 18,373.33                   | 0.00                              | -1,045.90                | 0.00                                 |
| 878.0000               | 02/04/2013                        | Various                        |                              |                             |                                   |                          |                                      |
| 481165108              | JOY GLOBAL INC                    | JOY                            | 1,181.16                     | 2,115.74                    | 0.00                              | -934.58                  | 0.00                                 |
| 22.0000                | 04/18/2013                        | 03/04/2011                     |                              |                             |                                   |                          |                                      |
| 481165108              | JOY GLOBAL INC                    | JOY                            | 4,086.47                     | 7,308.92                    | 0.00                              | -3,222.45                | 0.00                                 |
| 76.0000                | 10/21/2013                        | 03/04/2011                     |                              |                             |                                   |                          |                                      |

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# 2013 Tax Information Statement

Page 16 of 35  
Ref: 11

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088506

## Recipient's Tax ID Number:

XX-XXX5974

## Payer's Federal ID Number:

04-2233412

## Payer's State ID Number:

MA

## Questions?

(617)951-7706

☐ Corrected

☐ 2nd TIN notice

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
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BOSTON, MA 02199-3600

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|-----------|-------------------------|------------------------|-----------------------------------|---------------------------|--------------------------------|-----------------------------|-----------------------------------|--------------------------|--------------------------------------|
| 493267108 | KEYCORP NEW             | 66.0000                | 06/07/2013                        | 01/26/2012                | 715.43                         | 517.10                      | 0.00                              | 198.33                   | 0.00                                 |
| 493267108 | KEYCORP NEW             | 3834.0000              | 10/21/2013                        | 01/26/2012                | 48,230.88                      | 30,039.01                   | 0.00                              | 18,191.87                | 0.00                                 |
| 58502B106 | MEDNAX INC              | 356.0000               | 10/21/2013                        | 08/16/2012                | 38,328.68                      | 24,847.11                   | 0.00                              | 13,481.57                | 0.00                                 |
| 626717102 | MURPHY OIL CORP         | 26.0000                | 04/18/2013                        | 03/06/2012                | 1,581.37                       | 1,547.96                    | 0.00                              | 33.41                    | 0.00                                 |
| 626717102 | MURPHY OIL CORP         | 502.0000               | 10/21/2013                        | 03/06/2012                | 31,265.57                      | 25,730.58                   | 0.00                              | 5,534.99                 | 0.00                                 |
| 626755102 | MURPHY USA INC          | 125.5000               | 10/21/2013                        | 03/06/2012                | 5,226.98                       | 4,156.93                    | 0.00                              | 1,070.05                 | 0.00                                 |
| G6359F103 | NABORS INDUSTRIES LTD   | 38.0000                | 06/07/2013                        | 11/04/2011                | 632.68                         | 714.19                      | 0.00                              | -81.51                   | 0.00                                 |
| G6359F103 | NABORS INDUSTRIES LTD   | 2016.0000              | 10/21/2013                        | Various                   | 35,904.67                      | 37,134.75                   | 0.00                              | -1,230.08                | 0.00                                 |
| 651290108 | NEWFIELD EXPLORATION CO | 6.0000                 | 06/07/2013                        | 03/04/2011                | 140.51                         | 429.06                      | 0.00                              | -288.55                  | 0.00                                 |

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# 2013 Tax Information Statement

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## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088506  
XX-XXX5974  
04-2233412

## Payer's State ID Number:

MA  
(617)951-7706

## Questions?

☐ Corrected

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| 651290108              | NEWFIELD EXPLORATION CO           | NFX                            | 2,593.87                     | 6,006.84                    | 0.00                              | -3,412.97                | 0.00                                 |
| 84 0000                | 10/21/2013                        | 03/04/2011                     |                              |                             |                                   |                          |                                      |
| 682680103              | ONEOK INC                         | OKE                            | 1,297.91                     | 837.59                      | 0.00                              | 460.32                   | 0.00                                 |
| 26.0000                | 04/18/2013                        | 03/04/2011                     |                              |                             |                                   |                          |                                      |
| 682680103              | ONEOK INC                         | OKE                            | 5,649.70                     | 3,414.80                    | 0.00                              | 2,234.90                 | 0.00                                 |
| 106.0000               | 09/20/2013                        | 03/04/2011                     |                              |                             |                                   |                          |                                      |
| 743315103              | PROGRESSIVE CORP OHIO             | PGR                            | 98.95                        | 82.56                       | 0.00                              | 16.39                    | 0.00                                 |
| 4.0000                 | 06/07/2013                        | 03/04/2011                     |                              |                             |                                   |                          |                                      |
| 743315103              | PROGRESSIVE CORP OHIO             | PGR                            | 4,790.64                     | 3,632.64                    | 0.00                              | 1,158.00                 | 0.00                                 |
| 176.0000               | 10/21/2013                        | 03/04/2011                     |                              |                             |                                   |                          |                                      |
| 754730109              | RAYMOND JAMES FINANCIAL INC       | RJF                            | 1,945.75                     | 1,646.04                    | 0.00                              | 299.71                   | 0.00                                 |
| 44.0000                | 04/19/2013                        | 03/04/2011                     |                              |                             |                                   |                          |                                      |
| 754730109              | RAYMOND JAMES FINANCIAL INC       | RJF                            | 430.89                       | 374.10                      | 0.00                              | 56.79                    | 0.00                                 |
| 10.0000                | 06/07/2013                        | 03/04/2011                     |                              |                             |                                   |                          |                                      |
| 754730109              | RAYMOND JAMES FINANCIAL INC       | RJF                            | 12,405.79                    | 9,994.47                    | 0.00                              | 2,411.32                 | 0.00                                 |
| 284 0000               | 10/21/2013                        | Various                        |                              |                             |                                   |                          |                                      |
| 759351604              | REINSURANCE GROUP OF AMERICA INC  | RGA                            | 529.27                       | 476.24                      | 0.00                              | 53.03                    | 0.00                                 |
| 8 0000                 | 06/07/2013                        | 03/04/2011                     |                              |                             |                                   |                          |                                      |

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800 BOYLSTON ST, PRUDENTIAL TOWER  
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☐ Corrected

☐ 2nd TIN notice

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip         | Description (Box 8)                 | Stock or Other Symbol (Box 14) | Stocks, Bonds, etc. (Box 2a) | Cost or Other Basis (Box 3) | Wash Sale Loss Disallowed (Box 5) | Net Gain or Loss (Box 4) | Federal Income Tax Withheld (Box 15) |
|---------------|-------------------------------------|--------------------------------|------------------------------|-----------------------------|-----------------------------------|--------------------------|--------------------------------------|
| Quantity Sold | Date of Sale or Exchange            | Date of Acquisition            |                              |                             |                                   |                          |                                      |
| (Box 1e)      | (Box 1a)                            | (Box 1b)                       |                              |                             |                                   |                          |                                      |
| 759351604     | REINSURANCE GROUP OF AMERICA INC    |                                | RGA                          |                             |                                   |                          |                                      |
| 62.0000       | 10/21/2013                          | 03/04/2011                     | 4,460.28                     | 3,690.86                    | 0.00                              | 769.42                   | 0.00                                 |
| 760759100     | REPUBLIC SERVICES INC               |                                | RSG                          |                             |                                   |                          |                                      |
| 232.0000      | 10/21/2013                          | 03/04/2011                     | 7,662.90                     | 6,850.96                    | 0.00                              | 811.94                   | 0.00                                 |
| 810186106     | SCOTTS MIRACLE-GRO COMPANY CL A COM |                                | SMG                          |                             |                                   |                          |                                      |
| 12.0000       | 06/07/2013                          | 03/04/2011                     | 555.23                       | 661.92                      | 0.00                              | -106.69                  | 0.00                                 |
| 810186106     | SCOTTS MIRACLE-GRO COMPANY CL A COM |                                | SMG                          |                             |                                   |                          |                                      |
| 154.0000      | 10/21/2013                          | Various                        | 8,818.77                     | 7,827.85                    | 0.00                              | 990.92                   | 0.00                                 |
| 833034101     | SNAP ON INC                         |                                | SNA                          |                             |                                   |                          |                                      |
| 10.0000       | 06/07/2013                          | 07/21/2011                     | 916.48                       | 623.49                      | 0.00                              | 292.99                   | 0.00                                 |
| 833034101     | SNAP ON INC                         |                                | SNA                          |                             |                                   |                          |                                      |
| 350.0000      | 10/21/2013                          | Various                        | 35,704.91                    | 19,958.51                   | 0.00                              | 15,746.40                | 0.00                                 |
| 872540109     | TJX COS INC                         |                                | TJX                          |                             |                                   |                          |                                      |
| 16.0000       | 06/07/2013                          | 03/04/2011                     | 804.14                       | 402.96                      | 0.00                              | 401.18                   | 0.00                                 |
| 872540109     | TJX COS INC                         |                                | TJX                          |                             |                                   |                          |                                      |
| 228.0000      | 10/21/2013                          | Various                        | 13,107.59                    | 5,742.18                    | 0.00                              | 7,365.41                 | 0.00                                 |
| 903236107     | URS CORP                            |                                | URS                          |                             |                                   |                          |                                      |
| 88.0000       | 10/21/2013                          | 03/04/2011                     | 4,836.35                     | 4,077.92                    | 0.00                              | 758.43                   | 0.00                                 |

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# 2013 Tax Information Statement

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088506

## Recipient's Tax ID Number:

XX-XXX5974

## Payer's Federal ID Number:

04-2233412

## Payer's State ID Number:

MA

## Questions?

(617)951-7706

☐ Corrected

☐ 2nd TIN notice

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip                                    | Description, (Box 8)   | Date of Sale or Exchange | Date of Acquisition | Stocks or Other Symbol (Box 1d) | Stocks or Bonds, etc. | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|------------------------------------------|------------------------|--------------------------|---------------------|---------------------------------|-----------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)                                 | (Box 1a)               | (Box 1b)                 | (Box 1c)            | (Box 1d)                        | (Box 2a)              | (Box 3)             | (Box 5)                   | (Box 4)          | (Box 4)                     | (Box 15)           |
| 920355104                                | VALSPAR CORP           | 04/18/2013               | 03/04/2011          | VAL                             | 2,541.62              | 1,592.64            | 0.00                      | 948.98           | 0.00                        | 0.00               |
| 920355104                                | VALSPAR CORP           | 10/21/2013               | Various             | VAL                             | 31,364.17             | 16,327.35           | 0.00                      | 15,036.82        | 0.00                        | 0.00               |
| 966387102                                | WHITING PETROLEUM CORP | 10/21/2013               | 08/28/2012          | WLL                             | 45,833.67             | 30,924.66           | 0.00                      | 14,909.01        | 0.00                        | 0.00               |
| 983919101                                | XILINX INC             | 06/07/2013               | 03/04/2011          | XLNX                            | 1,053.50              | 904.02              | 0.00                      | 149.48           | 0.00                        | 0.00               |
| 983919101                                | XILINX INC             | 10/21/2013               | Various             | XLNX                            | 22,099.84             | 14,839.75           | 0.00                      | 7,260.09         | 0.00                        | 0.00               |
| 482.0000                                 |                        |                          |                     |                                 | 782,613.87            | 605,014.55          | 0.00                      | 177,599.32       | 0.00                        | 0.00               |
| Total Long Term Sales Reported on 1099-B |                        |                          |                     |                                 |                       |                     |                           |                  |                             |                    |

Report on Form 8949, Part II, with Box D checked

# 2013 Tax Information Statement

Page 20 of 35  
Ref: 11

Account Number: 0088506  
Recipient's Tax ID Number: XX-XXX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ 2nd TIN notice

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## 2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds, etc., less commissions and option premiums.  
For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip     | Description (Box 8)      | Date of Sale or Exchange | Quantity Sold | Stocks or Bonds, etc. | Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|--------------------------|--------------------------|---------------|-----------------------|-------------|---------------------------|------------------|-----------------------------|--------------------|
|           |                          |                          |               |                       |             |                           |                  |                             |                    |
| 00846U101 | AGILENT TECHNOLOGIES INC | 10/21/2013               | Various       | 34,229.36             | 19,614.43   | 0.00                      | 14,614.93        | 0.00                        | 0.00               |
| 00971T101 | AKAMAI TECHNOLOGIES INC  | 06/07/2013               | 07/20/2010    | 993.50                | 963.98      | 0.00                      | 29.52            | 0.00                        | 0.00               |
| 00971T101 | AKAMAI TECHNOLOGIES INC  | 10/21/2013               | Various       | 39,312.88             | 29,644.12   | 0.00                      | 9,668.76         | 0.00                        | 0.00               |
| 03027X100 | AMERICAN TOWER CORP REIT | 10/21/2013               | Various       | 77,212.57             | 39,950.12   | 0.00                      | 37,262.45        | 0.00                        | 0.00               |
| 03662Q105 | ANSYS INC                | 10/21/2013               | Various       | 44,572.87             | 22,143.88   | 0.00                      | 22,428.99        | 0.00                        | 0.00               |
| 052769106 | AUTODESK INC             | 06/07/2013               | 04/26/2007    | 659.14                | 744.84      | 0.00                      | -85.70           | 0.00                        | 0.00               |
| 052769106 | AUTODESK INC             | 10/21/2013               | Various       | 32,633.44             | 22,428.92   | 0.00                      | 10,204.52        | 0.00                        | 0.00               |

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# 2013 Tax Information Statement

Page 21 of 35  
Ref: 11

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number: 0088506

Recipient's Tax ID Number: XX-XXX5974

Payer's Federal ID Number: 04-2233412

Payer's State ID Number: MA

State: (617)951-7706  
Questions? ☐ 2nd TIN notice

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip         | Description (Box 8)        | Stock or Other Symbol (Box 1d) |                     |                     |                           |                  |                             |                    |  |  |  |  |
|---------------|----------------------------|--------------------------------|---------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|--|--|--|--|
| Quantity Sold | Date of Sale or Exchange   | Date of Acquisition            | Stocks, Bonds, etc. | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |  |  |  |  |
| (Box 1e)      | (Box 1a)                   |                                | (Box 2a)            |                     |                           |                  | (Box 4)                     | (Box 15)           |  |  |  |  |
| 067383109     | BARD CR INC                |                                | BCR                 |                     |                           |                  |                             |                    |  |  |  |  |
| 251 0000      | 10/21/2013                 | Various                        | 31,567.07           | 20,735.41           | 0.00                      | 10,831.66        | 0.00                        | 0.00               |  |  |  |  |
| 090572207     | BIO RAD LABORATORIES CL A  |                                | BIO                 |                     |                           |                  |                             |                    |  |  |  |  |
| 218.0000      | 10/21/2013                 | Various                        | 26,697.51           | 16,026.05           | 0.00                      | 10,671.46        | 0.00                        | 0.00               |  |  |  |  |
| 099724106     | BORG WARNER AUTOMOTIVE INC |                                | BWA                 |                     |                           |                  |                             |                    |  |  |  |  |
| 545.0000      | 10/21/2013                 | Various                        | 57,377.98           | 21,193.42           | 0.00                      | 36,184.56        | 0.00                        | 0.00               |  |  |  |  |
| 101121101     | BOSTON PROPERTIES INC REIT |                                | BXP                 |                     |                           |                  |                             |                    |  |  |  |  |
| 4.0000        | 06/07/2013                 | 04/26/2007                     | 437.59              | 469.86              | 0.00                      | -32.27           | 0.00                        | 0.00               |  |  |  |  |
| 101121101     | BOSTON PROPERTIES INC REIT |                                | BXP                 |                     |                           |                  |                             |                    |  |  |  |  |
| 308.0000      | 10/21/2013                 | Various                        | 33,095.43           | 31,613.42           | 0.00                      | 1,482.01         | 0.00                        | 0.00               |  |  |  |  |
| 222816100     | COVANCE INC                |                                | CVD                 |                     |                           |                  |                             |                    |  |  |  |  |
| 12 0000       | 06/07/2013                 | 04/26/2007                     | 895.18              | 738.84              | 0.00                      | 156.34           | 0.00                        | 0.00               |  |  |  |  |
| 222816100     | COVANCE INC                |                                | CVD                 |                     |                           |                  |                             |                    |  |  |  |  |
| 512.0000      | 10/21/2013                 | Various                        | 45,589.39           | 29,857.20           | 0.00                      | 15,732.19        | 0.00                        | 0.00               |  |  |  |  |
| 126408103     | CSX CORP                   |                                | CSX                 |                     |                           |                  |                             |                    |  |  |  |  |
| 1956 0000     | 10/21/2013                 | Various                        | 50,643.71           | 30,634.80           | 0.00                      | 20,008.91        | 0.00                        | 0.00               |  |  |  |  |
| 231021106     | CUMMINS INC                |                                | CMI                 |                     |                           |                  |                             |                    |  |  |  |  |
| 420 0000      | 10/21/2013                 | 04/26/2007                     | 57,400.40           | 18,070.50           | 0.00                      | 39,329.90        | 0.00                        | 0.00               |  |  |  |  |
| 23331A109     | D R HORTON INC             |                                | DHI                 |                     |                           |                  |                             |                    |  |  |  |  |
| 104.0000      | 06/07/2013                 | 04/26/2007                     | 2,441.88            | 2,436.72            | 0.00                      | 5.16             | 0.00                        | 0.00               |  |  |  |  |

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# 2013 Tax Information Statement

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Ref: 11

Recipient's Name and Address:  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number: 0088506  
Recipient's Tax ID Number: XX-XXX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ 2nd TIN notice  
☐ Corrected

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip     | Quantity Sold | Description (Box 3)      |                     | Stock or Other Symbol (Box 1d) |                     | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|---------------|--------------------------|---------------------|--------------------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
|           |               | Date of Sale or Exchange | Date of Acquisition | Stocks, Bonds, etc.            | Cost or Other Basis |                           |                  |                             |                    |
| (Box 1a)  |               | (Box 1a)                 |                     | (Box 2a)                       |                     |                           |                  | (Box 4)                     | (Box 15)           |
| 23331A109 | 1377.0000     | D R HORTON INC           | Various             | DHI                            | 25,559.85           | 24,068.60                 | 1,491.25         | 0.00                        | 0.00               |
| 237194105 | 237194.105    | DARDEN RESTAURANTS INC   | Various             | DRI                            | 33,690.20           | 26,997.90                 | 6,692.30         | 0.00                        | 0.00               |
| 277432100 | 808.0000      | EASTMAN CHEMICAL CO      | Various             | EMN                            | 65,568.70           | 7,976.61                  | 57,592.09        | 0.00                        | 0.00               |
| 278265103 | 30.0000       | EATON VANCE CORP         | Various             | EV                             | 1,228.17            | 1,143.00                  | 85.17            | 0.00                        | 0.00               |
| 278265103 | 795.0000      | EATON VANCE CORP         | Various             | EV                             | 32,044.33           | 27,766.50                 | 4,277.83         | 0.00                        | 0.00               |
| 30219G108 | 756.0000      | EXPRESS SCRIPTS HLDG     | Various             | ESRX                           | 48,664.94           | 24,451.98                 | 24,212.96        | 0.00                        | 0.00               |
| 361448103 | 12.0000       | GATX CORP                | Various             | GMT                            | 594.22              | 617.76                    | -23.54           | 0.00                        | 0.00               |
| 361448103 | 624.0000      | GENERAL DYNAMICS CORP    | Various             | GD                             | 30,716.82           | 27,015.53                 | 3,701.29         | 0.00                        | 0.00               |
| 369550108 | 18.0000       | GENERAL DYNAMICS CORP    | Various             | GD                             | 1,186.53            | 1,455.48                  | -268.95          | 0.00                        | 0.00               |
| 369550108 | 2.0000        | GENERAL DYNAMICS CORP    | Various             | GD                             | 158.01              | 159.52                    | -1.51            | 0.00                        | 0.00               |

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# 2013 Tax Information Statement

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Ref: 11

Account Number: 0088506  
 Recipient's Tax ID Number: XX-XXX5974  
 Payer's Federal ID Number: 04-2233412  
 Payer's State ID Number: MA  
 State: (617)951-7706  
 Questions? ☐ Corrected ☐ 2nd TIN notice

Payer's Name and Address:  
 ROPES & GRAY LLP FIDUCIARY ACCOUNT  
 800 BOYLSTON ST, PRUDENTIAL TOWER  
 BOSTON, MA 02199-3600

Recipient's Name and Address:  
 SWARTZ FOUNDATION  
 C/O ROPES & GRAY LLP PCG/TRUST  
 800 BOYLSTON ST, 30/051  
 800 BOYLSTON ST  
 BOSTON, MA 02199-3600

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip         | Description (Box 8)           | Stock or Other Symbol (Box 1d) | Wash Sale (Loss Disallowed) | Net Gain or Loss Tax Withheld | Federal Income Tax Withheld   | State Tax Withheld          |
|---------------|-------------------------------|--------------------------------|-----------------------------|-------------------------------|-------------------------------|-----------------------------|
| Quantity Sold | Date of Sale or Exchange      | Acquisition                    | Cost or Other Basis         | Wash Sale (Loss Disallowed)   | Net Gain or Loss Tax Withheld | Federal Income Tax Withheld |
| (Box 1e)      | (Box 1a)                      | (Box 2a)                       | (Box 4)                     | (Box 15)                      |                               |                             |
| 369550108     | GENERAL DYNAMICS CORP         | GD                             |                             |                               |                               |                             |
| 364.0000      | 10/21/2013 Various            | 32,104.44                      | 26,516.12                   | 0.00                          | 5,588.32                      | 0.00                        |
| 37940X102     | GLOBAL PAYMENTS INC           | GPN                            |                             |                               |                               |                             |
| 374.0000      | 10/21/2013 Various            | 21,499.05                      | 14,496.25                   | 0.00                          | 7,002.80                      | 0.00                        |
| 415864107     | HARSCO CORPORATION            | HSC                            |                             |                               |                               |                             |
| 62.0000       | 06/07/2013 04/26/2007         | 1,434.65                       | 3,188.66                    | 0.00                          | -1,754.01                     | 0.00                        |
| 415864107     | HARSCO CORPORATION            | HSC                            |                             |                               |                               |                             |
| 379.0000      | 09/20/2013 Various            | 9,707.40                       | 18,006.29                   | 0.00                          | -8,298.89                     | 0.00                        |
| 415864107     | HARSCO CORPORATION            | HSC                            |                             |                               |                               |                             |
| 188.0000      | 09/23/2013 07/20/2010         | 4,777.18                       | 4,681.20                    | 0.00                          | 95.98                         | 0.00                        |
| 42330P107     | HELI ENERGY SOLUTIONS GROUP   | HLX                            |                             |                               |                               |                             |
| 2111.0000     | 10/15/2013 Various            | 51,519.41                      | 16,959.93                   | 0.00                          | 34,559.48                     | 0.00                        |
| 45822P105     | INTEGRYS ENERGY GROUP INC     | TEG                            |                             |                               |                               |                             |
| 448.0000      | 10/21/2013 Various            | 25,601.67                      | 23,827.75                   | 0.00                          | 1,773.92                      | 0.00                        |
| 45865V100     | INTERCONTINENTAL EXCHANGE INC | ICE                            |                             |                               |                               |                             |
| 328.0000      | 10/21/2013 Various            | 64,806.36                      | 14,902.46                   | 0.00                          | 49,903.90                     | 0.00                        |
| 459902102     | INTERNATIONAL GAME TECHNOLOGY | IGT                            |                             |                               |                               |                             |
| 14.0000       | 06/07/2013 04/26/2007         | 243.45                         | 546.70                      | 0.00                          | -303.25                       | 0.00                        |
| 459902102     | INTERNATIONAL GAME TECHNOLOGY | IGT                            |                             |                               |                               |                             |
| 1164.0000     | 10/21/2013 Various            | 21,638.38                      | 29,863.15                   | 0.00                          | -8,224.77                     | 0.00                        |

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# 2013 Tax Information Statement

Page 24 of 35  
Ref: 11

Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
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BOSTON, MA 02199-3600

0088506

XX-XXX5974

04-2233412

Payer's State ID Number:

MA

(617)951-7706

☐ 2nd TIN notice

Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

Account Number:

Recipient's Tax ID Number:

Payer's Federal ID Number:

Payer's State ID Number:

State:

Questions?

☐ Corrected

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip         | Description (Box 8)          | Stock or Other Symbol (Box 1d) |                       |                     |                           |                  |                             |                    |  |  |  |
|---------------|------------------------------|--------------------------------|-----------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|--|--|--|
| Quantity Sold | Date of Sale or Exchange     | Date of Acquisition            | Stocks or Bonds, etc. | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |  |  |  |
| (Box 1e)      | (Box 1a)                     | (Box 1b)                       | (Box 2a)              | (Box 2b)            | (Box 3)                   | (Box 4)          | (Box 5)                     | (Box 6)            |  |  |  |
| 460254105     | INTERNATIONAL RECTIFIER CORP | IRF                            | 439.79                | 723.00              | 0.00                      | -283.21          | 0.00                        | 0.00               |  |  |  |
| 20.0000       | 06/07/2013                   | 04/26/2007                     | IRF                   | 25,059.17           | 26,206.20                 | 0.00             | -1,147.03                   | 0.00               |  |  |  |
| 460254105     | INTERNATIONAL RECTIFIER CORP | IRF                            | 25,059.17             | 26,206.20           | 0.00                      | -1,147.03        | 0.00                        | 0.00               |  |  |  |
| 1126.0000     | 07/09/2013                   | Various                        | INTUIT                | 65,136.84           | 29,987.43                 | 0.00             | 35,149.41                   | 0.00               |  |  |  |
| 461202103     | INTUIT                       | INTU                           | 65,136.84             | 29,987.43           | 0.00                      | 35,149.41        | 0.00                        | 0.00               |  |  |  |
| 948.0000      | 10/21/2013                   | Various                        | JEF                   | 17,722.13           | 25,131.58                 | 0.00             | -7,409.45                   | 0.00               |  |  |  |
| 472319102     | JEFFERIES GROUP INC          | JEF                            | 17,722.13             | 25,131.58           | 0.00                      | -7,409.45        | 0.00                        | 0.00               |  |  |  |
| 898.0000      | 02/04/2013                   | Various                        | JOY                   | 41,724.99           | 35,105.81                 | 0.00             | 6,619.18                    | 0.00               |  |  |  |
| 481165108     | JOY GLOBAL INC               | JOY                            | 41,724.99             | 35,105.81           | 0.00                      | 6,619.18         | 0.00                        | 0.00               |  |  |  |
| 776.0000      | 10/21/2013                   | Various                        | NFX                   | 26,309.29           | 42,923.49                 | 0.00             | -16,614.20                  | 0.00               |  |  |  |
| 651290108     | NEWFIELD EXPLORATION CO      | NFX                            | 26,309.29             | 42,923.49           | 0.00                      | -16,614.20       | 0.00                        | 0.00               |  |  |  |
| 852.0000      | 10/21/2013                   | Various                        | OKE                   | 21,426.23           | 9,021.63                  | 0.00             | 12,404.60                   | 0.00               |  |  |  |
| 682680103     | ONEOK INC                    | OKE                            | 21,426.23             | 9,021.63            | 0.00                      | 12,404.60        | 0.00                        | 0.00               |  |  |  |
| 402.0000      | 09/20/2013                   | Various                        | OKE                   | 27,359.64           | 10,471.42                 | 0.00             | 16,888.22                   | 0.00               |  |  |  |
| 682680103     | ONEOK INC                    | OKE                            | 27,359.64             | 10,471.42           | 0.00                      | 16,888.22        | 0.00                        | 0.00               |  |  |  |
| 498.0000      | 10/21/2013                   | 12/11/2009                     | PGR                   | 38,325.10           | 28,465.73                 | 0.00             | 9,859.37                    | 0.00               |  |  |  |
| 743315103     | PROGRESSIVE CORP OHIO        | PGR                            | 38,325.10             | 28,465.73           | 0.00                      | 9,859.37         | 0.00                        | 0.00               |  |  |  |
| 1408.0000     | 10/21/2013                   | Various                        | RJF                   | 37,479.45           | 24,993.01                 | 0.00             | 12,486.44                   | 0.00               |  |  |  |
| 754730109     | RAYMOND JAMES FINANCIAL INC  | RJF                            | 37,479.45             | 24,993.01           | 0.00                      | 12,486.44        | 0.00                        | 0.00               |  |  |  |
| 858.0000      | 10/21/2013                   | Various                        |                       |                     |                           |                  |                             |                    |  |  |  |

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# 2013 Tax Information Statement

Page 25 of 35  
Ref: 11

Account Number: 0088506  
Recipient's Tax ID Number: XX-XXX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ 2nd TIN notice

Recipient's Name and Address:  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip                                    | Description (Box 8)                 | Stock or Other Symbol (Box 1d) | Wash Sale Loss Disallowed | Net Gain or Loss          | Federal Income Tax Withheld | State Tax Withheld          |
|------------------------------------------|-------------------------------------|--------------------------------|---------------------------|---------------------------|-----------------------------|-----------------------------|
| Quantity Sold                            | Date of Sale or Exchange            | Stocks, Bonds, etc.            | Cost or Other Basis       | Wash Sale Loss Disallowed | Net Gain or Loss            | Federal Income Tax Withheld |
| (Box 1e)                                 | (Box 1a)                            | (Box 2a)                       | (Box 4)                   | (Box 15)                  |                             |                             |
| 759351604                                | REINSURANCE GROUP OF AMERICA INC    | RGA                            |                           |                           |                             |                             |
| 550.0000                                 | 10/21/2013 Various                  | 39,567.00                      | 25,739.01                 | 0.00                      | 13,827.99                   | 0.00                        |
| 760759100                                | REPUBLIC SERVICES INC               | RSG                            |                           |                           |                             |                             |
| 6.0000                                   | 06/07/2013 07/20/2010               | 202.91                         | 183.00                    | 0.00                      | 19.91                       | 0.00                        |
| 760759100                                | REPUBLIC SERVICES INC               | RSG                            |                           |                           |                             |                             |
| 1568.0000                                | 10/21/2013 Various                  | 51,790.60                      | 45,523.83                 | 0.00                      | 6,266.77                    | 0.00                        |
| 810186106                                | SCOTTS MIRACLE-GRO COMPANY CL A COM | SMG                            |                           |                           |                             |                             |
| 477.0000                                 | 10/21/2013 Various                  | 27,315.29                      | 21,798.90                 | 0.00                      | 5,516.39                    | 0.00                        |
| 833034101                                | SNAP ON INC                         | SNA                            |                           |                           |                             |                             |
| 374.0000                                 | 10/21/2013 Various                  | 38,153.25                      | 15,664.64                 | 0.00                      | 22,488.61                   | 0.00                        |
| 872540109                                | TJX COS INC                         | TJX                            |                           |                           |                             |                             |
| 1408.0000                                | 10/21/2013 Various                  | 80,945.11                      | 22,296.64                 | 0.00                      | 58,648.47                   | 0.00                        |
| 903236107                                | URS CORP                            | URS                            |                           |                           |                             |                             |
| 12.0000                                  | 06/07/2013 05/13/2010               | 570.71                         | 584.77                    | 0.00                      | -14.06                      | 0.00                        |
| 903236107                                | URS CORP                            | URS                            |                           |                           |                             |                             |
| 600.0000                                 | 10/21/2013 Various                  | 32,975.14                      | 27,148.63                 | 0.00                      | 5,826.51                    | 0.00                        |
| 920355104                                | VALSPAR CORP                        | VAL                            |                           |                           |                             |                             |
| 527.0000                                 | 10/21/2013 Various                  | 36,407.31                      | 14,794.93                 | 0.00                      | 21,612.38                   | 0.00                        |
| 983919101                                | XILINX INC                          | XLNX                           |                           |                           |                             |                             |
| 784.0000                                 | 10/21/2013 Various                  | 35,946.63                      | 20,699.44                 | 0.00                      | 15,247.19                   | 0.00                        |
| Total Long Term Sales Reported on 1099-B |                                     | 1,653,360.24                   | 1,029,370.99              | 0.00                      | 623,989.25                  | 0.00                        |

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# 2013 Tax Information Statement

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088507  
XX-XXX5974  
04-2233412

## Payer's Federal ID Number:

MA  
(617)951-7706

## Payer's State ID Number:

State: MA  
Questions? ☐ Corrected ☐ 2nd TIN notice

## Recipient's Name and Address:

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C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

## 2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip                  | Description (Box 8)               | Stock or Other Symbol (Box 1d) | Federal Income Tax Withheld (Box 4) | State Tax Withheld (Box 15) |                                   |                          |                                     |                             |
|------------------------|-----------------------------------|--------------------------------|-------------------------------------|-----------------------------|-----------------------------------|--------------------------|-------------------------------------|-----------------------------|
| Quantity Sold (Box 1e) | Date of Sale or Exchange (Box 1a) | Date of Acquisition (Box 1b)   | Stocks, Bonds, etc. (Box 2a)        | Cost or Other Basis (Box 3) | Wash Sale Loss Disallowed (Box 5) | Net Gain or Loss (Box 6) | Federal Income Tax Withheld (Box 4) | State Tax Withheld (Box 15) |
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# 2013 Tax Information Statement

**Payer's Name and Address:**  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

**Account Number:** 0088507  
**Recipient's Tax ID Number:** XX-XXX5974  
**Payer's Federal ID Number:** 04-2233412  
**Payer's State ID Number:** MA  
**State:** (617)951-7706  
**Questions?** ☐ 2nd TIN notice

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C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

☐ Corrected

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip         | Description (Box 8)      | Stock or Other Symbol (Box 1d) | Stocks, Bonds, etc. (Box 2a) | Cost or Other Basis (Box 3) | Wash Sale Loss Disallowed (Box 5) | Net Gain or Loss (Box 4) | Federal Income Tax Withheld (Box 15) |
|---------------|--------------------------|--------------------------------|------------------------------|-----------------------------|-----------------------------------|--------------------------|--------------------------------------|
| Quantity Sold | Date of Sale or Exchange | Date of Acquisition            |                              |                             |                                   |                          |                                      |
| (Box 1e)      | (Box 1a)                 | (Box 1b)                       |                              |                             |                                   |                          |                                      |
| 302130109     | EXPEDITORS INTL WASH INC |                                | EXPD                         |                             |                                   |                          |                                      |
| 1585.0000     | 10/21/2013               | 04/09/2013                     | 70,224.56                    | 58,358.04                   | 0.00                              | 11,866.52                | 0.00                                 |
| 452308109     | ILLINOIS TOOL WKS INC    |                                | ITW                          |                             |                                   |                          |                                      |
| 1060.0000     | 10/21/2013               | 04/26/2013                     | 82,080.72                    | 68,297.51                   | 0.00                              | 13,783.21                | 0.00                                 |
| G5785G107     | MALLINCKRODT PLC         |                                | MNK                          |                             |                                   |                          |                                      |
| 85.6250       | 07/08/2013               | 08/17/2012                     | 3,714.24                     | 3,502.28                    | 0.00                              | 211.96                   | 0.00                                 |
| 61166W101     | MONSANTO CO NEW          |                                | MON                          |                             |                                   |                          |                                      |
| 260.0000      | 04/08/2013               | 12/11/2012                     | 27,312.00                    | 23,684.60                   | 0.00                              | 3,627.40                 | 0.00                                 |
| 681919106     | OMNICOM GROUP            |                                | OMC                          |                             |                                   |                          |                                      |
| 640.0000      | 07/29/2013               | 02/14/2013                     | 42,182.01                    | 36,673.24                   | 0.00                              | 5,508.77                 | 0.00                                 |
| 693718108     | PACCAR INC               |                                | PCAR                         |                             |                                   |                          |                                      |
| 5585.0000     | 10/21/2013               | Various                        | 320,228.60                   | 257,519.86                  | 0.00                              | 62,708.74                | 0.00                                 |
| 73755L107     | POTASH CORP SASK INC     |                                | POT                          |                             |                                   |                          |                                      |
| 18225.0000    | 10/21/2013               | Various                        | 583,893.68                   | 682,397.90                  | 0.00                              | -98,504.22               | 0.00                                 |
| 806857108     | SCHLUMBERGER LTD         |                                | SLB                          |                             |                                   |                          |                                      |
| 2110.0000     | 10/21/2013               | Various                        | 196,583.91                   | 152,462.56                  | 0.00                              | 44,121.35                | 0.00                                 |
| H84989104     | TE CONNECTIVITY LIMITED  |                                | TEL                          |                             |                                   |                          |                                      |
| 1015.0000     | 05/31/2013               | 12/11/2012                     | 45,764.94                    | 36,906.62                   | 0.00                              | 8,858.32                 | 0.00                                 |

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BOSTON, MA 02199-3600

## Account Number:

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XX-XXX5974  
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## Questions?

☐ Corrected

## Recipient's Name and Address:

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☐ 2nd TIN notice

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip                                           | Description (Box 8)       | Date of Sale or Exchange | Date of Acquisition | Stock or Other Symbol (Box 1d) | Stocks, Bonds, etc. | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-------------------------------------------------|---------------------------|--------------------------|---------------------|--------------------------------|---------------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)                                        | (Box 1a)                  | (Box 1b)                 |                     |                                | (Box 2a)            | (Box 3)             | (Box 5)                   | (Box 4)          | (Box 15)                    |                    |
| H84989104                                       | TE CONNECTIVITY LIMITED   | 10/21/2013               | 12/11/2012          | TEL                            | 34,577.78           | 23,452.97           | 0.00                      | 11,124.81        | 0.00                        | 0.00               |
| 887317303                                       | TIME WARNER INC           | 08/14/2013               | 12/11/2012          | TWX                            | 5,928.47            | 4,471.65            | 0.00                      | 1,456.82         | 0.00                        | 0.00               |
| 91324P102                                       | UNITEDHEALTH GROUP INC    | 10/21/2013               | Various             | UNH                            | 263,859.08          | 276,522.01          | 0.00                      | -12,662.93       | 0.00                        | 0.00               |
| 931142103                                       | WAL MART STORES INC       | 10/21/2013               | 04/08/2013          | WMT                            | 48,374.16           | 49,471.86           | 0.00                      | -1,097.70        | 0.00                        | 0.00               |
| 645 0000                                        | WILLIS GROUP HOLDINGS PLC | 10/21/2013               | Various             | WSH                            | 22,960.31           | 19,783.52           | 0.00                      | 3,176.79         | 0.00                        | 0.00               |
| G96666105                                       | WILLIS GROUP HOLDINGS PLC | 10/21/2013               | Various             | WSH                            | 2,583,566.13        | 2,474,714.80        | 0.00                      | 108,851.33       | 0.00                        | 0.00               |
| 510.0000                                        | WILLIS GROUP HOLDINGS PLC | 10/21/2013               | Various             | WSH                            | 2,583,566.13        | 2,474,714.80        | 0.00                      | 108,851.33       | 0.00                        | 0.00               |
| Total Short Term Sales Reported on 1099-B       |                           |                          |                     |                                |                     |                     |                           |                  |                             |                    |
| Report on Form 8949, Part I, with Box A checked |                           |                          |                     |                                |                     |                     |                           |                  |                             |                    |
| Long Term Sales Reported on 1099-B              |                           |                          |                     |                                |                     |                     |                           |                  |                             |                    |
| 88579Y101                                       | 3M CO                     | 08/26/2013               | Various             | MMM                            | 64,980.49           | 52,788.22           | 0.00                      | 12,192.27        | 0.00                        | 0.00               |
| 565.0000                                        | 3M CO                     | 08/26/2013               | Various             | MMM                            | 64,980.49           | 52,788.22           | 0.00                      | 12,192.27        | 0.00                        | 0.00               |
| 88579Y101                                       | 3M CO                     | 10/21/2013               | Various             | MMM                            | 88,560.58           | 59,520.48           | 0.00                      | 29,040.10        | 0.00                        | 0.00               |
| 720.0000                                        | 3M CO                     | 10/21/2013               | Various             | MMM                            | 88,560.58           | 59,520.48           | 0.00                      | 29,040.10        | 0.00                        | 0.00               |

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# 2013 Tax Information Statement

**Payer's Name and Address:**  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

**Account Number:** 0088507  
**Recipient's Tax ID Number:** XX-XXX5974  
**Payer's Federal ID Number:** 04-2233412  
**Payer's State ID Number:** MA  
**State:** (617)951-7706  
**Questions?** ☐ 2nd TIN notice

**Recipient's Name and Address:**  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip     | Description (Box 8) |                          | Stock or Other Symbol (Box 1d) |                               | Stocks, Bonds, etc. |            | Cost or Other Basis |         | Wash Sale Loss Disallowed |           | Net Gain or Loss |         | Federal Income Tax Withheld |          |
|-----------|---------------------|--------------------------|--------------------------------|-------------------------------|---------------------|------------|---------------------|---------|---------------------------|-----------|------------------|---------|-----------------------------|----------|
|           | Quantity Sold       | Date of Sale or Exchange | (Box 1a)                       | (Box 1b)                      | (Box 2a)            | (Box 2b)   | (Box 3)             | (Box 4) | (Box 5)                   | (Box 6)   | (Box 7)          | (Box 8) | (Box 9)                     | (Box 10) |
| G1151C101 | 1635.0000           | 10/21/2013               | Various                        | ACCENTURE PLC CL A            | ACN                 | 119,802.47 | 86,163.79           | 0.00    | 0.00                      | 33,638.68 | 0.00             | 0.00    | 0.00                        | 0.00     |
| 025816109 | 445.0000            | 10/21/2013               | 03/09/2011                     | AMERICAN EXPRESS CO           | AXP                 | 35,745.58  | 19,984.95           | 0.00    | 0.00                      | 15,760.63 | 0.00             | 0.00    | 0.00                        | 0.00     |
| 03073E105 | 1025.0000           | 03/19/2013               | 03/09/2011                     | AMERISOURCEBERGEN CORP        | ABC                 | 51,336.78  | 39,062.75           | 0.00    | 0.00                      | 12,274.03 | 0.00             | 0.00    | 0.00                        | 0.00     |
| 053015103 | 495.0000            | 05/31/2013               | 03/09/2011                     | AUTOMATIC DATA PROCESSING INC | ADP                 | 34,488.72  | 25,186.08           | 0.00    | 0.00                      | 9,302.64  | 0.00             | 0.00    | 0.00                        | 0.00     |
| 064058100 | 1115.0000           | 05/08/2013               | 03/09/2011                     | BANK OF NEW YORK MELLON CORP  | BK                  | 31,515.44  | 33,550.35           | 0.00    | 0.00                      | -2,034.91 | 0.00             | 0.00    | 0.00                        | 0.00     |
| 064058100 | 7380.0000           | 10/21/2013               | Various                        | BANK OF NEW YORK MELLON CORP  | BK                  | 233,085.86 | 160,198.14          | 0.00    | 0.00                      | 72,887.72 | 0.00             | 0.00    | 0.00                        | 0.00     |
| 084670702 | 465.0000            | 07/18/2013               | 03/09/2011                     | BERKSHIRE HATHAWAY INC-CL B   | BRK/B               | 54,941.93  | 39,934.20           | 0.00    | 0.00                      | 15,007.73 | 0.00             | 0.00    | 0.00                        | 0.00     |
| 084670702 | 1000.0000           | 10/21/2013               | Various                        | BERKSHIRE HATHAWAY INC-CL B   | BRK/B               | 116,647.97 | 80,323.96           | 0.00    | 0.00                      | 36,324.01 | 0.00             | 0.00    | 0.00                        | 0.00     |
| 172908105 | 770.0000            | 10/21/2013               | 03/09/2011                     | CINTAS CORP                   | CTAS                | 40,923.42  | 21,705.44           | 0.00    | 0.00                      | 19,217.98 | 0.00             | 0.00    | 0.00                        | 0.00     |

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# 2013 Tax Information Statement

Page 11 of 24  
Ref: 11

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088507

## Recipient's Tax ID Number:

XX-XXX5974

## Payer's Federal ID Number:

04-2233412

## Payer's State ID Number:

MA

## Questions?

(617)951-7706

☐ Corrected

☐ 2nd TIN notice

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip     | Description (Box 8) |                                | Stock or Other Symbol (Box 1a) |  | Stocks, Bonds, etc. (Box 2a) |  | Cost or Other Basis (Box 3) |  | Wash Sale Loss Disallowed (Box 5) |  | Net Gain or Loss (Box 4) |  | Federal Income Tax Withheld (Box 15) |      |
|-----------|---------------------|--------------------------------|--------------------------------|--|------------------------------|--|-----------------------------|--|-----------------------------------|--|--------------------------|--|--------------------------------------|------|
|           | Quantity Sold       | Date of Sale or Exchange       | Date of Acquisition            |  |                              |  |                             |  |                                   |  |                          |  |                                      |      |
| (Box 1e)  |                     | (Box 1a)                       | (Box 1b)                       |  |                              |  |                             |  |                                   |  |                          |  |                                      |      |
| 200340107 |                     | COMERICA INC                   |                                |  | CMA                          |  |                             |  |                                   |  |                          |  |                                      |      |
| 9545.0000 |                     | 10/21/2013                     | Various                        |  | 403,582.20                   |  | 294,089.62                  |  | 0.00                              |  | 109,492.58               |  | 0.00                                 | 0.00 |
| G2554F113 |                     | COVIDIEN PLC                   |                                |  | COV                          |  |                             |  |                                   |  |                          |  |                                      |      |
| 1150.0000 |                     | 10/21/2013                     | Various                        |  | 73,000.00                    |  | 58,442.89                   |  | 0.00                              |  | 14,557.11                |  | 0.00                                 | 0.00 |
| 25179M103 |                     | DEVON ENERGY CORPORATION NEW   |                                |  | DVN                          |  |                             |  |                                   |  |                          |  |                                      |      |
| 3735.0000 |                     | 10/21/2013                     | Various                        |  | 243,980.26                   |  | 244,516.09                  |  | 0.00                              |  | -535.83                  |  | 0.00                                 | 0.00 |
| 302130109 |                     | EXPEDITORS INTL WASH INC       |                                |  | EXPD                         |  |                             |  |                                   |  |                          |  |                                      |      |
| 6835.0000 |                     | 10/21/2013                     | Various                        |  | 302,829.59                   |  | 259,998.89                  |  | 0.00                              |  | 42,830.70                |  | 0.00                                 | 0.00 |
| 37733W105 |                     | GLAXO SMITHKLINE SPONSORED ADR |                                |  | GSK                          |  |                             |  |                                   |  |                          |  |                                      |      |
| 2070.0000 |                     | 08/05/2013                     | Various                        |  | 109,083.10                   |  | 89,389.93                   |  | 0.00                              |  | 18,693.17                |  | 0.00                                 | 0.00 |
| 37733W105 |                     | GLAXO SMITHKLINE SPONSORED ADR |                                |  | GSK                          |  |                             |  |                                   |  |                          |  |                                      |      |
| 4285.0000 |                     | 10/21/2013                     | Various                        |  | 218,633.69                   |  | 182,369.05                  |  | 0.00                              |  | 36,264.64                |  | 0.00                                 | 0.00 |
| 452308109 |                     | ILLINOIS TOOL WKS INC          |                                |  | ITW                          |  |                             |  |                                   |  |                          |  |                                      |      |
| 6105.0000 |                     | 10/21/2013                     | Various                        |  | 472,738.49                   |  | 295,320.27                  |  | 0.00                              |  | 177,418.22               |  | 0.00                                 | 0.00 |
| 494368103 |                     | KIMBERLY CLARK CORP            |                                |  | KMB                          |  |                             |  |                                   |  |                          |  |                                      |      |
| 445.0000  |                     | 03/07/2013                     | 03/09/2011                     |  | 41,888.92                    |  | 28,702.50                   |  | 0.00                              |  | 13,186.42                |  | 0.00                                 | 0.00 |
| G5785G107 |                     | MALLINCKRODT PLC               |                                |  | MNK                          |  |                             |  |                                   |  |                          |  |                                      |      |
| 58 1250   |                     | 07/08/2013                     | 03/09/2011                     |  | 2,521.35                     |  | 2,213.97                    |  | 0.00                              |  | 307.38                   |  | 0.00                                 | 0.00 |

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# 2013 Tax Information Statement

Page 12 of 24  
Ref: 11

## Payer's Name and Address:

ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

## Account Number:

0088507

## Recipient's Tax ID Number:

XX-XXX5974

## Payer's Federal ID Number:

04-2233412

## Payer's State ID Number:

MA

## Questions?

(617)951-7706

☐ Corrected

☐ 2nd TIN notice

## Recipient's Name and Address:

SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip     | Description (Box 8)          |                                            | Stock or Other Symbol (Box 1d)     |  | Stocks<br>Bonds etc. |            | Cost or<br>Other Basis |         | Wash Sale<br>Loss Disallowed |            | Nat Gain<br>or Loss |         | Federal Income<br>Tax Withheld |         | State Tax<br>Withheld |          |
|-----------|------------------------------|--------------------------------------------|------------------------------------|--|----------------------|------------|------------------------|---------|------------------------------|------------|---------------------|---------|--------------------------------|---------|-----------------------|----------|
|           | Quantity<br>Sold<br>(Box 1e) | Date of<br>Sale or<br>Exchange<br>(Box 1a) | Date of<br>Acquisition<br>(Box 1b) |  | (Box 2a)             | (Box 2b)   | (Box 3)                | (Box 4) | (Box 5)                      |            | (Box 6)             | (Box 7) | (Box 8)                        | (Box 9) | (Box 10)              | (Box 11) |
| 594918104 |                              | MICROSOFT CORP                             |                                    |  | MSFT                 | 292,591.64 | 232,320.15             | 0.00    | 0.00                         | 60,271.49  | 0.00                | 0.00    | 0.00                           | 0.00    | 0.00                  | 0.00     |
| 8360 0000 |                              | Various                                    |                                    |  | MON                  | 43,594.16  | 28,763.65              | 0.00    | 0.00                         | 14,830.51  | 0.00                | 0.00    | 0.00                           | 0.00    | 0.00                  | 0.00     |
| 61166W101 |                              | MONSANTO CO NEW                            |                                    |  | NSRGY                | 38,492.58  | 29,810.20              | 0.00    | 0.00                         | 8,682.38   | 0.00                | 0.00    | 0.00                           | 0.00    | 0.00                  | 0.00     |
| 415.0000  |                              | 04/08/2013 03/09/2011                      |                                    |  | OMC                  | 408,638.23 | 268,203.67             | 0.00    | 0.00                         | 140,434.56 | 0.00                | 0.00    | 0.00                           | 0.00    | 0.00                  | 0.00     |
| 641069406 |                              | NESTLE SA SPONS ADR                        |                                    |  | SLB                  | 312,577.73 | 202,907.11             | 0.00    | 0.00                         | 109,670.62 | 0.00                | 0.00    | 0.00                           | 0.00    | 0.00                  | 0.00     |
| 535.0000  |                              | 10/21/2013 03/09/2011                      |                                    |  | SYV                  | 93,078.29  | 75,257.38              | 0.00    | 0.00                         | 17,820.91  | 0.00                | 0.00    | 0.00                           | 0.00    | 0.00                  | 0.00     |
| 681919106 |                              | OMNICOM GROUP                              |                                    |  | SYV                  | 37,350.46  | 32,329.20              | 0.00    | 0.00                         | 5,021.26   | 0.00                | 0.00    | 0.00                           | 0.00    | 0.00                  | 0.00     |
| 6200 0000 |                              | 07/29/2013 Various                         |                                    |  | TEL                  | 123,568.64 | 73,240.66              | 0.00    | 0.00                         | 50,327.98  | 0.00                | 0.00    | 0.00                           | 0.00    | 0.00                  | 0.00     |
| 806857108 |                              | SCHLUMBERGER LTD                           |                                    |  | TWX                  | 101,096.02 | 58,431.21              | 0.00    | 0.00                         | 42,664.81  | 0.00                | 0.00    | 0.00                           | 0.00    | 0.00                  | 0.00     |
| 3355.0000 |                              | 10/21/2013 Various                         |                                    |  |                      |            |                        |         |                              |            |                     |         |                                |         |                       |          |
| 871829107 |                              | SYSCO CORP                                 |                                    |  |                      |            |                        |         |                              |            |                     |         |                                |         |                       |          |
| 2650.0000 |                              | 03/28/2013 04/12/2011                      |                                    |  |                      |            |                        |         |                              |            |                     |         |                                |         |                       |          |
| 871829107 |                              | SYSCO CORP                                 |                                    |  |                      |            |                        |         |                              |            |                     |         |                                |         |                       |          |
| 1160.0000 |                              | 10/21/2013 03/09/2011                      |                                    |  |                      |            |                        |         |                              |            |                     |         |                                |         |                       |          |
| H84989104 |                              | TE CONNECTIVITY LIMITED                    |                                    |  |                      |            |                        |         |                              |            |                     |         |                                |         |                       |          |
| 2305.0000 |                              | 10/21/2013 Various                         |                                    |  |                      |            |                        |         |                              |            |                     |         |                                |         |                       |          |
| 887317303 |                              | TIME WARNER INC                            |                                    |  |                      |            |                        |         |                              |            |                     |         |                                |         |                       |          |
| 1620.0000 |                              | 08/14/2013 Various                         |                                    |  |                      |            |                        |         |                              |            |                     |         |                                |         |                       |          |

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# 2013 Tax Information Statement

Page 13 of 24  
Ref: 11

**Payer's Name and Address:**  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

**Account Number:** 0088507  
**Recipient's Tax ID Number:** XX-XXX5974  
**Payer's Federal ID Number:** 04-2233412  
**Payer's State ID Number:** MA  
**State:** (617)951-7706  
**Questions?** ☐ 2nd TIN notice

**Recipient's Name and Address:**  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.  
Covered (Box 6a is not checked)

| Cusip                                    | Description (Box 8) |                          | Stock or Other Symbol (Box 1c) |            | Stocks, Bonds, etc. |          | Cost or Other Basis |         | Wash Sale Loss Disallowed |         | Net Gain or Loss |         | Federal Income Tax Withheld |          | State Tax Withheld |          |
|------------------------------------------|---------------------|--------------------------|--------------------------------|------------|---------------------|----------|---------------------|---------|---------------------------|---------|------------------|---------|-----------------------------|----------|--------------------|----------|
|                                          | Quantity Sold       | Date of Sale or Exchange | (Box 1a)                       | (Box 1b)   | (Box 2a)            | (Box 2b) | (Box 3)             | (Box 4) | (Box 5)                   | (Box 6) | (Box 7)          | (Box 8) | (Box 9)                     | (Box 10) | (Box 11)           | (Box 12) |
| 887317303                                | 745.0000            | 10/21/2013               | TIME WARNER INC                |            | 51,294.23           |          | 25,733.54           |         | 0.00                      |         | 25,560.69        |         | 0.00                        |          | 0.00               | 0.00     |
| 931142103                                |                     |                          | WAL MART STORES INC            |            |                     |          |                     |         |                           |         |                  |         |                             |          |                    |          |
| 665 0000                                 |                     | 10/21/2013               |                                | 03/09/2011 | 49,874.13           |          | 35,017.09           |         | 0.00                      |         | 14,857.04        |         | 0.00                        |          | 0.00               | 0.00     |
| G96666105                                |                     |                          | WILLIS GROUP HOLDINGS PLC      |            |                     |          |                     |         |                           |         |                  |         |                             |          |                    |          |
| 5190.0000                                |                     | 10/21/2013               | Various                        |            | 233,654.86          |          | 217,861.82          |         | 0.00                      |         | 15,793.04        |         | 0.00                        |          | 0.00               | 0.00     |
| Total Long Term Sales Reported on 1099-B |                     |                          |                                |            | 4,525,097.81        |          | 3,353,337.25        |         | 0.00                      |         | 1,171,760.56     |         | 0.00                        |          | 0.00               | 0.00     |

Report on Form 8949, Part II, with Box D checked

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# 2013 Tax Information Statement

Account Number: 0088507  
 Recipient's Tax ID Number: XX-XXX5974  
 Payer's Federal ID Number: 04-2233412  
 Payer's State ID Number: MA  
 State: (617)951-7706  
 Questions? ☐ Corrected ☐ 2nd TIN notice

Payer's Name and Address:  
 ROPES & GRAY LLP FIDUCIARY ACCOUNT  
 800 BOYLSTON ST, PRUDENTIAL TOWER  
 BOSTON, MA 02199-3600

Recipient's Name and Address:  
 SWARTZ FOUNDATION  
 C/O ROPES & GRAY LLP PCG/TRUST  
 800 BOYLSTON ST, 30/051  
 800 BOYLSTON ST  
 BOSTON, MA 02199-3600

## 2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds, etc., less commissions and option premiums.  
 For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip                                     | Description (Box 8)           | Date of Sale or Exchange | Quantity Sold | Stocks, Bonds, etc. (Box 1a) | Cost or Other Basis (Box 1d) | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-------------------------------------------|-------------------------------|--------------------------|---------------|------------------------------|------------------------------|---------------------------|------------------|-----------------------------|--------------------|
|                                           |                               |                          |               |                              |                              |                           |                  | (Box 4)                     | (Box 15)           |
| <b>Long Term Sales Reported on 1099-B</b> |                               |                          |               |                              |                              |                           |                  |                             |                    |
| 88579Y101                                 | 3M CO                         |                          |               | MMM                          |                              |                           |                  |                             |                    |
| 4010.0000                                 | 10/21/2013 Various            |                          |               | 493,233.21                   | 326,734.79                   | 0.00                      | 166,498.42       | 0.00                        | 0.00               |
| G1151C101                                 | ACCENTURE PLC CL A            |                          |               | ACN                          |                              |                           |                  |                             |                    |
| 3810.0000                                 | 10/21/2013 Various            |                          |               | 279,172.74                   | 141,593.40                   | 0.00                      | 137,579.34       | 0.00                        | 0.00               |
| 025816109                                 | AMERICAN EXPRESS CO           |                          |               | AXP                          |                              |                           |                  |                             |                    |
| 4280.0000                                 | 10/21/2013 Various            |                          |               | 343,800.16                   | 171,401.08                   | 0.00                      | 172,399.08       | 0.00                        | 0.00               |
| 03073E105                                 | AMERISOURCEBERGEN CORP        |                          |               | ABC                          |                              |                           |                  |                             |                    |
| 360.0000                                  | 03/19/2013 08/25/2010         |                          |               | 18,030.48                    | 9,971.16                     | 0.00                      | 8,059.32         | 0.00                        | 0.00               |
| 03073E105                                 | AMERISOURCEBERGEN CORP        |                          |               | ABC                          |                              |                           |                  |                             |                    |
| 5870.0000                                 | 10/21/2013 Various            |                          |               | 374,706.10                   | 161,673.57                   | 0.00                      | 213,032.53       | 0.00                        | 0.00               |
| 053015103                                 | AUTOMATIC DATA PROCESSING INC |                          |               | ADP                          |                              |                           |                  |                             |                    |
| 2200.0000                                 | 05/31/2013 Various            |                          |               | 153,283.20                   | 86,212.82                    | 0.00                      | 67,070.38        | 0.00                        | 0.00               |
| 053015103                                 | AUTOMATIC DATA PROCESSING INC |                          |               | ADP                          |                              |                           |                  |                             |                    |
| 78.0000                                   | 06/03/2013 08/27/2010         |                          |               | 5,420.90                     | 3,050.86                     | 0.00                      | 2,370.04         | 0.00                        | 0.00               |

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# 2013 Tax Information Statement

Page 15 of 24  
Ref: 11

Account Number: 0088507  
 Recipient's Tax ID Number: XX-XXX5974  
 Payer's Federal ID Number: 04-2233412  
 Payer's State ID Number: MA  
 State: (617)951-7706  
 Questions? ☐ 2nd TIN notice  
 Corrected ☐

Payer's Name and Address:  
 ROPES & GRAY LLP FIDUCIARY ACCOUNT  
 800 BOYLSTON ST, PRUDENTIAL TOWER  
 BOSTON, MA 02199-3600

Recipient's Name and Address:  
 SWARTZ FOUNDATION  
 C/O ROPES & GRAY LLP PCG/TRUST  
 800 BOYLSTON ST, 30/051  
 800 BOYLSTON ST  
 BOSTON, MA 02199-3600

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip         | Description (Box 8)           | Stock or Other Symbol (Box 1d) | Stocks, Bonds, etc. (Box 2a) | Cost or Other Basis (Box 3) | Wash Sale Loss Disallowed | Net Gain or Loss (Box 4) | Federal Income Tax Withheld (Box 15) |
|---------------|-------------------------------|--------------------------------|------------------------------|-----------------------------|---------------------------|--------------------------|--------------------------------------|
| Quantity Sold | Date of Sale or Exchange      | Date of Acquisition            |                              |                             |                           |                          |                                      |
| (Box 1e)      | (Box 1a)                      |                                |                              |                             |                           |                          |                                      |
| 053015103     | AUTOMATIC DATA PROCESSING INC |                                | ADP                          | 123,831.94                  | 69,613.47                 | 54,218.47                | 0.00                                 |
| 1782 0000     | 06/04/2013 Various            |                                |                              |                             | 0.00                      |                          |                                      |
| 064058100     | BANK OF NEW YORK MELLON CORP  |                                | BK                           | 68,259.89                   | 59,046.75                 | 9,213.14                 | 0.00                                 |
| 2415.0000     | 05/08/2013 08/30/2010         |                                |                              |                             | 0.00                      |                          |                                      |
| 064058100     | BANK OF NEW YORK MELLON CORP  |                                | BK                           | 287,409.40                  | 220,378.60                | 67,030.80                | 0.00                                 |
| 9100.0000     | 10/21/2013 Various            |                                |                              |                             | 0.00                      |                          |                                      |
| 084670702     | BERKSHIRE HATHAWAY INC-CL B   |                                | BRK/B                        | 423,432.13                  | 281,026.27                | 142,405.86               | 0.00                                 |
| 3630.0000     | 10/21/2013 Various            |                                |                              |                             | 0.00                      |                          |                                      |
| 172908105     | CINTAS CORP                   |                                | CTAS                         | 289,387.07                  | 138,796.31                | 150,590.76               | 0.00                                 |
| 5445.0000     | 10/21/2013 Various            |                                |                              |                             | 0.00                      |                          |                                      |
| G2554F113     | COVIDIEN PLC                  |                                | COV                          | 302,791.32                  | 160,071.86                | 142,719.46               | 0.00                                 |
| 4770.0000     | 10/21/2013 Various            |                                |                              |                             | 0.00                      |                          |                                      |
| 25179M103     | DEVON ENERGY CORPORATION NEW  |                                | DVN                          | 161,020.44                  | 148,557.14                | 12,463.30                | 0.00                                 |
| 2465.0000     | 10/21/2013 Various            |                                |                              |                             | 0.00                      |                          |                                      |
| G47791101     | INGERSOLL-RAND PLC            |                                | IR                           | 154,657.77                  | 125,294.66                | 29,363.11                | 0.00                                 |
| 2690.0000     | 06/04/2013 02/15/2011         |                                |                              |                             | 0.00                      |                          |                                      |
| G47791101     | INGERSOLL-RAND PLC            |                                | IR                           | 150,256.41                  | 110,657.46                | 39,598.95                | 0.00                                 |
| 2590 0000     | 06/10/2013 Various            |                                |                              |                             | 0.00                      |                          |                                      |
| 494368103     | KIMBERLY CLARK CORP           |                                | KMB                          | 96,956.38                   | 66,389.15                 | 30,567.23                | 0.00                                 |
| 1030 0000     | 03/07/2013 08/25/2010         |                                |                              |                             | 0.00                      |                          |                                      |

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# 2013 Tax Information Statement

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Recipient's Name and Address:

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800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Account Number:

0088507  
XX-XXX5974  
04-2233412

Recipient's Tax ID Number:

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Payer's Federal ID Number:

MA

Payer's State ID Number:

MA

State:

(617)951-7706

Questions?

☐ Corrected ☐ 2nd TIN notice

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ROPES & GRAY LLP FIDUCIARY ACCOUNT  
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BOSTON, MA 02199-3600

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| Cusip                                    | Description (Box 8)     | Quantity Sold | Date of Sale or Exchange | Acquisition | Stocks       | Bonds etc. | Cost or Other Basis (Box 2a) | Wash Sale Loss Disallowed | Nat Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|------------------------------------------|-------------------------|---------------|--------------------------|-------------|--------------|------------|------------------------------|---------------------------|------------------|-----------------------------|--------------------|
| (Box 1e)                                 | (Box 1a)                |               |                          |             |              |            |                              |                           |                  | (Box 4)                     | (Box 15)           |
| 494368103                                | KIMBERLY CLARK CORP     |               |                          |             |              |            | KMB                          |                           |                  |                             |                    |
| 2625.0000                                | 05/01/2013 Various      |               |                          |             | 271,638.77   |            | 168,796.39                   | 0.00                      | 102,842.38       | 0.00                        | 0.00               |
| G5785G107                                | MALLINCKRODT PLC        |               |                          |             |              |            | MNK                          |                           |                  |                             |                    |
| 596.2500                                 | 07/08/2013 Various      |               |                          |             | 25,864.14    |            | 15,656.48                    | 0.00                      | 10,207.66        | 0.00                        | 0.00               |
| 61166W101                                | MONSANTO CO NEW         |               |                          |             |              |            | MON                          |                           |                  |                             |                    |
| 1615.0000                                | 04/08/2013 Various      |               |                          |             | 169,649.54   |            | 90,760.35                    | 0.00                      | 78,889.19        | 0.00                        | 0.00               |
| 641069406                                | NESTLE SA SPONS ADR     |               |                          |             |              |            | NSRGY                        |                           |                  |                             |                    |
| 3600.0000                                | 10/21/2013 Various      |               |                          |             | 259,015.50   |            | 183,776.35                   | 0.00                      | 75,239.15        | 0.00                        | 0.00               |
| 871829107                                | SYSCO CORP              |               |                          |             |              |            | SYV                          |                           |                  |                             |                    |
| 1865.0000                                | 03/28/2013 08/25/2010   |               |                          |             | 65,506.04    |            | 52,272.39                    | 0.00                      | 13,233.65        | 0.00                        | 0.00               |
| 871829107                                | SYSCO CORP              |               |                          |             |              |            | SYV                          |                           |                  |                             |                    |
| 7390.0000                                | 10/21/2013 Various      |               |                          |             | 237,948.16   |            | 206,259.52                   | 0.00                      | 31,688.64        | 0.00                        | 0.00               |
| H84989104                                | TE CONNECTIVITY LIMITED |               |                          |             |              |            | TEL                          |                           |                  |                             |                    |
| 6575.0000                                | 10/21/2013 Various      |               |                          |             | 352,478.89   |            | 164,431.71                   | 0.00                      | 188,047.18       | 0.00                        | 0.00               |
| 887317303                                | TIME WARNER INC         |               |                          |             |              |            | TWX                          |                           |                  |                             |                    |
| 3530.0000                                | 10/21/2013 Various      |               |                          |             | 243,045.12   |            | 105,679.77                   | 0.00                      | 137,365.35       | 0.00                        | 0.00               |
| 931142103                                | WAL MART STORES INC     |               |                          |             |              |            | WMT                          |                           |                  |                             |                    |
| 4080.0000                                | 10/21/2013 Various      |               |                          |             | 305,994.68   |            | 208,332.12                   | 0.00                      | 97,662.56        | 0.00                        | 0.00               |
| Total Long Term Sales Reported on 1099-B |                         |               |                          |             | 5,656,790.38 |            | 3,476,434.43                 | 0.00                      | 2,180,355.95     | 0.00                        | 0.00               |

Report on Form 8949, Part II, with Box E checked

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2013 Tax Information Statement

Account Number: 0088508  
Recipient's Name and Address:  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Recipient's Tax ID Number: XX-XXX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ Corrected ☐ 2nd TIN notice

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds, etc., less commissions and option premiums.  
For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

| Cusip                               | Description (Box 8)      |                          | Stock or Other Symbol (Box 1d) |                     | Federal Income Tax Withheld | State Tax Withheld |
|-------------------------------------|--------------------------|--------------------------|--------------------------------|---------------------|-----------------------------|--------------------|
|                                     | Quantity Sold            | Date of Sale or Exchange | Date of Acquisition            | Cost or Other Basis |                             |                    |
| (Box 1e)                            | (Box 1a)                 | (Box 2a)                 | (Box 4)                        | (Box 15)            |                             |                    |
| Short Term Sales Reported on 1099-B |                          |                          |                                |                     |                             |                    |
| 013817AU5                           | ALCOA INC 6.150%         | 8/15/20                  |                                |                     |                             |                    |
| 10000.0000                          | 10/24/2013               | 05/30/2013               | 10,781.80                      | 10,801.80           | 0.00                        | -20.00             |
| 02209SAD5                           | ALTRIA GROUP INC 9.700%  | 11/10/18                 |                                |                     |                             |                    |
| 80000.0000                          | 10/24/2013               | 07/17/2013               | 106,451.20                     | 107,729.60          | 0.00                        | -1,278.40          |
| 042735BC3                           | ARROW ELECTRONIC 4.500%  | 3/01/23                  |                                |                     |                             |                    |
| 95000.0000                          | 10/24/2013               | 05/16/2013               | 94,586.75                      | 98,014.35           | 0.00                        | -3,427.60          |
| 042735BA7                           | ARROW ELECTRONICS 6.000% | 4/01/20                  |                                |                     |                             |                    |
| 10000.0000                          | 10/24/2013               | 06/04/2013               | 11,253.80                      | 11,222.50           | 0.00                        | 31.30              |
| 053807AR4                           | AVNET INC 4.875%         | 12/01/22                 |                                |                     |                             |                    |
| 40000.0000                          | 10/24/2013               | 03/05/2013               | 40,999.20                      | 41,225.00           | 0.00                        | -225.80            |
| 053807AQ6                           | AVNET INC 5.875%         | 6/15/20                  |                                |                     |                             |                    |
| 10000.0000                          | 10/24/2013               | 08/28/2013               | 10,864.60                      | 10,679.10           | 0.00                        | 185.50             |
| 058498AP1                           | BALL CORP 6.750%         | 9/15/20                  |                                |                     |                             |                    |
| 90000.0000                          | 10/25/2013               | 09/18/2013               | 98,325.00                      | 97,762.50           | 0.00                        | 562.50             |

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(617)951-7706

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| Cusip     | Quantity Sold | Description (Box 8)<br>Date of Sale or Exchange | Stock or Other Symbol (Box 1d) |            |                     |             |                      |                      |  | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|---------------|-------------------------------------------------|--------------------------------|------------|---------------------|-------------|----------------------|----------------------|--|---------------------------|------------------|-----------------------------|--------------------|
|           |               |                                                 | Bonds, etc.                    | Stocks     | Cost or Other Basis | Other Basis | Capital Gain or Loss | Dividend or Interest |  |                           |                  |                             |                    |
|           |               |                                                 |                                |            |                     |             |                      |                      |  |                           |                  |                             |                    |
| (Box 1e)  | (Box 1a)      | (Box 2a)                                        | (Box 4)                        | (Box 15)   |                     |             |                      |                      |  |                           |                  |                             |                    |
| 086516AL5 | 5000.0000     | BEST BUY CO INC 5.500% 3/15/21                  | 5,050.00                       | 4,717.43   | 0.00                | 332.57      | 0.00                 | 0.00                 |  |                           |                  |                             |                    |
| 055921AC4 | 110000.0000   | BMC SOFTWARE INC 4.500% 12/01/22                | 108,900.00                     | 113,515.90 | 0.00                | -4,615.90   | 0.00                 | 0.00                 |  |                           |                  |                             |                    |
| 109641AF7 | 55000.0000    | BRINKER INTL 2.600% 5/15/18                     | 55,156.75                      | 54,212.18  | 0.00                | 944.57      | 0.00                 | 0.00                 |  |                           |                  |                             |                    |
| 109641AG5 | 5000.0000     | BRINKER INTL 3.875% 5/15/23                     | 4,685.20                       | 4,842.60   | 0.00                | -157.40     | 0.00                 | 0.00                 |  |                           |                  |                             |                    |
| 156700AR7 | 10000.0000    | CENTURYLINK INC 6.450% 6/15/21                  | 10,458.90                      | 10,573.00  | 0.00                | -114.10     | 0.00                 | 0.00                 |  |                           |                  |                             |                    |
| 23918KAL2 | 95000.0000    | DAVITA INC 6.375% 11/01/18                      | 99,821.25                      | 102,481.25 | 0.00                | -2,660.00   | 0.00                 | 0.00                 |  |                           |                  |                             |                    |
| 248019AP6 | 100000.0000   | DELUXE CORP 7.000% 3/15/19                      | 107,900.00                     | 106,750.00 | 0.00                | 1,150.00    | 0.00                 | 0.00                 |  |                           |                  |                             |                    |
| 257867AX9 | 105000.0000   | DONNELLEY & SONS 7.250% 5/15/18                 | 118,230.00                     | 117,075.00 | 0.00                | 1,155.00    | 0.00                 | 0.00                 |  |                           |                  |                             |                    |
| 30212PAH8 | 10000.0000    | EXPEDIA INC 5.950% 8/15/20                      | 10,749.70                      | 10,542.50  | 0.00                | 207.20      | 0.00                 | 0.00                 |  |                           |                  |                             |                    |
| 404121AC9 | 100000.0000   | HCA INC 6.500% 2/15/20                          | 112,030.00                     | 107,537.50 | 0.00                | 4,492.50    | 0.00                 | 0.00                 |  |                           |                  |                             |                    |

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| Cusip         | Description (Box 8)                 | Stock or Other Symbol (Box 1d) | Other Basis         | Wash Sale Loss/Disallowed | Net Gain  | Federal Income Tax | State Tax |
|---------------|-------------------------------------|--------------------------------|---------------------|---------------------------|-----------|--------------------|-----------|
| Quantity Sold | Date of Sale or Exchange            | Stocks, Bonds, etc.            | Cost or Other Basis | Loss/Disallowed           | Net Gain  | Federal Income Tax | State Tax |
| (Box 1e)      | (Box 1a)                            | (Box 2a)                       | (Box 4)             | (Box 15)                  |           |                    |           |
| 459902AR3     | INTL GAME TECH 7.500% 6/15/19       |                                |                     |                           |           |                    |           |
| 65000.0000    | 10/23/2013 Various                  | 76,895.00                      | 77,054.75           | 0.00                      | -159.75   | 0.00               | 0.00      |
| 459902AS1     | INTL GAME TECHNOLOGY 5.500% 6/15/20 |                                |                     |                           |           |                    |           |
| 20000.0000    | 10/23/2013 06/05/2013               | 21,400.00                      | 21,428.60           | 0.00                      | -28.60    | 0.00               | 0.00      |
| 502413AY3     | L-3 COMMS CORP 5.200% 10/15/19      |                                |                     |                           |           |                    |           |
| 55000.0000    | 10/23/2013 Various                  | 60,170.00                      | 62,389.15           | 0.00                      | -2,219.15 | 0.00               | 0.00      |
| 529772AF2     | LEXMARK INTL INC 5.125% 3/15/20     |                                |                     |                           |           |                    |           |
| 95000.0000    | 10/23/2013 Various                  | 99,465.00                      | 95,060.80           | 0.00                      | 4,404.20  | 0.00               | 0.00      |
| 532716AM9     | LIMITED BRANDS INC 6.900% 7/15/17   |                                |                     |                           |           |                    |           |
| 20000.0000    | 10/25/2013 08/26/2013               | 22,890.00                      | 22,450.00           | 0.00                      | 440.00    | 0.00               | 0.00      |
| 810186AK2     | SCOTTS MIRACLE 6.625% 12/15/20      |                                |                     |                           |           |                    |           |
| 20000.0000    | 10/25/2013 01/11/2013               | 21,440.00                      | 22,175.00           | 0.00                      | -735.00   | 0.00               | 0.00      |
| 81180WAF8     | SEAGATE HDD CAYM 7.000% 11/01/21    |                                |                     |                           |           |                    |           |
| 70000.0000    | 10/24/2013 08/15/2013               | 77,686.70                      | 75,775.00           | 0.00                      | 1,911.70  | 0.00               | 0.00      |
| 81180WAD3     | SEAGATE HDD CAYMAN 6.875% 5/01/20   |                                |                     |                           |           |                    |           |
| 15000.0000    | 10/24/2013 08/21/2013               | 16,472.55                      | 16,143.75           | 0.00                      | 328.80    | 0.00               | 0.00      |
| 912796AE9     | U.S. TREASURY BILLS 11/14/13        |                                |                     |                           |           |                    |           |
| 300000.0000   | 10/23/2013 08/09/2013               | 299,969.67                     | 299,963.98          | 0.00                      | 5.69      | 0.00               | 0.00      |
| 92345YAB2     | VERISK ANALYTICS 4.875% 1/15/19     |                                |                     |                           |           |                    |           |
| 10000.0000    | 10/23/2013 05/20/2013               | 10,830.00                      | 11,076.25           | 0.00                      | -246.25   | 0.00               | 0.00      |

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|-------------------------------------------------|---------------|----------------------------------------------|-----------------------|--------------------------------|--------------|---------------------|---------------------------|------------------|-----------------------------|--------------------|
|                                                 |               |                                              |                       | (Box 1a)                       | (Box 2a)     |                     |                           |                  |                             |                    |
| 952355AK1                                       | 95000.0000    | WEST CORP 7.875% 1/15/19                     | 10/25/2013 05/14/2013 | 102,885.00                     | 104,856.25   | 0.00                | -1,971.25                 | 0.00             | 0.00                        | 0.00               |
| 952355AF2                                       | 10000.0000    | WEST CORP 11.000% 10/15/16                   | 04/26/2013 Various    | 10,366.70                      | 10,575.00    | 0.00                | -208.30                   | 0.00             | 0.00                        | 0.00               |
| 970648AE1                                       | 10000.0000    | WILLIS NORTH AMER 7.000% 9/29/19             | 10/23/2013 07/09/2013 | 12,138.90                      | 11,462.50    | 0.00                | 676.40                    | 0.00             | 0.00                        | 0.00               |
| 984121CD3                                       | 20000.0000    | XEROX CORPORATION 4.500% 5/15/21             | 10/23/2013 04/17/2013 | 20,916.20                      | 21,756.20    | 0.00                | -840.00                   | 0.00             | 0.00                        | 0.00               |
| 984121BW2                                       | 75000.0000    | XEROX CORPORATION 6.350% 5/15/18             | 10/23/2013 Various    | 86,771.25                      | 87,068.80    | 0.00                | -297.55                   | 0.00             | 0.00                        | 0.00               |
| Total Short Term Sales Reported on 1099-B       |               |                                              |                       | 1,946,541.12                   | 1,948,918.24 | 0.00                | -2,377.12                 | 0.00             | 0.00                        | 0.00               |
| Report on Form 8949, Part I, with Box B checked |               |                                              |                       |                                |              |                     |                           |                  |                             |                    |
| Long Term Sales Reported on 1099-B              |               |                                              |                       |                                |              |                     |                           |                  |                             |                    |
| 013817AU5                                       | 90000.0000    | ALCOA INC 6.150% 8/15/20                     | 10/24/2013 Various    | 97,036.20                      | 97,431.30    | 0.00                | -395.10                   | 0.00             | 0.00                        | 0.00               |
| 029912BD3                                       | 10000.0000    | AMERICAN TOWER 4.500% 1/15/18                | 03/12/2013 Various    | 10,967.50                      | 10,244.15    | 0.00                | 723.35                    | 0.00             | 0.00                        | 0.00               |
| 029912BD3                                       | 25000.0000    | AMERICAN TOWER 4.500% 1/15/18                | 03/14/2013 Various    | 27,449.50                      | 24,938.25    | 0.00                | 2,511.25                  | 0.00             | 0.00                        | 0.00               |

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# 2013 Tax Information Statement

Page 10 of 26  
Ref: 11

Account Number: 0088508  
Recipient's Name and Address:  
SWARTZ FOUNDATION  
C/O ROPES & GRAY LLP PCG/TRUST  
800 BOYLSTON ST, 30/051  
800 BOYLSTON ST  
BOSTON, MA 02199-3600

Recipient's Tax ID Number: XX-XXX5974  
Payer's Federal ID Number: 04-2233412  
Payer's State ID Number: MA  
State: (617)951-7706  
Questions? ☐ 2nd TIN notice

Payer's Name and Address:  
ROPES & GRAY LLP FIDUCIARY ACCOUNT  
800 BOYLSTON ST, PRUDENTIAL TOWER  
BOSTON, MA 02199-3600

☐ Corrected

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| Cusip     | Description (Box 8)             | Quantity Sold | Stock or Other Symbol (Box 1d) | Stocks, Bonds, etc. (Box 2a) | Cost or Other Basis | Wash Sale Loss Disallowed | Nat'l Gain or Loss | Federal Income Tax Withheld | State Tax Withheld |
|-----------|---------------------------------|---------------|--------------------------------|------------------------------|---------------------|---------------------------|--------------------|-----------------------------|--------------------|
| (Box 1e)  | (Box 1a)                        |               |                                |                              |                     |                           |                    | (Box 4)                     | (Box 15)           |
| 029912BD3 | AMERICAN TOWER 4.500% 1/15/18   | 60000.0000    |                                | 66,391.20                    | 59,350.20           | 0.00                      | 7,041.00           | 0.00                        | 0.00               |
| 053807AM5 | AVNET INC 6.000% 9/01/15        | 55000.0000    |                                | 59,907.65                    | 60,346.90           | 0.00                      | -439.25            | 0.00                        | 0.00               |
| 053807AN3 | AVNET INC 6.625% 9/15/16        | 50000.0000    |                                | 56,456.50                    | 55,587.50           | 0.00                      | 869.00             | 0.00                        | 0.00               |
| 086516AL5 | BEST BUY CO INC 5.500% 3/15/21  | 105000.0000   |                                | 106,365.00                   | 98,647.68           | 0.00                      | 7,717.32           | 0.00                        | 0.00               |
| 109641AE0 | BRINKER INTL INC 5.750% 6/01/14 | 95000.0000    |                                | 100,028.35                   | 100,537.95          | 0.00                      | -509.60            | 0.00                        | 0.00               |
| 156700AS5 | CENTURYLINK INC 5.800% 3/15/22  | 95000.0000    |                                | 95,095.00                    | 99,663.20           | 0.00                      | -4,568.20          | 0.00                        | 0.00               |
| 21036PAF5 | CONSTELLATION BR 7.250% 5/15/17 | 40000.0000    |                                | 45,750.00                    | 44,000.00           | 0.00                      | 1,750.00           | 0.00                        | 0.00               |
| 21036PAF5 | CONSTELLATION BR 7.250% 5/15/17 | 20000.0000    |                                | 22,875.00                    | 21,700.00           | 0.00                      | 1,175.00           | 0.00                        | 0.00               |
| 21036PAF5 | CONSTELLATION BR 7.250% 5/15/17 | 50000.0000    |                                | 57,125.00                    | 54,212.50           | 0.00                      | 2,912.50           | 0.00                        | 0.00               |
| 222862AH7 | COVENTRY HEALTH 6.300% 8/15/14  | 75000.0000    |                                | 80,913.00                    | 79,956.25           | 0.00                      | 956.75             | 0.00                        | 0.00               |

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| Cusip     | Description (Box 8)             | Date of Sale or Exchange | Quantity Sold | Stocks, Bonds, etc. (Box 2a) | Cost or Other Basis | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax | State Tax |
|-----------|---------------------------------|--------------------------|---------------|------------------------------|---------------------|---------------------------|------------------|--------------------|-----------|
| (Box 1e)  | (Box 1a)                        | (Box 1b)                 | (Box 1c)      | (Box 2a)                     | (Box 2b)            | (Box 2c)                  | (Box 2d)         | (Box 2e)           | (Box 2f)  |
| 257867AT8 | DONNELLEY & SONS 6.125% 1/15/17 | 08/26/2013 Various       | 109000 0000   | 121,535.00                   | 113,144.20          | 0.00                      | 8,390.80         | 0.00               | 0.00      |
| 257867AT8 | DONNELLEY & SONS 6.125% 1/15/17 | 09/06/2013 03/10/2011    | 6000 0000     | 6,615.00                     | 6,183.75            | 0.00                      | 431.25           | 0.00               | 0.00      |
| 30212PAH8 | EXPEDIA INC 5.950% 8/15/20      | 10/24/2013 Various       | 95000 0000    | 102,122.15                   | 95,757.20           | 0.00                      | 6,364.95         | 0.00               | 0.00      |
| 337738AG3 | FISERV INC 6.800% 11/20/17      | 10/24/2013 Various       | 95000 0000    | 110,912.50                   | 109,421.55          | 0.00                      | 1,490.95         | 0.00               | 0.00      |
| 364760AK4 | GAP INC/THE DE 5.950% 4/12/21   | 10/23/2013 Various       | 105000 0000   | 116,933.25                   | 100,126.10          | 0.00                      | 16,807.15        | 0.00               | 0.00      |
| 428040CJ6 | HERTZ CORP 6.750% 4/15/19       | 10/25/2013 Various       | 130000 0000   | 140,426.00                   | 136,506.25          | 0.00                      | 3,919.75         | 0.00               | 0.00      |
| 444859AU6 | HUMANA INC 6.300% 8/01/18       | 10/23/2013 Various       | 45000 0000    | 52,564.95                    | 49,694.70           | 0.00                      | 2,870.25         | 0.00               | 0.00      |
| 444859AV4 | HUMANA INC 6.450% 6/01/16       | 03/13/2013 08/27/2010    | 15000 0000    | 17,311.95                    | 16,588.50           | 0.00                      | 723.45           | 0.00               | 0.00      |
| 444859AY8 | HUMANA INC 7.200% 6/15/18       | 10/23/2013 05/22/2012    | 25000 0000    | 30,212.50                    | 30,216.75           | 0.00                      | -4.25            | 0.00               | 0.00      |
| 460690BF6 | INTERPUBLIC GRP 10.000% 7/15/17 | 07/15/2013 Various       | 95000 0000    | 99,750.00                    | 110,635.00          | 0.00                      | -10,885.00       | 0.00               | 0.00      |

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BOSTON, MA 02199-3600

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| Cusip     | Description (Box 8)               | Date of Sale or Exchange | Quantity Sold | Stocks or Bonds (Box 1a) | Cost or Other Basis (Box 2a) | Wash Sale Loss Disallowed | Net Gain or Loss (Box 4) | Federal Income Tax Withheld | State Tax Withheld |
|-----------|-----------------------------------|--------------------------|---------------|--------------------------|------------------------------|---------------------------|--------------------------|-----------------------------|--------------------|
| 459902AR3 | INTL GAME TECH 7.500% 6/15/19     | 10/23/2013               | 5000.0000     | 5,915.00                 | 5,984.25                     | 0.00                      | -69.25                   | 0.00                        | 0.00               |
| 47102XAF2 | JANUS CAPITAL GR 6.700% 6/15/17   | 10/23/2013               | 105000.0000   | 118,545.00               | 115,254.90                   | 0.00                      | 3,290.10                 | 0.00                        | 0.00               |
| 471109AB4 | JARDEN CORP 7.500% 5/01/17        | 10/25/2013               | 120000.0000   | 138,540.00               | 125,150.00                   | 0.00                      | 13,390.00                | 0.00                        | 0.00               |
| 502413AY3 | L-3 COMMS CORP 5.200% 10/15/19    | 10/23/2013               | 45000.0000    | 49,230.00                | 50,454.30                    | 0.00                      | -1,224.30                | 0.00                        | 0.00               |
| 529772AD7 | LEXMARK INTL INC 5.900% 6/01/13   | 02/27/2013               | 90000.0000    | 91,012.50                | 96,308.10                    | 0.00                      | -5,295.60                | 0.00                        | 0.00               |
| 529772AE5 | LEXMARK INTL INC 6.650% 6/01/18   | 10/23/2013               | 5000.0000     | 5,670.00                 | 5,279.40                     | 0.00                      | 390.60                   | 0.00                        | 0.00               |
| 532716AM9 | LIMITED BRANDS INC 6.900% 7/15/17 | 08/21/2013               | 35000.0000    | 39,243.75                | 38,281.25                    | 0.00                      | 962.50                   | 0.00                        | 0.00               |
| 532716AM9 | LIMITED BRANDS INC 6.900% 7/15/17 | 08/21/2013               | 5000.0000     | 5,606.25                 | 5,612.50                     | 6.25                      | 0.00                     | 0.00                        | 0.00               |
| 532716AM9 | LIMITED BRANDS INC 6.900% 7/15/17 | 10/25/2013               | 75000.0000    | 85,837.50                | 81,556.25                    | 0.00                      | 4,281.25                 | 0.00                        | 0.00               |
| 574599BD7 | MASCO CORP 6.125% 10/03/16        | 05/13/2013               | 110000.0000   | 123,268.77               | 112,685.00                   | 0.00                      | 10,583.77                | 0.00                        | 0.00               |

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| Cusip       | Description (Box 8)                 | Date of Sale or Exchange | Quantity Sold | Cost or Other Basis (Box 1a) | Other Basis (Box 2a) | Wash Sale Loss Disallowed | Net Gain or Loss | Federal Income Tax | State Tax |
|-------------|-------------------------------------|--------------------------|---------------|------------------------------|----------------------|---------------------------|------------------|--------------------|-----------|
|             |                                     |                          |               |                              |                      |                           |                  | (Box 4)            | (Box 15)  |
| 594087AR9   | MICHAELS STORES 7.750% 11/01/18     | 08/07/2013               | Various       | 140,400.00                   | 124,582.21           | 0.00                      | 15,817.79        | 0.00               | 0.00      |
| 810186AH9   | SCOTTS MIRACLE 7.250% 1/15/18       | 10/25/2013               | 07/26/2012    | 78,382.50                    | 81,375.00            | 0.00                      | -2,992.50        | 0.00               | 0.00      |
| 81180RAE2   | SEAGATE TECH HDD 6.800% 10/01/16    | 06/28/2013               | Various       | 110,437.50                   | 97,481.25            | 0.00                      | 12,956.25        | 0.00               | 0.00      |
| 81180RAE2   | SEAGATE TECH HDD 6.800% 10/01/16    | 10/24/2013               | 12/09/2010    | 16,899.00                    | 15,075.00            | 0.00                      | 1,824.00         | 0.00               | 0.00      |
| 920253AD3   | VALMONT INDUSTRIES 6.625% 4/20/20   | 10/23/2013               | Various       | 104,355.00                   | 94,528.13            | 0.00                      | 9,826.87         | 0.00               | 0.00      |
| 92345YAC0   | VERISK ANALYTICS 4.125% 9/12/22     | 10/23/2013               | 09/19/2012    | 9,980.00                     | 10,086.45            | 0.00                      | -106.45          | 0.00               | 0.00      |
| 92345YAB2   | VERISK ANALYTICS 4.875% 1/15/19     | 10/23/2013               | Various       | 81,225.00                    | 75,216.15            | 0.00                      | 6,008.85         | 0.00               | 0.00      |
| 952355AF2   | WEST CORP 11.000% 10/15/16          | 04/26/2013               | Various       | 124,400.40                   | 124,712.50           | 0.00                      | -312.10          | 0.00               | 0.00      |
| 120000.0000 | WILLIS NORTH AMER 7.000% 9/29/19    | 10/23/2013               | 02/25/2011    | 36,416.70                    | 32,891.70            | 0.00                      | 3,525.00         | 0.00               | 0.00      |
| 970648AE1   | WILLIS NORTH AMERICA 6.200% 3/28/17 | 01/29/2013               | 03/14/2011    | 5,690.00                     | 5,393.35             | 0.00                      | 296.65           | 0.00               | 0.00      |

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| CUSIP                                    |            | Description (Box 8)         |         | Stock or Other Symbol (Box 1d) |            | Stocks       |              | Wash Sale       |            | Nat'l Gain |      | Federal    |      | State    |      |
|------------------------------------------|------------|-----------------------------|---------|--------------------------------|------------|--------------|--------------|-----------------|------------|------------|------|------------|------|----------|------|
| Quantity Sold                            |            | Date of Exchange            |         | Date of Acquisition            |            | Bonds etc.   |              | Loss Disallowed |            | on Loss    |      | Income Tax |      | Tax      |      |
| (Box 1e)                                 |            | (Box 1a)                    |         | (Box 2a)                       |            | Other Basis  |              | Other Basis     |            | (Box 4)    |      | (Box 15)   |      | (Box 15) |      |
| 970648AD3                                | 15000.0000 | WILLIS NORTH AMERICA 6.200% | 3/28/17 | 02/07/2013                     | 03/14/2011 | 17,089.95    | 16,180.05    | 0.00            | 0.00       | 909.90     | 0.00 | 0.00       | 0.00 | 0.00     | 0.00 |
| 970648AD3                                | 60000.0000 | WILLIS NORTH AMERICA 6.200% | 3/28/17 | 10/23/2013                     | Various    | 66,900.00    | 63,988.50    | 0.00            | 0.00       | 2,911.50   | 0.00 | 0.00       | 0.00 | 0.00     | 0.00 |
| Total Long Term Sales Reported on 1099-B |            |                             |         |                                |            | 3,079,788.02 | 2,952,966.12 | 6.25            | 126,828.15 | 0.00       | 0.00 | 0.00       | 0.00 | 0.00     | 0.00 |

Report on Form 8949, Part II, with Box E checked

Tax Year 2013 Account No. 010-42896-9 Legal Name THE SWARTZ FOUNDATION UAD

# REALIZED GAINS AND LOSSES

Supplemental Information - Consult your Form 1099 for tax reporting purposes

## REALIZED GAIN AND LOSS SUMMARY

| SHORT-TERM GAINS (LOSSES)                                |                 | LONG-TERM GAINS (LOSSES)                                |  | ORDINARY GAINS (LOSSES)                   |             |
|----------------------------------------------------------|-----------------|---------------------------------------------------------|--|-------------------------------------------|-------------|
| Net Covered Short-Term Gains (Losses)                    | 8,074.19        | Net Covered Long-Term Gains (Losses)                    |  | Net Ordinary Gains (Losses)               | 0.00        |
| Net NonCovered Short-Term Gains (Losses)                 | 0.00            | Net NonCovered Long-Term Gains (Losses)                 |  |                                           |             |
| Net 1099B Non Reportable Short-Term Gains (Losses)       | 0.00            | Net 1099B Non Reportable Long-Term Gains (Losses)       |  |                                           |             |
| Net Miscellaneous Short-Term Gains (Losses)              | 0.00            | Net Miscellaneous Long-Term Gains (Losses)              |  | Net Miscellaneous Ordinary Gains (Losses) | 0.00        |
| Net Regulated Futures Contract Short-Term Gains (Losses) | 0.00            | Net Regulated Futures Contract Long-Term Gains (Losses) |  |                                           |             |
| <b>Total Short-Term Gains (Losses)</b>                   | <b>8,074.19</b> | <b>Total Long-Term Gains (Losses)</b>                   |  | <b>Total Ordinary Gains (Losses)</b>      | <b>0.00</b> |

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier)                                    | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds * | Total accretion (Amortization) | Cost Basis * | Total Gain (Loss) |
|---------------------------------------------------------------------|-----------------------------|----------------------|----------|-----------------|--------------------------------|--------------|-------------------|
| <b>Covered Short-Term Gains (Losses)</b>                            |                             |                      |          |                 |                                |              |                   |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                 | 02/28/2013                  | 03/04/2013           | 837.60   | 6,173.11        | 0.00                           | 6,173.11     | 0.00              |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                 | 12/12/2012                  | 03/04/2013           | 882.80   | 6,506.22        | 0.00                           | 6,462.08     | 44.14             |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                 | 01/31/2013                  | 03/04/2013           | 2,582.87 | 19,035.74       | 0.00                           | 19,035.74    | 0.00              |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                 | 07/31/2012                  | 03/04/2013           | 2,663.42 | 19,629.37       | 0.00                           | 19,256.49    | 372.88            |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                 | 06/29/2012                  | 03/04/2013           | 2,670.45 | 19,681.25       | 0.00                           | 19,040.34    | 640.91            |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                 | 09/28/2012                  | 03/04/2013           | 2,756.12 | 20,312.60       | 0.00                           | 20,174.79    | 137.81            |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                 | 10/31/2012                  | 03/04/2013           | 2,774.78 | 20,450.16       | 0.00                           | 20,394.66    | 55.50             |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                 | 08/31/2012                  | 03/04/2013           | 2,784.55 | 20,522.16       | 0.00                           | 20,215.86    | 306.30            |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                 | 03/30/2012                  | 03/04/2013           | 2,802.39 | 20,653.61       | 0.00                           | 20,009.06    | 644.55            |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                 | 04/30/2012                  | 03/04/2013           | 2,818.77 | 20,774.34       | 0.00                           | 20,210.59    | 563.75            |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                 | 05/31/2012                  | 03/04/2013           | 2,829.69 | 20,854.82       | 0.00                           | 19,892.72    | 962.10            |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                 | 11/30/2012                  | 03/04/2013           | 2,867.27 | 21,131.75       | 0.00                           | 21,131.75    | 0.00              |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                 | 12/31/2012                  | 03/04/2013           | 2,931.93 | 21,608.32       | 0.00                           | 21,432.40    | 175.92            |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                 | 12/12/2012                  | 03/04/2013           | 8,428.62 | 62,118.91       | 0.00                           | 61,697.48    | 421.43            |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 12/31/2012                  | 03/08/2013           | 25.86    | 227.31          | 0.00                           | 226.79       | 0.52              |

\* Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization. This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently. You should consult with your own tax advisor to determine your correct basis.

5 Sale Proceeds may have been adjusted by an option premium due to an option assignment.



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Tax Year 2013 Account No 010-42896-9 Legal Name THE SWARTZ FOUNDATION UAD

# REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier)                                    | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds * | Total accretion (Amortization) | Cost Basis * | Total Gain (Loss) |
|---------------------------------------------------------------------|-----------------------------|----------------------|----------|-----------------|--------------------------------|--------------|-------------------|
| <b>Covered Short-Term Gains (Losses)</b>                            |                             |                      |          |                 |                                |              |                   |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141WZ08) | 11/30/2012                  | 03/08/2013           | 27.86    | 244.85          | 0.00                           | 244.29       | 0.56              |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141WZ08) | 10/31/2012                  | 03/08/2013           | 29.85    | 262.35          | 0.00                           | 261.75       | 0.60              |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141WZ08) | 08/31/2012                  | 03/08/2013           | 31.74    | 278.99          | 0.00                           | 278.35       | 0.64              |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141WZ08) | 02/28/2013                  | 03/08/2013           | 32.36    | 284.47          | 0.00                           | 284.15       | 0.32              |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141WZ08) | 09/28/2012                  | 03/08/2013           | 35.95    | 316.04          | 0.00                           | 315.68       | 0.36              |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141WZ08) | 06/29/2012                  | 03/08/2013           | 38.04    | 334.39          | 0.00                           | 332.87       | 1.52              |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141WZ08) | 07/31/2012                  | 03/08/2013           | 41.02    | 360.53          | 0.00                           | 358.89       | 1.64              |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141WZ08) | 01/31/2013                  | 03/08/2013           | 46.97    | 412.87          | 0.00                           | 412.40       | 0.47              |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141WZ08) | 03/30/2012                  | 03/08/2013           | 47.25    | 415.35          | 0.00                           | 414.41       | 0.94              |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141WZ08) | 05/31/2012                  | 03/08/2013           | 59.99    | 527.32          | 0.00                           | 524.92       | 2.40              |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141WZ08) | 04/30/2012                  | 03/08/2013           | 65.44    | 575.18          | 0.00                           | 573.22       | 1.96              |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)   | 02/28/2013                  | 04/01/2013           | 193.18   | 1,954.93        | 0.00                           | 1,948.63     | 6.30              |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)   | 03/28/2013                  | 04/01/2013           | 200.74   | 2,031.53        | 0.00                           | 2,033.54     | (2.01)            |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)   | 04/30/2012                  | 04/01/2013           | 369.52   | 3,739.53        | 0.00                           | 3,669.24     | 70.29             |

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Tax Year 2013 Account No 010-42886-9 Legal Name THE SWARTZ FOUNDATION UAD

## REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1088 for tax reporting purposes

### SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier)                                     | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds * | Total accretion (Amortization) | Cost Basis * | Total Gain (Loss) |
|----------------------------------------------------------------------|-----------------------------|----------------------|----------|-----------------|--------------------------------|--------------|-------------------|
| <b>Covered Short-Term Gains (Losses)</b>                             |                             |                      |          |                 |                                |              |                   |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)    | 01/31/2013                  | 04/01/2013           | 382.30   | 3,868.90        | 0.00                           | 3,859.28     | 9.62              |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)    | 06/29/2012                  | 04/01/2013           | 386.82   | 3,914.62        | 0.00                           | 3,813.96     | 100.66            |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)    | 05/31/2012                  | 04/01/2013           | 395.04   | 3,997.83        | 0.00                           | 3,875.28     | 122.55            |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)    | 11/30/2012                  | 04/01/2013           | 402.47   | 4,073.00        | 0.00                           | 4,024.61     | 48.39             |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)    | 07/31/2012                  | 04/01/2013           | 403.71   | 4,085.50        | 0.00                           | 3,996.60     | 88.90             |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)    | 10/31/2012                  | 04/01/2013           | 407.46   | 4,123.47        | 0.00                           | 4,070.41     | 53.06             |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)    | 09/28/2012                  | 04/01/2013           | 408.15   | 4,130.47        | 0.00                           | 4,077.32     | 53.15             |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)    | 12/31/2012                  | 04/01/2013           | 411.55   | 4,164.89        | 0.00                           | 4,127.76     | 37.13             |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)    | 08/31/2012                  | 04/01/2013           | 443.57   | 4,488.93        | 0.00                           | 4,408.99     | 79.94             |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 12/12/2012                  | 04/01/2013           | 265.61   | 2,579.02        | 0.00                           | 2,608.24     | (29.22)           |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 03/28/2013                  | 04/01/2013           | 327.96   | 3,184.47        | 0.00                           | 3,184.47     | 0.00              |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 02/28/2013                  | 04/01/2013           | 361.09   | 3,506.17        | 0.00                           | 3,549.50     | (43.33)           |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 12/12/2012                  | 04/01/2013           | 464.39   | 4,509.25        | 0.00                           | 4,560.33     | (51.08)           |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 11/30/2012                  | 04/01/2013           | 639.45   | 6,209.03        | 0.00                           | 6,202.64     | 6.39              |

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# **REALIZED GAINS AND LOSSES (Continued)**

Supplemental Information - Consult your Form 1099 for tax reporting purposes

## **SHORT-TERM GAINS (LOSSES)**

| Description (Product Identifier)                                        | Date Acquired<br>or Sold Short | Date Sold<br>or Covered | Quantity | Sale Proceeds * | Total accretion<br>(Amortization) | Cost Basis * | Total<br>Gain (Loss) |
|-------------------------------------------------------------------------|--------------------------------|-------------------------|----------|-----------------|-----------------------------------|--------------|----------------------|
| <b>Covered Short-Term Gains (Losses)</b>                                |                                |                         |          |                 |                                   |              |                      |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES<br>(38145N303) | 07/31/2012                     | 04/01/2013              | 674.11   | 6,545.63        | 0.00                              | 6,302.95     | 242.68               |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES<br>(38145N303) | 12/31/2012                     | 04/01/2013              | 683.42   | 6,635.99        | 0.00                              | 6,738.50     | (102.51)             |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES<br>(38145N303) | 09/28/2012                     | 04/01/2013              | 688.88   | 6,688.98        | 0.00                              | 6,592.53     | 96.45                |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES<br>(38145N303) | 08/31/2012                     | 04/01/2013              | 693.68   | 6,735.61        | 0.00                              | 6,465.08     | 270.53               |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES<br>(38145N303) | 10/31/2012                     | 04/01/2013              | 696.16   | 6,759.75        | 0.00                              | 6,676.21     | 83.54                |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES<br>(38145N303) | 06/29/2012                     | 04/01/2013              | 705.54   | 6,850.79        | 0.00                              | 6,455.69     | 395.10               |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES<br>(38145N303) | 04/30/2012                     | 04/01/2013              | 732.83   | 7,115.74        | 0.00                              | 6,910.55     | 205.19               |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES<br>(38145N303) | 01/31/2013                     | 04/01/2013              | 755.74   | 7,338.27        | 0.00                              | 7,504.54     | (166.27)             |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES<br>(38145N303) | 05/31/2012                     | 04/01/2013              | 814.01   | 7,904.08        | 0.00                              | 7,073.78     | 830.30               |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 02/28/2013                     | 04/01/2013              | 180.94   | 1,892.60        | 0.00                              | 1,892.60     | 0.00                 |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 03/28/2013                     | 04/01/2013              | 252.59   | 2,642.06        | 0.00                              | 2,642.06     | 0.00                 |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 06/29/2012                     | 04/01/2013              | 269.44   | 2,818.35        | 0.00                              | 2,629.74     | 188.61               |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 05/31/2012                     | 04/01/2013              | 292.01   | 3,054.47        | 0.00                              | 2,835.46     | 219.01               |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 07/31/2012                     | 04/01/2013              | 298.74   | 3,124.83        | 0.00                              | 2,989.49     | 155.34               |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 10/31/2012                     | 04/01/2013              | 312.72   | 3,271.08        | 0.00                              | 3,199.16     | 71.92                |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 01/31/2013                     | 04/01/2013              | 318.46   | 3,331.11        | 0.00                              | 3,324.74     | 6.37                 |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 11/30/2012                     | 04/01/2013              | 337.72   | 3,532.57        | 0.00                              | 3,488.41     | 64.16                |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 08/31/2012                     | 04/01/2013              | 346.34   | 3,672.66        | 0.00                              | 3,477.20     | 145.46               |

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## REALIZED GAINS AND LOSSES (Continued)

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### SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier)                          | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds *   | Total accretion (Amortization) | Cost Basis *      | Total Gain (Loss) |
|-----------------------------------------------------------|-----------------------------|----------------------|----------|-------------------|--------------------------------|-------------------|-------------------|
| <b>Covered Short-Term Gains (Losses)</b>                  |                             |                      |          |                   |                                |                   |                   |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646) | 09/28/2012                  | 04/01/2013           | 356.03   | 3,724.04          | 0.00                           | 3,624.35          | 99.69             |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646) | 04/30/2012                  | 04/01/2013           | 406.72   | 4,254.33          | 0.00                           | 4,002.16          | 252.17            |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646) | 12/31/2012                  | 04/01/2013           | 1,070.72 | 11,199.69         | 0.00                           | 11,071.20         | 128.49            |
| <b>Net Covered Short-Term Gains (Losses)</b>              |                             |                      |          | <b>477,296.18</b> | <b>0.00</b>                    | <b>469,221.99</b> | <b>8,074.19</b>   |

### LONG-TERM GAINS (LOSSES)

| Description (Product Identifier)                                     | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds * | Total accretion (Amortization) | Cost Basis * | Total Gain (Loss) |
|----------------------------------------------------------------------|-----------------------------|----------------------|----------|-----------------|--------------------------------|--------------|-------------------|
| <b>Covered Long-Term Gains (Losses)</b>                              |                             |                      |          |                 |                                |              |                   |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 02/29/2012                  | 03/04/2013           | 2,724.58 | 20,080.16       | 0.00                           | 19,589.73    | 490.43            |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 01/31/2012                  | 03/04/2013           | 2,752.39 | 20,285.14       | 0.00                           | 19,404.37    | 880.77            |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208)  | 02/29/2012                  | 03/08/2013           | 34.52    | 303.43          | 0.00                           | 302.05       | 1.38              |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208)  | 01/31/2012                  | 03/08/2013           | 37.52    | 329.80          | 0.00                           | 328.30       | 1.50              |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)    | 02/29/2012                  | 04/01/2013           | 350.99   | 3,551.99        | 0.00                           | 3,471.19     | 80.80             |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)    | 01/31/2012                  | 04/01/2013           | 366.88   | 3,712.82        | 0.00                           | 3,617.36     | 95.46             |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)    | 03/30/2012                  | 04/01/2013           | 400.54   | 4,053.49        | 0.00                           | 3,965.28     | 88.21             |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 02/29/2012                  | 04/01/2013           | 701.37   | 6,810.34        | 0.00                           | 6,726.18     | 84.16             |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 01/31/2012                  | 04/01/2013           | 727.26   | 7,061.69        | 0.00                           | 6,799.87     | 261.82            |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 03/30/2012                  | 04/01/2013           | 769.48   | 7,471.66        | 0.00                           | 7,217.73     | 253.93            |

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# REALIZED GAINS AND LOSSES (Continued)

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## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier)                          | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds <sup>5</sup> | Total accretion (Amortization) | Cost Basis <sup>4</sup> | Total Gain (Loss) |
|-----------------------------------------------------------|-----------------------------|----------------------|----------|----------------------------|--------------------------------|-------------------------|-------------------|
| <b>Covered Long-Term Gains (Losses)</b>                   |                             |                      |          |                            |                                |                         |                   |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C846) | 01/31/2012                  | 04/01/2013           | 137.78   | 1,441.22                   | 0.00                           | 1,324.10                | 117.12            |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C846) | 03/30/2012                  | 04/01/2013           | 216.21   | 2,261.52                   | 0.00                           | 2,133.95                | 127.57            |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C846) | 02/29/2012                  | 04/01/2013           | 248.42   | 2,598.52                   | 0.00                           | 2,424.62                | 173.90            |
| <b>Net Covered Long-Term Gains (Losses)</b>               |                             |                      |          | <b>79,961.78</b>           | <b>0.00</b>                    | <b>77,304.73</b>        | <b>2,657.05</b>   |

## NonCovered Long-Term Gains (Losses)

|                                                                   |            |            |            |              |      |              |            |
|-------------------------------------------------------------------|------------|------------|------------|--------------|------|--------------|------------|
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)               | 04/15/2009 | 01/22/2013 | 256,756.76 | 1,900,000.00 | 0.00 | 1,386,486.49 | 513,513.51 |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C846)         | 10/18/2010 | 01/22/2013 | 47,755.49  | 500,000.00   | 0.00 | 482,330.47   | 17,669.53  |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455) | 06/15/2011 | 01/30/2013 | 59,405.94  | 600,000.00   | 0.00 | 586,930.70   | 13,069.30  |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)               | 04/30/2009 | 01/30/2013 | 1,594.16   | 11,780.81    | 0.00 | 8,991.04     | 2,789.77   |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)               | 09/30/2009 | 01/30/2013 | 2,200.22   | 16,259.60    | 0.00 | 14,851.46    | 1,408.14   |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)               | 04/30/2010 | 01/30/2013 | 2,225.93   | 16,449.64    | 0.00 | 15,982.19    | 467.45     |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)               | 03/31/2010 | 01/30/2013 | 2,312.87   | 17,092.07    | 0.00 | 16,398.21    | 693.86     |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)               | 07/30/2010 | 01/30/2013 | 2,320.62   | 17,149.39    | 0.00 | 16,476.41    | 672.98     |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)               | 02/26/2010 | 01/30/2013 | 2,339.01   | 17,285.31    | 0.00 | 16,209.37    | 1,075.94   |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)               | 05/28/2010 | 01/30/2013 | 2,351.53   | 17,377.81    | 0.00 | 16,202.05    | 1,175.76   |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)               | 10/29/2010 | 01/30/2013 | 2,388.20   | 17,648.78    | 0.00 | 17,457.73    | 191.05     |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)               | 10/30/2009 | 01/30/2013 | 2,389.43   | 17,657.89    | 0.00 | 16,295.91    | 1,361.98   |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)               | 01/29/2010 | 01/30/2013 | 2,446.97   | 18,083.11    | 0.00 | 17,055.38    | 1,027.73   |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)               | 11/30/2009 | 01/30/2013 | 2,454.04   | 18,135.39    | 0.00 | 16,736.58    | 1,398.81   |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)               | 08/31/2010 | 01/30/2013 | 2,496.67   | 18,450.42    | 0.00 | 17,601.55    | 848.87     |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)               | 06/30/2010 | 01/30/2013 | 2,546.33   | 18,817.41    | 0.00 | 17,620.63    | 1,196.78   |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)               | 09/30/2010 | 01/30/2013 | 2,599.74   | 19,212.05    | 0.00 | 18,692.10    | 519.95     |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)               | 08/31/2009 | 01/30/2013 | 2,886.33   | 21,330.01    | 0.00 | 18,587.99    | 2,742.02   |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)               | 12/31/2009 | 01/30/2013 | 3,261.08   | 24,099.37    | 0.00 | 22,664.50    | 1,434.87   |

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<sup>5</sup> Sale Proceeds may have been adjusted by an option premium due to an option assignment.



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Tax Year Account No. Legal Name  
2013 010-42886-9 THE SWARTZ FOUNDATION UAD

# REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1069 for tax reporting purposes

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier)                                     | Date Acquired or Sold Short | Date Sold or Covered | Quantity  | Sale Proceeds <sup>s</sup> | Total accretion (Amortization) | Cost Basis <sup>4</sup> | Total Gain (Loss) |
|----------------------------------------------------------------------|-----------------------------|----------------------|-----------|----------------------------|--------------------------------|-------------------------|-------------------|
| <b>NonCovered Long-Term Gains (Losses)</b>                           |                             |                      |           |                            |                                |                         |                   |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 07/31/2009                  | 01/30/2013           | 3,855.72  | 28,493.75                  | 0.00                           | 24,522.36               | 3,971.39          |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 05/29/2009                  | 01/30/2013           | 4,166.65  | 30,791.54                  | 0.00                           | 24,666.57               | 6,124.97          |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 06/30/2009                  | 01/30/2013           | 4,222.13  | 31,201.55                  | 0.00                           | 25,417.23               | 5,784.32          |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 11/15/2010                  | 01/30/2013           | 16,586.37 | 122,573.30                 | 0.00                           | 121,246.39              | 1,326.91          |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 04/15/2009                  | 01/30/2013           | 67,673.99 | 500,110.81                 | 0.00                           | 365,439.56              | 134,671.25        |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 03/10/2010                  | 01/30/2013           | 80,726.54 | 800,000.00                 | 0.00                           | 740,262.36              | 59,737.64         |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 11/30/2010                  | 03/04/2013           | 2,662.90  | 19,625.60                  | 0.00                           | 19,119.65               | 505.95            |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 01/31/2011                  | 03/04/2013           | 2,807.02  | 20,687.74                  | 0.00                           | 20,771.95               | (84.21)           |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 04/29/2011                  | 03/04/2013           | 2,833.47  | 20,882.70                  | 0.00                           | 21,166.05               | (283.35)          |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 05/31/2011                  | 03/04/2013           | 2,840.64  | 20,935.53                  | 0.00                           | 21,162.78               | (227.25)          |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 12/30/2011                  | 03/04/2013           | 2,849.35  | 20,999.72                  | 0.00                           | 19,575.05               | 1,424.67          |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 12/31/2010                  | 03/04/2013           | 2,851.29  | 21,014.03                  | 0.00                           | 20,814.44               | 199.59            |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 10/31/2011                  | 03/04/2013           | 2,854.34  | 21,036.46                  | 0.00                           | 20,008.90               | 1,027.56          |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 02/28/2011                  | 03/04/2013           | 2,875.50  | 21,192.45                  | 0.00                           | 21,422.49               | (230.04)          |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 07/29/2011                  | 03/04/2013           | 2,877.20  | 21,204.96                  | 0.00                           | 21,118.65               | 86.31             |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 06/30/2011                  | 03/04/2013           | 2,903.88  | 21,401.62                  | 0.00                           | 21,256.42               | 145.20            |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 11/30/2011                  | 03/04/2013           | 2,920.97  | 21,527.54                  | 0.00                           | 19,862.59               | 1,664.95          |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 08/31/2011                  | 03/04/2013           | 3,047.26  | 22,458.29                  | 0.00                           | 21,147.97               | 1,310.32          |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 03/31/2011                  | 03/04/2013           | 3,085.00  | 22,736.44                  | 0.00                           | 22,828.99               | (92.55)           |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 09/30/2011                  | 03/04/2013           | 3,096.51  | 22,821.26                  | 0.00                           | 20,529.85               | 2,291.41          |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 12/14/2011                  | 03/04/2013           | 4,865.89  | 35,861.61                  | 0.00                           | 33,039.39               | 2,822.22          |
| GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)                  | 11/15/2010                  | 03/04/2013           | 44,973.14 | 331,452.00                 | 0.00                           | 328,753.61              | 2,698.39          |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208)  | 06/30/2011                  | 03/08/2013           | 22.86     | 200.97                     | 0.00                           | 201.20                  | (0.23)            |

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Tax Year Account No Legal Name  
2013 010-42886-9 THE SWARTZ FOUNDATION UAD

## REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

### LONG-TERM GAINS (LOSSES)

| Description (Product Identifier)                                    | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds <sup>5</sup> | Total accretion (Amortization) | Cost Basis <sup>4</sup> | Total Gain (Loss) |
|---------------------------------------------------------------------|-----------------------------|----------------------|----------|----------------------------|--------------------------------|-------------------------|-------------------|
| <b>NonCovered Long-Term Gains (Losses)</b>                          |                             |                      |          |                            |                                |                         |                   |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 07/29/2011                  | 03/08/2013           | 23.88    | 209.90                     | 0.00                           | 209.66                  | 0.24              |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 05/31/2011                  | 03/08/2013           | 24.49    | 215.23                     | 0.00                           | 215.72                  | (0.49)            |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 08/31/2011                  | 03/08/2013           | 25.42    | 223.48                     | 0.00                           | 222.97                  | 0.51              |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 09/30/2011                  | 03/08/2013           | 26.98    | 237.13                     | 0.00                           | 236.05                  | 1.08              |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 12/30/2011                  | 03/08/2013           | 36.95    | 324.76                     | 0.00                           | 323.29                  | 1.47              |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 10/31/2011                  | 03/08/2013           | 40.96    | 360.04                     | 0.00                           | 358.81                  | 1.23              |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 11/30/2011                  | 03/08/2013           | 41.80    | 367.40                     | 0.00                           | 365.72                  | 1.68              |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 04/29/2011                  | 03/08/2013           | 46.53    | 409.02                     | 0.00                           | 410.41                  | (1.39)            |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 04/30/2010                  | 03/08/2013           | 49.27    | 433.07                     | 0.00                           | 436.52                  | (3.45)            |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 08/31/2010                  | 03/08/2013           | 49.36    | 433.84                     | 0.00                           | 435.32                  | (1.48)            |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 10/29/2010                  | 03/08/2013           | 49.68    | 436.67                     | 0.00                           | 438.66                  | (1.99)            |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 09/30/2010                  | 03/08/2013           | 50.36    | 442.66                     | 0.00                           | 444.17                  | (1.51)            |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 11/30/2010                  | 03/08/2013           | 51.45    | 452.28                     | 0.00                           | 454.34                  | (2.06)            |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 05/29/2010                  | 03/08/2013           | 51.94    | 456.53                     | 0.00                           | 459.12                  | (2.59)            |

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Tax Year 2013 Account No 010-42886-9 Legal Name THE SWARTZ FOUNDATION UAD

## REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

### LONG-TERM GAINS (LOSSES)

| Description (Product Identifier)                                    | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds * | Total accretion (Amortization) | Cost Basis * | Total Gain (Loss) |
|---------------------------------------------------------------------|-----------------------------|----------------------|----------|-----------------|--------------------------------|--------------|-------------------|
| <b>NonCovered Long-Term Gains (Losses)</b>                          |                             |                      |          |                 |                                |              |                   |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 07/30/2010                  | 03/08/2013           | 52.26    | 459.39          | 0.00                           | 460.96       | (1.57)            |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 12/31/2010                  | 03/08/2013           | 52.83    | 464.37          | 0.00                           | 466.48       | (2.11)            |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 01/31/2011                  | 03/08/2013           | 53.35    | 468.96          | 0.00                           | 471.10       | (2.14)            |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 06/30/2010                  | 03/08/2013           | 53.47    | 470.02          | 0.00                           | 472.69       | (2.67)            |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 02/28/2011                  | 03/08/2013           | 55.41    | 487.09          | 0.00                           | 489.86       | (2.77)            |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 03/31/2011                  | 03/08/2013           | 59.86    | 526.13          | 0.00                           | 527.93       | (1.80)            |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 03/31/2010                  | 03/08/2013           | 91.55    | 804.70          | 0.00                           | 811.11       | (6.41)            |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 02/26/2010                  | 03/08/2013           | 108.42   | 952.97          | 0.00                           | 960.56       | (7.59)            |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 01/29/2010                  | 03/08/2013           | 116.34   | 1,022.65        | 0.00                           | 1,031.96     | (9.31)            |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 12/31/2009                  | 03/08/2013           | 126.58   | 1,112.60        | 0.00                           | 1,121.46     | (8.86)            |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 11/30/2009                  | 03/08/2013           | 160.85   | 1,413.91        | 0.00                           | 1,425.17     | (11.26)           |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 08/31/2009                  | 03/08/2013           | 259.99   | 2,285.30        | 0.00                           | 2,300.90     | (15.60)           |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 10/30/2009                  | 03/08/2013           | 283.16   | 2,489.01        | 0.00                           | 2,508.83     | (19.82)           |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES (38141W208) | 09/30/2009                  | 03/08/2013           | 336.61   | 2,958.80        | 0.00                           | 2,979.00     | (20.20)           |

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# **REALIZED GAINS AND LOSSES (Continued)**

Supplemental Information - Consult your Form 1099 for tax reporting purposes

## **LONG-TERM GAINS (LOSSES)**

| Description (Product Identifier)                                        | Date Acquired<br>or Sold Short | Date Sold<br>or Covered | Quantity  | Sale Proceeds * | Total accretion<br>(Amortization) | Cost Basis * | Total<br>Gain (Loss) |
|-------------------------------------------------------------------------|--------------------------------|-------------------------|-----------|-----------------|-----------------------------------|--------------|----------------------|
| <b>NonCovered Long-Term Gains (Losses)</b>                              |                                |                         |           |                 |                                   |              |                      |
| GS HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL SHARES<br>(38141W208)  | 08/10/2009                     | 03/08/2013              | 67,911.39 | 596,941.12      | 0.00                              | 601,015.80   | (4,074.68)           |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES<br>(38145C455)    | 06/30/2011                     | 04/01/2013              | 115.99    | 1,173.78        | 0.00                              | 1,144.76     | 29.02                |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES<br>(38145C455)    | 09/30/2011                     | 04/01/2013              | 328.28    | 3,322.17        | 0.00                              | 3,125.13     | 197.04               |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES<br>(38145C455)    | 07/29/2011                     | 04/01/2013              | 330.51    | 3,344.81        | 0.00                              | 3,262.11     | 82.70                |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES<br>(38145C455)    | 08/31/2011                     | 04/01/2013              | 341.37    | 3,454.65        | 0.00                              | 3,225.86     | 228.79               |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES<br>(38145C455)    | 11/30/2011                     | 04/01/2013              | 364.51    | 3,688.89        | 0.00                              | 3,528.42     | 160.47               |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES<br>(38145C455)    | 10/31/2011                     | 04/01/2013              | 368.83    | 3,732.54        | 0.00                              | 3,599.68     | 132.86               |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES<br>(38145C455)    | 12/30/2011                     | 04/01/2013              | 371.82    | 3,762.81        | 0.00                              | 3,617.72     | 145.09               |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES<br>(38145C455)    | 06/15/2011                     | 04/01/2013              | 51,930.09 | 525,532.52      | 0.00                              | 512,538.99   | 12,993.53            |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES<br>(38145N303) | 12/14/2011                     | 04/01/2013              | 480.80    | 4,668.54        | 0.00                              | 4,134.85     | 533.69               |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES<br>(38145N303) | 08/31/2011                     | 04/01/2013              | 503.05    | 4,884.58        | 0.00                              | 4,970.09     | (85.51)              |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES<br>(38145N303) | 04/29/2011                     | 04/01/2013              | 533.02    | 5,175.65        | 0.00                              | 5,383.53     | (207.88)             |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES<br>(38145N303) | 02/28/2011                     | 04/01/2013              | 533.45    | 5,179.83        | 0.00                              | 4,987.79     | 192.04               |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES<br>(38145N303) | 07/29/2011                     | 04/01/2013              | 562.32    | 5,460.08        | 0.00                              | 5,578.16     | (118.08)             |

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Tax Year 2013 Account No 010-42886-9 Legal Name THE SWARTZ FOUNDATION UAD

# REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1089 for tax reporting purposes

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier)                                     | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds * | Total accretion (Amortization) | Cost Basis * | Total Gain (Loss) |
|----------------------------------------------------------------------|-----------------------------|----------------------|----------|-----------------|--------------------------------|--------------|-------------------|
| <b>NonCovered Long-Term Gains (Losses)</b>                           |                             |                      |          |                 |                                |              |                   |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 03/31/2010                  | 04/01/2013           | 564.28   | 5,479.20        | 0.00                           | 5,253.48     | 225.72            |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 10/31/2011                  | 04/01/2013           | 570.69   | 5,541.38        | 0.00                           | 5,233.21     | 308.17            |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 06/30/2011                  | 04/01/2013           | 573.17   | 5,565.48        | 0.00                           | 5,645.72     | (80.24)           |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 03/31/2011                  | 04/01/2013           | 575.35   | 5,586.63        | 0.00                           | 5,523.34     | 63.29             |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 01/31/2011                  | 04/01/2013           | 581.80   | 5,649.30        | 0.00                           | 5,393.30     | 256.00            |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 09/30/2011                  | 04/01/2013           | 608.14   | 5,905.04        | 0.00                           | 5,284.74     | 620.30            |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 05/31/2011                  | 04/01/2013           | 620.76   | 6,027.54        | 0.00                           | 6,151.69     | (124.15)          |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 11/30/2010                  | 04/01/2013           | 651.77   | 6,328.70        | 0.00                           | 6,172.27     | 156.43            |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 10/29/2010                  | 04/01/2013           | 705.11   | 6,846.59        | 0.00                           | 7,058.12     | (211.53)          |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 11/30/2011                  | 04/01/2013           | 731.64   | 7,104.20        | 0.00                           | 6,474.99     | 629.21            |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 09/30/2010                  | 04/01/2013           | 821.95   | 7,981.09        | 0.00                           | 8,120.82     | (139.73)          |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 12/30/2011                  | 04/01/2013           | 853.69   | 8,289.32        | 0.00                           | 7,375.87     | 913.45            |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 08/31/2010                  | 04/01/2013           | 867.36   | 8,422.06        | 0.00                           | 8,153.17     | 268.89            |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 06/30/2010                  | 04/01/2013           | 870.15   | 8,449.11        | 0.00                           | 7,796.50     | 652.61            |

\* Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization. This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently. You should consult with your own tax advisor to determine your correct basis.

5 Sale Proceeds may have been adjusted by an option premium due to an option assignment.



Realized and unrealized gains and loss values do not include securities for which cost basis is unavailable. The recognition of any loss reflected herein may be disallowed or deferred by the application of capital loss limitations, wash sale rules or other special tax rules, and you are strongly urged to consult your own outside tax and all tax-related matters addressed in any way herein. All information regarding the cost basis and acquisition dates of securities that you acquired elsewhere and that were subsequently delivered into your Goldman Sachs account(s) were provided by you and/or a third party and Goldman Sachs makes no representation as to the accuracy and completeness of such information and it should not be relied upon as such.

Tax Year Account No. Legal Name  
2013 010-42856-9 THE SWARTZ FOUNDATION UAD

## REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

### LONG-TERM GAINS (LOSSES)

| Description (Product Identifier)                                        | Date Acquired<br>or Sold Short | Date Sold<br>or Covered | Quantity  | Sale Proceeds * | Total accretion<br>(Amortization) | Cost Basis * | Total<br>Gain (Loss) |
|-------------------------------------------------------------------------|--------------------------------|-------------------------|-----------|-----------------|-----------------------------------|--------------|----------------------|
| <b>NonCovered Long-Term Gains (Losses)</b>                              |                                |                         |           |                 |                                   |              |                      |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES<br>(38145N303) | 07/30/2010                     | 04/01/2013              | 880.68    | 8,551.42        | 0.00                              | 8,304.83     | 246.59               |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES<br>(38145N303) | 04/30/2010                     | 04/01/2013              | 911.95    | 8,854.02        | 0.00                              | 8,589.58     | 264.44               |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES<br>(38145N303) | 05/28/2010                     | 04/01/2013              | 939.42    | 9,121.80        | 0.00                              | 8,332.68     | 789.12               |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES<br>(38145N303) | 12/15/2010                     | 04/01/2013              | 1,336.89  | 12,981.16       | 0.00                              | 12,713.79    | 267.37               |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES<br>(38145N303) | 12/31/2010                     | 04/01/2013              | 3,311.87  | 32,158.27       | 0.00                              | 31,529.01    | 629.26               |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES<br>(38145N303) | 03/10/2010                     | 04/01/2013              | 55,882.00 | 542,614.26      | 0.00                              | 512,437.98   | 30,176.28            |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 10/29/2010                     | 04/01/2013              | 38.76     | 405.43          | 0.00                              | 391.86       | 13.57                |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 12/15/2010                     | 04/01/2013              | 76.81     | 803.45          | 0.00                              | 771.19       | 32.26                |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 12/15/2010                     | 04/01/2013              | 104.91    | 1,097.39        | 0.00                              | 1,053.33     | 44.06                |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 11/30/2010                     | 04/01/2013              | 168.73    | 1,764.96        | 0.00                              | 1,710.96     | 54.00                |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 11/30/2011                     | 04/01/2013              | 202.09    | 2,113.85        | 0.00                              | 1,923.89     | 189.96               |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 12/31/2010                     | 04/01/2013              | 228.82    | 2,393.45        | 0.00                              | 2,306.50     | 86.95                |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 10/31/2011                     | 04/01/2013              | 238.56    | 2,495.31        | 0.00                              | 2,306.85     | 188.46               |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 02/28/2011                     | 04/01/2013              | 247.06    | 2,584.21        | 0.00                              | 2,515.03     | 69.18                |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 01/31/2011                     | 04/01/2013              | 248.58    | 2,600.18        | 0.00                              | 2,523.12     | 77.06                |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 04/29/2011                     | 04/01/2013              | 257.77    | 2,696.32        | 0.00                              | 2,603.52     | 92.80                |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 03/31/2011                     | 04/01/2013              | 288.86    | 3,021.50        | 0.00                              | 2,897.29     | 124.21               |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 05/31/2011                     | 04/01/2013              | 289.33    | 3,026.41        | 0.00                              | 2,919.36     | 107.05               |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 06/30/2011                     | 04/01/2013              | 310.35    | 3,246.27        | 0.00                              | 3,091.10     | 155.17               |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646)               | 08/31/2011                     | 04/01/2013              | 323.10    | 3,379.58        | 0.00                              | 3,159.88     | 219.70               |

\* Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization. This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently. You should consult with your own tax advisor to determine your correct basis.

5 Sale Proceeds may have been adjusted by an option premium due to an option assignment.



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Tax Year 2013 Account No 010-42886-9 Legal Name THE SWARTZ FOUNDATION UAD

# REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier)                          | Date Acquired or Sold Short | Date Sold or Covered | Quantity  | Sale Proceeds <sup>5</sup> | Total accretion (Amortization) | Cost Basis <sup>4</sup> | Total Gain (Loss) |
|-----------------------------------------------------------|-----------------------------|----------------------|-----------|----------------------------|--------------------------------|-------------------------|-------------------|
| <b>NonCovered Long-Term Gains (Losses)</b>                |                             |                      |           |                            |                                |                         |                   |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646) | 09/30/2011                  | 04/01/2013           | 337.81    | 3,533.49                   | 0.00                           | 3,222.71                | 310.78            |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646) | 07/29/2011                  | 04/01/2013           | 358.99    | 3,755.06                   | 0.00                           | 3,597.10                | 157.96            |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646) | 12/30/2011                  | 04/01/2013           | 605.93    | 6,338.05                   | 0.00                           | 5,750.29                | 587.76            |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646) | 10/18/2010                  | 04/01/2013           | 1,749.46  | 18,299.34                  | 0.00                           | 17,669.53               | 629.81            |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646) | 11/15/2010                  | 04/01/2013           | 44,334.98 | 463,743.84                 | 0.00                           | 450,000.00              | 13,743.84         |
| <b>Net NonCovered Long-Term Gains (Losses)</b>            |                             |                      |           | <b>7,892,033.47</b>        | <b>0.00</b>                    | <b>7,041,015.47</b>     | <b>851,018.00</b> |

<sup>4</sup> Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization. This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently. You should consult with your own tax advisor to determine your correct basis.

<sup>5</sup> Sale Proceeds may have been adjusted by an option premium due to an option assignment.

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Realized and unrealized gains and loss values do not include securities for which cost basis is unavailable. The recognition of any loss reflected herein may be disallowed or deferred by the application of capital loss limitations, wash sale rules or other special tax rules, and you are strongly urged to consult your own outside tax and other advisors about this and all tax-related matters addressed in any way herein. All information regarding the cost basis and acquisition dates of securities that you acquired elsewhere and that were subsequently delivered into your Goldman Sachs account(s) were provided by you and/or a third party and Goldman Sachs makes no representation as to the accuracy and completeness of such information and it should not be relied upon as such.

**Part XV** Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

| Recipient<br>Name and address (home or business)                                                          | If recipient is an individual,<br>show any relationship to<br>any foundation manager<br>or substantial contributor | Foundation<br>status of<br>recipient | Purpose of grant or<br>contribution | Amount      |
|-----------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|--------------------------------------|-------------------------------------|-------------|
| BRANDEIS UNIVERSITY<br>415 SOUTH STREET<br>WALTHAM, MA 02453                                              | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 200,000.    |
| CHABAD LUBAVITCH OF THE NORTH SHORE<br>44 BURRILL STREET<br>SWAMPSCOTT, MA 01907                          | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 10,000.     |
| COMBINED JEWISH PHILANTHROPIES OF<br>GREATER BOSTON, INC.<br>126 HIGH STREET<br>BOSTON, MA 02110-2700     | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 4,091,139.  |
| COMMITTEE FOR ACCURACY IN MIDDLE EAST<br>REPORTING IN AMERICA<br>P. O. BOX 35040<br>BOSTON, MA 02135-0001 | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 5,000.      |
| DANA FARBER CANCER INSTITUTE INC<br>44 BINNEY STREET<br>BOSTON, MA 02115                                  | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 500.        |
| ELI AND BESSIE COHEN HILLEL ACADEMY<br>6 COMMUNITY ROAD<br>MARBLEHEAD, MA 01945                           | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 80,000.     |
| FACING HISTORY AND OURSELVES NATIONAL<br>FOUNDATION INC<br>16 HURD ROAD<br>BROOKLINE, MA 02445            | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 25,000.     |
| HADASSAH THE WOMENS ZIONIST<br>ORGANIZATION OF AMERICA<br>50 W 58TH STREET<br>NEW YORK, NY 10019-2500     | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 5,258,500.  |
| HEBREW SENIORLIFE, INC<br>1200 CENTRE STREET<br>BOSTON, MA 02131                                          | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 1,000.      |
| JEWISH CEMETERY ASSOCIATION OF<br>MASSACHUSETTS INC<br>189 WELLS AVENUE<br>NEWTON CENTRE, MA 02459        | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 227,655.    |
| Total from continuation sheets                                                                            |                                                                                                                    |                                      |                                     | 10,924,294. |

**Part XV Supplementary Information****3 Grants and Contributions Paid During the Year (Continuation)**

| Recipient<br>Name and address (home or business)                                                                            | If recipient is an individual,<br>show any relationship to<br>any foundation manager<br>or substantial contributor | Foundation<br>status of<br>recipient | Purpose of grant or<br>contribution | Amount   |
|-----------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|--------------------------------------|-------------------------------------|----------|
| JEWISH FAMILY AND CHILDRENS<br>FOUNDATION INC<br>31 NEW CHARDON STREET<br>BOSTON, MA 02114                                  | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 1,000.   |
| JEWISH FEDERATION OF SOUTH PALM BEACH<br>COUNTY INC<br>9901 DONNA KLEIN BLVD<br>BOCA RATON, FL 33428                        | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 150,000. |
| NORTH AMERICAN FAMILY INSTITUTE INC<br>40 PARK LANE<br>CONTOOCOOK, NH 03229                                                 | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 5,000.   |
| P. E. F. ISRAEL ENDOWMENT FUNDS, INC<br>317 MADISON AVE, SUITE 607<br>NEW YORK, NY 10017                                    | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 100,000. |
| RUTH RALES JEWISH FAMILY SERVICE OF<br>SOUTH PALM BEACH COUNTY INC<br>21300 RUTH BARON COLEMAN BLVD<br>BOCA RATON, FL 33428 | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 5,000.   |
| SIMON WIESENTHAL CENTER<br>1399 S ROXBURY DRIVE<br>LOS ANGELES, CA 90035-4709                                               | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 2,000.   |
| SOUTHERN POVERTY LAW CENTER<br>400 WASHINGTON AVE<br>MONTGOMERY, AL 36104                                                   | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 1,000.   |
| TEMPLE EMANUEL<br>385 WARD STREET<br>NEWTON CENTRE, MA 02459                                                                | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 5,000.   |
| TEMPLE EMANUEL - ANDOVER<br>7 HAGGETTS POND ROAD<br>ANDOVER, MA 01810                                                       | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 1,000.   |
| UNITED STATES HOLOCAUST MEMORIAL<br>COUNCIL<br>100 RAOUL WALLENBERG PL SW<br>WASHINGTON, DC 20024-2126                      | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 2,000.   |
| Total from continuation sheets                                                                                              |                                                                                                                    |                                      |                                     |          |

**Part XV** Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

| Recipient<br>Name and address (home or business)                                                                        | If recipient is an individual,<br>show any relationship to<br>any foundation manager<br>or substantial contributor | Foundation<br>status of<br>recipient | Purpose of grant or<br>contribution | Amount   |
|-------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|--------------------------------------|-------------------------------------|----------|
| AMERICAN SUPPORT FOR ISRAEL, INC<br>NEW YORK, NY 10031                                                                  | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 1,500.   |
| KEHILLAH SCHECHTER ACADEMY<br>1 COMMERCE WAY<br>NORWOOD, MA 02062                                                       | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 600,000. |
| AMERICAN FRIENDS OF THE ISREAL<br>PHILHARMONIC ORCHESTRA, INC<br>122 EAST 42ND STREET, SUITE 4507<br>NEW YORK, NY 10168 | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 1,000.   |
| YAD EZRA INC<br>2850 W. MILE ROAD<br>BERKLEY, MI 48072                                                                  | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 15,500.  |
| BETH ISRAEL DEACONESS MEDICAL CENTER<br>INC<br>330 BROOKLINE AVENUE<br>BOSTON, MA 02215                                 | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 10,000.  |
| INVESTIGATIVE PROJECT ON TERRORISM<br>5614 CONNECTICUT AVE NW, NO 341<br>WASHINGTON, DC 20015                           | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 5,000.   |
| NATIONAL MUSEUM OF AMERICAN JEWISH<br>HISTORY<br>101 SOUTH INDEPENDENCE MALL EAST<br>PHILADELPHIA, PA 19106-2517        | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 10,000.  |
| BIRTHRIGHT ISRAEL FOUNDATION<br>33 EAST 33RD STREET, 7TH FLOOR<br>NEW YORK, NY 10016                                    | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 110,000. |
| JEWISH FEDERATION OF METROPOLITAN<br>DETROIT<br>6735 TELEGRAPH ROAD<br>BLOOMFIELD HILLS, MI 48301                       | N/A                                                                                                                | PUBLIC                               | GENERAL                             | 500.     |
|                                                                                                                         |                                                                                                                    |                                      |                                     |          |
| Total from continuation sheets                                                                                          |                                                                                                                    |                                      |                                     |          |

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

| SOURCE                                                 | (A)<br>REVENUE<br>PER BOOKS | (B)<br>NET INVESTMENT<br>INCOME | (C)<br>ADJUSTED<br>NET INCOME |
|--------------------------------------------------------|-----------------------------|---------------------------------|-------------------------------|
| BARCLAYS CAPITAL INC<br>#834-60243                     | 2.                          | 2.                              |                               |
| FEDERATED GOVT OBLIGS FD INSTL<br>SHS- 0087133         | 57.                         | 57.                             |                               |
| GOLDMAN SACHS ACCT#<br>010-42896-9                     | 4,695.                      | 4,695.                          |                               |
| ROPES & GRAY LLP FIDUCIARY<br>ACCOUNT #0088488         | 42.                         | 42.                             |                               |
| ROPES & GRAY LLP FIDUCIARY<br>ACCOUNT #0088500         | 15.                         | 15.                             |                               |
| ROPES & GRAY LLP FIDUCIARY<br>ACCOUNT #0088501 - FINAL | 3.                          | 3.                              |                               |
| ROPES & GRAY LLP FIDUCIARY<br>ACCOUNT #0088502 - FINAL | 9.                          | 9.                              |                               |
| ROPES & GRAY LLP FIDUCIARY<br>ACCOUNT #0088503         | 292.                        | 292.                            |                               |
| ROPES & GRAY LLP FIDUCIARY<br>ACCOUNT #0088504 - FINAL | 1.                          | 1.                              |                               |
| ROPES & GRAY LLP FIDUCIARY<br>ACCOUNT #0088505         | 1.                          | 1.                              |                               |
| ROPES & GRAY LLP FIDUCIARY<br>ACCOUNT #0088506 - FINAL | 1.                          | 1.                              |                               |
| ROPES & GRAY LLP FIDUCIARY<br>ACCOUNT #0088507 - FINAL | 23.                         | 23.                             |                               |
| ROPES & GRAY LLP FIDUCIARY<br>ACCOUNT #0088508 - FINAL | 5.                          | 5.                              |                               |
| TOTAL TO PART I, LINE 3                                | 5,146.                      | 5,146.                          |                               |

## FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

| SOURCE                                            | GROSS<br>AMOUNT | CAPITAL<br>GAINS<br>DIVIDENDS | (A)<br>REVENUE<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME |
|---------------------------------------------------|-----------------|-------------------------------|-----------------------------|-----------------------------------|-------------------------------|
| ALL UBTI EXCLUDED<br>FROM INTEREST &<br>DIVIDENDS | <245,999.>      | 0.                            | <245,999.>                  | <245,999.>                        |                               |
| BARCLAY'S ACCOUNT<br>834-61585 - FINAL            | 44,959.         | 0.                            | 44,959.                     | 44,959.                           |                               |
| GOLDMAN SACHS<br>ACCT# 010-42896-9                | 58,394.         | 0.                            | 58,394.                     | 57,790.                           |                               |
| JPMORGAN CLEARING<br>CORP #541-40211 -<br>FINAL   | 1,437.          | 0.                            | 1,437.                      | 1,437.                            |                               |

|                    |            |          |            |            |
|--------------------|------------|----------|------------|------------|
| LAZARD LTD - FINAL | 250.       | 0.       | 250.       | 250.       |
| ROPES & GRAY LLP   |            |          |            |            |
| FIDUCIARY ACCOUNT  |            |          |            |            |
| #0087133           | 703,857.   | 0.       | 703,857.   | 703,857.   |
| ROPES & GRAY LLP   |            |          |            |            |
| FIDUCIARY ACCOUNT  |            |          |            |            |
| #0087133           | 403,992.   | 403,992. | 0.         | 0.         |
| ROPES & GRAY LLP   |            |          |            |            |
| FIDUCIARY ACCOUNT  |            |          |            |            |
| #0088488           | 808,838.   | 0.       | 808,838.   | 808,838.   |
| ROPES & GRAY LLP   |            |          |            |            |
| FIDUCIARY ACCOUNT  |            |          |            |            |
| #0088488           | 134,535.   | 0.       | 134,535.   | 0.         |
| ROPES & GRAY LLP   |            |          |            |            |
| FIDUCIARY ACCOUNT  |            |          |            |            |
| #0088500           | 326,452.   | 0.       | 326,452.   | 326,452.   |
| ROPES & GRAY LLP   |            |          |            |            |
| FIDUCIARY ACCOUNT  |            |          |            |            |
| #0088501 - FINAL   | 65,800.    | 0.       | 65,800.    | 65,606.    |
| ROPES & GRAY LLP   |            |          |            |            |
| FIDUCIARY ACCOUNT  |            |          |            |            |
| #0088501 - FINAL   | 4,301.     | 4,301.   | 0.         | 0.         |
| ROPES & GRAY LLP   |            |          |            |            |
| FIDUCIARY ACCOUNT  |            |          |            |            |
| #0088502 - FINAL   | 102,625.   | 0.       | 102,625.   | 102,625.   |
| ROPES & GRAY LLP   |            |          |            |            |
| FIDUCIARY ACCOUNT  |            |          |            |            |
| #0088503           | 944,487.   | 0.       | 944,487.   | 944,487.   |
| ROPES & GRAY LLP   |            |          |            |            |
| FIDUCIARY ACCOUNT  |            |          |            |            |
| #0088503           | 34,238.    | 34,238.  | 0.         | 0.         |
| ROPES & GRAY LLP   |            |          |            |            |
| FIDUCIARY ACCOUNT  |            |          |            |            |
| #0088504 - FINAL   | 22,449.    | 0.       | 22,449.    | 19,228.    |
| ROPES & GRAY LLP   |            |          |            |            |
| FIDUCIARY ACCOUNT  |            |          |            |            |
| #0088504 - FINAL   | 203.       | 203.     | 0.         | 0.         |
| ROPES & GRAY LLP   |            |          |            |            |
| FIDUCIARY ACCOUNT  |            |          |            |            |
| #0088505           | 17,649.    | 0.       | 17,649.    | 16,939.    |
| ROPES & GRAY LLP   |            |          |            |            |
| FIDUCIARY ACCOUNT  |            |          |            |            |
| #0088506 - FINAL   | 25,236.    | 0.       | 25,236.    | 25,236.    |
| ROPES & GRAY LLP   |            |          |            |            |
| FIDUCIARY ACCOUNT  |            |          |            |            |
| #0088506 - FINAL   | 425.       | 425.     | 0.         | 0.         |
| ROPES & GRAY LLP   |            |          |            |            |
| FIDUCIARY ACCOUNT  |            |          |            |            |
| #0088507 - FINAL   | 175,262.   | 0.       | 175,262.   | 175,262.   |
| ROPES & GRAY LLP   |            |          |            |            |
| FIDUCIARY ACCOUNT  |            |          |            |            |
| #0088508 - FINAL   | 219,816.   | 0.       | 219,816.   | 219,816.   |
| TO PART I, LINE 4  | 3,849,206. | 443,159. | 3,406,047. | 3,266,783. |

FORM 990-PF

OTHER INCOME

STATEMENT 3

| DESCRIPTION                                               | (A)<br>REVENUE<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME |
|-----------------------------------------------------------|-----------------------------|-----------------------------------|-------------------------------|
| ADAMAS OPPORTUNITIES, L.P. (1YR)                          | 0.                          | 1,289.                            |                               |
| ADAMAS OPPORTUNITIES, L.P. (3YR)                          | 0.                          | 16,555.                           |                               |
| ADAMAS PARTNERS, L.P.                                     | 0.                          | 15,097.                           |                               |
| PERRY REAL ESTATE FUND I, L.P.                            | 0.                          | 1,408.                            |                               |
| HIGHVISTA II LIMITED PARTNERSHIP                          | 0.                          | 791,837.                          |                               |
| BAUPOST VALUE PARTNERS, LP - IV                           | 0.                          | 495,394.                          |                               |
| GSCP V INSTITUTIONAL AIV, LP                              | 0.                          | <2,051.>                          |                               |
| GS CAPITAL PARTNERS V<br>INSTITUTIONAL, LP                | 0.                          | 31,135.                           |                               |
| NB CROSSROADS FUND XVII -<br>INSTITUTIONAL ASSET ALLOC LP | 0.                          | 8,126.                            |                               |
| NB CROSSROADS FUND XVIII - ASSET<br>ALLOC LP              | 0.                          | 3,841.                            |                               |
| 2012 FEDERAL EXCISE TAX OVERPAYMENT<br>APPLIED TO 2013    | 28,740.                     | 0.                                |                               |
| RCP FUND II, LP                                           | 0.                          | 568.                              |                               |
| METRO REAL ESTATE PARTNER II, L.P.                        | 0.                          | 2,062.                            |                               |
| ADAMAS OPPORTUNITIES, L.P. (1YR)                          | 0.                          | <3,226.>                          |                               |
| ADAMAS OPPORTUNITIES, L.P. (3YR)                          | 0.                          | <40,863.>                         |                               |
| ADAMAS PARTNERS, L.P.                                     | 0.                          | <51,547.>                         |                               |
| METRO REAL ESTATE PARTNER II, L.P.                        | 0.                          | <1,857.>                          |                               |
| HIGHVISTA II LIMITED PARTNERSHIP                          | 0.                          | <154,395.>                        |                               |
| NB CROSSROADS FUND XVIII - ASSET<br>ALLOC LP              | 0.                          | 0.                                |                               |
| BAUPOST VALUE PARTNERS, LP - IV                           | 0.                          | 33,144.                           |                               |
| RCP FUND II, LP                                           | 0.                          | <21,677.>                         |                               |
| SHELBY OAKS MACOMB APARTMENTS<br>LIMITED                  | 0.                          | 294,770.                          |                               |
| NB CROSSROADS FUND XVII -<br>INSTITUTIONAL ASSET ALLOC LP | 0.                          | <19.>                             |                               |
| PERRY REAL ESTATE FUND I, L.P.                            | 0.                          | 7,827.                            |                               |
| TOTAL TO FORM 990-PF, PART I, LINE 11                     | 28,740.                     | 1,427,418.                        |                               |

## FORM 990-PF

## LEGAL FEES

STATEMENT 4

| DESCRIPTION                | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |
|----------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| ROPES & GRAY - LEGAL FEES  | 28,224.                      | 18,346.                           |                               | 9,878.                        |
| FILING FEE                 | 500.                         | 0.                                |                               | 500.                          |
| TO FM 990-PF, PG 1, LN 16A | 28,724.                      | 18,346.                           |                               | 10,378.                       |

## FORM 990-PF

## ACCOUNTING FEES

STATEMENT 5

| DESCRIPTION                  | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |
|------------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| ROPES & GRAY - TAX PREP      | 71,584.                      | 47,723.                           |                               | 23,861.                       |
| TO FORM 990-PF, PG 1, LN 16B | 71,584.                      | 47,723.                           |                               | 23,861.                       |

## FORM 990-PF

## OTHER PROFESSIONAL FEES

STATEMENT 6

| DESCRIPTION                                                      | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |
|------------------------------------------------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| GOLDMAN SACHS ACCT#<br>010-42896-9 ANNUAL CUSTODY<br>FEES        | 1,000.                       | 1,000.                            |                               | 0.                            |
| GOLDMAN SACHS ACCT#<br>010-42896-9 INVESTMENT<br>MANAGEMENT FEES | 14,770.                      | 14,770.                           |                               | 0.                            |
| SJM FIDUCIARY ADVISORS LLC                                       | 46,565.                      | 46,565.                           |                               | 0.                            |
| SAMPSON CAPITAL ADVISORS<br>LLC                                  | 58,814.                      | 58,814.                           |                               | 0.                            |
| BARCLAY'S INVESTMENT FEES                                        | 319,170.                     | 319,170.                          |                               | 0.                            |
| TO FORM 990-PF, PG 1, LN 16C                                     | 440,319.                     | 440,319.                          |                               | 0.                            |

## FORM 990-PF

## TAXES

## STATEMENT

7

| DESCRIPTION                                               | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |
|-----------------------------------------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| 2012 FEDERAL EXCISE TAX<br>OVERPAYMENT APPLIED TO<br>2013 | 50,826.                      | 0.                                |                               | 0.                            |
| FOREIGN TAX WITHHELD                                      | 36,599.                      | 36,599.                           |                               | 0.                            |
| FOREIGN TAX WITHHELD FROM<br>PARTNERSHIPS                 | 0.                           | 26,798.                           |                               | 0.                            |
| MA UBTI TAXES - BAL DUE<br>FOR 2013                       | 3,714.                       | 3,714.                            |                               | 0.                            |
| MA UBTI TAXES - ESTIMATES<br>FOR 2014                     | 3,640.                       | 3,640.                            |                               | 0.                            |
| 2013 ESTIMATED FEDERAL<br>EXCISE TAX PAID                 | 30,974.                      | 0.                                |                               | 0.                            |
| TO FORM 990-PF, PG 1, LN 18                               | 125,753.                     | 70,751.                           |                               | 0.                            |

## FORM 990-PF

## OTHER EXPENSES

## STATEMENT

8

| DESCRIPTION                                               | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |
|-----------------------------------------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| ADAMAS OPPORTUNITIES, L.P.<br>(1YR)                       | 0.                           | 6,598.                            |                               | 0.                            |
| ADAMAS OPPORTUNITIES, L.P.<br>(3YR)                       | 0.                           | 80,612.                           |                               | 0.                            |
| ADAMAS PARTNERS, L.P.                                     | 0.                           | 77,038.                           |                               | 0.                            |
| GS CAPITAL PARTNERS V<br>INSTITUTIONAL, L.P.              | 0.                           | 7,509.                            |                               | 0.                            |
| HIGHVISTA II LIMITED<br>PARTNERSHIP                       | 0.                           | 243,570.                          |                               | 0.                            |
| METRO REAL ESTATE PARTNER<br>II, L.P.                     | 0.                           | 17,761.                           |                               | 0.                            |
| PERRY REAL ESTATE FUND I,<br>L.P.                         | 0.                           | 18,595.                           |                               | 0.                            |
| RCP FUND II, L.P.                                         | 0.                           | 22,446.                           |                               | 0.                            |
| NB CROSSROADS FUND XVIII -<br>ASSET ALLOC LP              | 0.                           | 30,610.                           |                               | 0.                            |
| NB CROSSROADS FUND XVII -<br>INSTITUTIONAL ASSET ALLOC LP | 0.                           | 87,329.                           |                               | 0.                            |
| BAUPOST VALUE PARTNERS, LP -<br>IV                        | 0.                           | 579,821.                          |                               | 0.                            |
| ADR FEES - #0088501 - FINAL                               | 56.                          | 56.                               |                               | 0.                            |
| LAZARD LTD - FINAL                                        | 0.                           | 2.                                |                               | 0.                            |

|                              |         |            |    |
|------------------------------|---------|------------|----|
| GSCP V INSTITUTIONAL AIV, LP | 0.      | 999.       | 0. |
| ROPES & GRAY LLP FIDUCIARY   |         |            |    |
| ACCOUNT #0088500 INVESTMENT  |         |            |    |
| FEES                         | 12,024. | 12,024.    | 0. |
| ADR FEES - #0088502 - FINAL  | 66.     | 66.        | 0. |
| MA UBTI - PENALTY AND        |         |            |    |
| INTEREST FROM 2013           | 601.    | 0.         | 0. |
| ADR FEES - #0088507 - FINAL  | 492.    | 492.       | 0. |
| FIMI OPPORTUNITY V, LP       | 0.      | 32,292.    | 0. |
| ROPES & GRAY LLP FIDUCIARY   |         |            |    |
| ACCOUNT #0088488 INVESTMENT  |         |            |    |
| FEES                         | 44,762. | 44,762.    | 0. |
| TO FORM 990-PF, PG 1, LN 23  | 58,001. | 1,262,582. | 0. |

|             |                                                |           |   |
|-------------|------------------------------------------------|-----------|---|
| FORM 990-PF | OTHER INCREASES IN NET ASSETS OR FUND BALANCES | STATEMENT | 9 |
|-------------|------------------------------------------------|-----------|---|

| DESCRIPTION                                                    | AMOUNT     |
|----------------------------------------------------------------|------------|
| ADJ FOR ENDING PARTNER'S CAP ACCT ADAMAS OPPORTUNIES 1YR & 3YR | 534,503.   |
| ADJ FOR ENDING PARTNER'S CAP ACCT ADAMAS PARTNERS              | 455,454.   |
| ADJ FOR ENDING PARTNER'S CAP ACCT HIGHVISTA II LIMITED PRTNSP  | 1,853,037. |
| ADJ FOR ENDING PARTNER'S CAP ACCT GSCP V INSTITUTIONAL AIV, LP | 54,931.    |
| ADJ FOR ENDING PARTNER'S CAP ACCT FIMI OPPORTUNIES V, LP       | 280,029.   |
| TOTAL TO FORM 990-PF, PART III, LINE 3                         | 3,177,954. |

|             |                                                |           |    |
|-------------|------------------------------------------------|-----------|----|
| FORM 990-PF | OTHER DECREASES IN NET ASSETS OR FUND BALANCES | STATEMENT | 10 |
|-------------|------------------------------------------------|-----------|----|

| DESCRIPTION                                                      | AMOUNT      |
|------------------------------------------------------------------|-------------|
| TAX/BOOK ALT INVESTMENTS & PRIVATE EQUITY ADJUSTMENTS            | 16,002,574. |
| ADJ FOR ENDING PARTNER'S CAP ACCT BAUPOST VALUE PARTNERS IV      | 1,647,849.  |
| ADJ FOR ENDING PARTNER'S CAP ACCT PERRY REAL ESTATE FD I LP      | 411,246.    |
| ADJ FOR ENDING PARTNER'S CAP ACCT SHELBY OAKS MACOMB APTS        | 151,373.    |
| ADJ FOR ENDING PARTNER'S CAP ACCT GS CAPITAL PARTNERS V          | 196,022.    |
| ADJ FOR ENDING PARTNER'S CAP ACCT NB CROSSROADS XVII             | 271,457.    |
| ADJ FOR ENDING PARTNER'S CAP ACCT METROPOLITAN REAL ESTATE II    | 158,142.    |
| ADJ FOR ENDING PARTNER'S CAP ACCT NB CROSSROADS XVIII            | 16,397.     |
| ADJ FOR ENDING PARTNER'S CAP ACCT RCP FUND II, LP                | 136,416.    |
| ADJUSTMENT MADE TO CORRECT BOOK VALUE OF ETON PARK OVERSEAS FUND | 39,706.     |
| ADJ FOR ENDING PARTNER'S CAP ACCT GS WEST STREET PARTNERS II     | 68,189.     |

|                                                                       |             |
|-----------------------------------------------------------------------|-------------|
| ADJ FOR ENDING PARTNER'S CAP ACCT GS DISTRESSED OPPORTUNITIES         | 332,142.    |
| ADJ FOR ENDING PARTNER'S CAP ACCT GS MEZZANINE PARTNERS 2006          | 693,864.    |
| ADJ FOR ENDING PARTNER'S CAP ACCT GOLDMAN SACHS VINTAGE FUND III OFFS | 611,566.    |
| TOTAL TO FORM 990-PF, PART III, LINE 5                                | 20,736,943. |

|             |                 |              |
|-------------|-----------------|--------------|
| FORM 990-PF | CORPORATE STOCK | STATEMENT 11 |
|-------------|-----------------|--------------|

| DESCRIPTION                                                 | BOOK VALUE  | FAIR MARKET VALUE |
|-------------------------------------------------------------|-------------|-------------------|
| 525106.879 SHS GS HIGH YIELD FUND                           | 0.          | 0.                |
| 70789.025 SHS GS HIGH QUALITY FLOATING RATE FUND            | 0.          | 0.                |
| BARCLAYS CAPITAL INC ACCT #578-00555                        | 0.          | 0.                |
| 102459.254 SHS GS STRATEGIC INCOME FUND CLASS I             | 0.          | 0.                |
| 165453.910 SHS GS LOCAL EMERGING MKTS DEBT FD CLASS I       | 0.          | 0.                |
| 118304.029 SHS GS HIGH YIELD FLOATING RATE FUND INST SHARES | 0.          | 0.                |
| BARCLAYS CAPITAL INC ACCT #578-00776                        | 0.          | 0.                |
| 1077148.143 SHS NEUBERGER BERMAN HI IN B                    | 10,115,761. | 7,372,645.        |
| 165715.599 SHS ARTISAN INTL VALUE FUND                      | 4,785,916.  | 6,108,277.        |
| 416263.739 SHS HARDING LOEVNER INTL EQUITY PORT             | 0.          | 0.                |
| 55524.186 SHS VANGUARD 500 INDEX FUND                       | 0.          | 0.                |
| ROPES & GRAY ACCOUNT #0088502                               | 0.          | 0.                |
| ROPES & GRAY ACCOUNT #0088503 (SEE ATTACHED)                | 58,575,475. | 60,014,245.       |
| ROPES & GRAY ACCOUNT #0088504                               | 0.          | 0.                |
| ROPES & GRAY ACCOUNT #0088505                               | 0.          | 0.                |
| ROPES & GRAY ACCOUNT #0088506                               | 0.          | 0.                |
| ROPES & GRAY ACCOUNT #0088507                               | 0.          | 0.                |
| TOTAL TO FORM 990-PF, PART II, LINE 10B                     | 73,477,152. | 73,495,167.       |

|             |                 |              |
|-------------|-----------------|--------------|
| FORM 990-PF | CORPORATE BONDS | STATEMENT 12 |
|-------------|-----------------|--------------|

| DESCRIPTION                                     | BOOK VALUE  | FAIR MARKET VALUE |
|-------------------------------------------------|-------------|-------------------|
| ISRAEL ST DLR BD 7TH DEV DTD 7/1/03 4% 7/1/2018 | 10,000.     | 10,000.           |
| ISRAEL ST DTD 12/1/00 0% 12/1/2015              | 1,000.      | 1,000.            |
| ROPES & GRAY ACCOUNT #0088488 (SEE ATTACHED)    | 31,465,480. | 31,126,479.       |
| ROPES & GRAY ACCOUNT #0088508                   | 0.          | 0.                |
| TOTAL TO FORM 990-PF, PART II, LINE 10C         | 31,476,480. | 31,137,479.       |



## Investment Detail

0088503 | SWARTZ FOUNDATION - CASH/ LP/ MF

28-Apr-2014 10:56 AM ET

**Asset Types:** Alternative Investments, Cash, Cash & Equivalents, Commodities, Fixed Income Securities, International Equities, Large Cap Core Equities, Liabilities, Miscellaneous Assets, Other Equity Classes

**Data Current as of:** 31-Dec-2013

## SUMMARY

| Asset Type              | Current Allocation | Market Value           | Total Cost             | Unrealized Gain/Loss  |
|-------------------------|--------------------|------------------------|------------------------|-----------------------|
| Cash & Equivalents      | 8.891%             | \$5,856,700.50         | \$5,856,700.50         | \$0.00                |
| Fixed Income Securities | 10.656%            | \$7,019,388.47         | \$7,000,000.00         | \$19,388.47           |
| International Equities  | 24.827%            | \$16,353,836.34        | \$16,465,655.05        | (\$111,818.71)        |
| Large Cap Core Equities | 39.822%            | \$26,231,112.43        | \$25,109,820.00        | \$1,121,292.43        |
| Other Equity Classes    | 15.804%            | \$10,409,907.97        | \$10,000,000.00        | \$409,907.97          |
| <b>Totals</b>           |                    | <b>\$65,870,945.71</b> | <b>\$64,432,175.55</b> | <b>\$1,438,770.16</b> |

## DETAIL

| Asset Name                                                                            | Current Allocation | Quantity       | Current Price | Date Priced | Market Value          | Total Cost            | Unrealized Gain/Loss |
|---------------------------------------------------------------------------------------|--------------------|----------------|---------------|-------------|-----------------------|-----------------------|----------------------|
| <b>Cash &amp; Equivalents: 8.891%</b>                                                 |                    |                |               |             |                       |                       |                      |
| FEDERATED U S<br>TRES CASH RSV<br>MM FD- I<br>Ticker UTIXX  <br>Asset<br>ID 60934N682 | 8.891%             | 5,856,700.5000 | 100.0000%     | 31-Dec-2013 | \$5,856,700.50        | \$5,856,700.50        | \$0.00               |
| <b>Subtotal</b>                                                                       | <b>8.891%</b>      |                |               |             | <b>\$5,856,700.50</b> | <b>\$5,856,700.50</b> | <b>\$0.00</b>        |
| <b>Fixed Income Securities: 10.656%</b>                                               |                    |                |               |             |                       |                       |                      |
| RIDGEWORTH<br>SEIX FLOATING<br>RATE FD INS<br>Ticker SAMBX  <br>Asset<br>ID 76628T678 | 10.656%            | 774,766.9390   | 9.0600        | 31-Dec-2013 | \$7,019,388.47        | \$7,000,000.00        | \$19,388.47          |
| <b>Subtotal</b>                                                                       | <b>10.656%</b>     |                |               |             | <b>\$7,019,388.47</b> | <b>\$7,000,000.00</b> | <b>\$19,388.47</b>   |
| <b>International Equities: 24.827%</b>                                                |                    |                |               |             |                       |                       |                      |
| DRIEHAUS EMG<br>MKTS GROWTH<br>FD<br>Ticker DREGX  <br>Asset<br>ID 262028301          | 2.157%             | 43,687.7130    | 32.5300       | 31-Dec-2013 | \$1,421,161.30        | \$1,465,655.05        | (\$44,493.75)        |
| VANGUARD<br>DEVELOPED                                                                 | 22.670%            | 448,833.0340   | 33.2700       | 31-Dec-2013 | \$14,932,675.04       | \$15,000,000.00       | (\$67,324.96)        |

| Asset Name                                                                     | Current Allocation | Quantity     | Current Price | Date Priced | Market Value           | Total Cost             | Unrealized Gain/Loss  |
|--------------------------------------------------------------------------------|--------------------|--------------|---------------|-------------|------------------------|------------------------|-----------------------|
| MKTS IDX FD<br>ADM<br>Asset<br>ID 921937678Q                                   |                    |              |               |             |                        |                        |                       |
| <b>Subtotal</b>                                                                | <b>24.827%</b>     |              |               |             | <b>\$16,353,836.34</b> | <b>\$16,465,655.05</b> | <b>(\$111,818.71)</b> |
| <b>Large Cap Core Equities: 39.822%</b>                                        |                    |              |               |             |                        |                        |                       |
| VANGUARD 500<br>IDX FD SIG<br>Ticker VIFSX  <br>Asset<br>ID 922908496          | 31.984%            | 149,715.7530 | 140.7200      | 31-Dec-2013 | \$21,068,000.76        | \$20,109,820.00        | \$958,180.76          |
| VANGUARD<br>HIGH YIELD IDX<br>FD IV<br>Ticker VHDYX  <br>Asset<br>ID 921946505 | 7.838%             | 209,117.5240 | 24.6900       | 31-Dec-2013 | \$5,163,111.67         | \$5,000,000.00         | \$163,111.67          |
| <b>Subtotal</b>                                                                | <b>39.822%</b>     |              |               |             | <b>\$26,231,112.43</b> | <b>\$25,109,820.00</b> | <b>\$1,121,292.43</b> |
| <b>Other Equity Classes: 15.804%</b>                                           |                    |              |               |             |                        |                        |                       |
| VANGUARD<br>SMALL CAP IDX<br>FD<br>Ticker VSISX  <br>Asset<br>ID 922908421     | 15.803%            | 219,202.1050 | 47.4900       | 31-Dec-2013 | \$10,409,907.97        | \$10,000,000.00        | \$409,907.97          |
| <b>Subtotal</b>                                                                | <b>15.804%</b>     |              |               |             | <b>\$10,409,907.97</b> | <b>\$10,000,000.00</b> | <b>\$409,907.97</b>   |



## Investment Detail

0088488 | SWARTZ FOUNDATION - SAMSON

28-Apr-2014 10 04 AM ET

**Asset Types:** Alternative Investments, Cash, Cash & Equivalents, Commodities, Fixed Income Securities, International Equities, Large Cap Core Equities, Liabilities, Miscellaneous Assets, Other Equity Classes

**Data Current as of:** 31-Dec-2013

## SUMMARY

| Asset Type              | Current Allocation | Market Value           | Total Cost             | Unrealized Gain/Loss  |
|-------------------------|--------------------|------------------------|------------------------|-----------------------|
| Cash                    | 0.000%             | \$0.00                 | \$0.00                 | \$0.00                |
| Cash & Equivalents      | 15.566%            | \$5,738,153.25         | \$5,738,153.25         | \$0.00                |
| Fixed Income Securities | 84.435%            | \$31,126,478.68        | \$31,465,480.42        | (\$339,001.74)        |
| <b>Totals</b>           |                    | <b>\$36,864,631.93</b> | <b>\$37,203,633.67</b> | <b>(\$339,001.74)</b> |

## DETAIL

| Asset Name                                                                           | Current Allocation | Quantity       | Current Price | Date Priced | Market Value          | Total Cost            | Unrealized Gain/Loss |
|--------------------------------------------------------------------------------------|--------------------|----------------|---------------|-------------|-----------------------|-----------------------|----------------------|
| <b>Cash: 0.000%</b>                                                                  |                    |                |               |             |                       |                       |                      |
| CASH - INCOME                                                                        | 0.048%             | 17,787.0900    | 1.0000        |             | \$17,787.09           | \$17,787.09           | \$0.00               |
| CASH - PRINCIPAL                                                                     | (0.048)%           | (17,787.0900)  | 1.0000        |             | (\$17,787.09)         | (\$17,787.09)         | \$0.00               |
| <b>Subtotal</b>                                                                      | <b>0.000%</b>      |                |               |             | <b>\$0.00</b>         | <b>\$0.00</b>         | <b>\$0.00</b>        |
| <b>Cash &amp; Equivalents: 15.566%</b>                                               |                    |                |               |             |                       |                       |                      |
| FEDERATED U S<br>TRES CASH RSV<br>MM FD-1<br>Ticker:UTIXX  <br>Asset<br>ID:60934N682 | 15.565%            | 5,738,153.2500 | 100.0000%     | 31-Dec-2013 | \$5,738,153.25        | \$5,738,153.25        | \$0.00               |
| <b>Subtotal</b>                                                                      | <b>15.566%</b>     |                |               |             | <b>\$5,738,153.25</b> | <b>\$5,738,153.25</b> | <b>\$0.00</b>        |
| <b>Fixed Income Securities: 84.435%</b>                                              |                    |                |               |             |                       |                       |                      |
| AMER EXPRESS<br>CR MTN 2 375%<br>3/24/17<br>Asset<br>ID:0258M0DD8                    | 1.952%             | 700,000.0000   | 102.7880%     | 31-Dec-2013 | \$719,516.00          | \$722,045.00          | (\$2,529.00)         |
| APPLE INC<br>1.000% 5/03/18<br>Asset<br>ID:037833AJ9                                 | 2.623%             | 1,000,000.0000 | 96.6950%      | 31-Dec-2013 | \$966,950.00          | \$970,620.00          | (\$3,670.00)         |
| ASTRAZENECA<br>PLC 5.900%<br>9/15/17<br>Asset<br>ID:046353AB4                        | 1.861%             | 600,000.0000   | 114.3470%     | 31-Dec-2013 | \$686,082.00          | \$737,652.00          | (\$51,570.00)        |

| Asset Name                                                                      | Current Allocation | Quantity       | Current Price | Date Priced | Market Value   | Total Cost     | Unrealized Gain/Loss |
|---------------------------------------------------------------------------------|--------------------|----------------|---------------|-------------|----------------|----------------|----------------------|
| BANK OF MONTREAL MTN 2 500% 1/11/17<br>Asset<br>ID 06366QW86                    | 1.956%             | 700,000.0000   | 103.0090%     | 31-Dec-2013 | \$721,063.00   | \$738,192.00   | (\$17,129.00)        |
| BNP PARIBAS MTN 3 250% 3/11/15<br>Asset<br>ID 05567LG68                         | 2.125%             | 760,000.0000   | 103.0560%     | 31-Dec-2013 | \$783,225.60   | \$784,099.60   | (\$874.00)           |
| BP CAPITAL PLC 1 375% 5/10/18<br>Asset<br>ID 05565QCE6                          | 1.843%             | 700,000.0000   | 97.0550%      | 31-Dec-2013 | \$679,385.00   | \$699,426.00   | (\$20,041.00)        |
| BRANCH BKG & TR 1 450% 10/03/16<br>Asset<br>ID 07330NAC9                        | 2.327%             | 850,000.0000   | 100.9370%     | 31-Dec-2013 | \$857,964.50   | \$859,630.50   | (\$1,666.00)         |
| CORPUS CHRISTI TX 5 000% 7/15/18<br>Asset<br>ID 220245ST2                       | 2.251%             | 720,000.0000   | 115.2470%     | 31-Dec-2013 | \$829,778.40   | \$848,945.51   | (\$19,167.11)        |
| FHLMC GD PL #G04385 5 500% 7/01/38<br>Ticker G04385F  <br>Asset<br>ID 3128M6F29 | 0.000%             | 0.0100         | 108.9870%     | 31-Dec-2013 | \$0.01         | \$0.01         | \$0.00               |
| FHLMC GD PL #G06385 5 500% 8/01/40<br>Ticker:G06385F  <br>Asset<br>ID 3128M8NA8 | 1.194%             | 403,997.7800   | 108.9870%     | 31-Dec-2013 | \$440,305.06   | \$438,337.58   | \$1,967.48           |
| FNMA PL #745418 5 500% 4/01/36<br>Ticker 745418A  <br>Asset<br>ID 31403DDX4     | 1.691%             | 567,024.8500   | 109.9290%     | 31-Dec-2013 | \$623,324.75   | \$624,524.71   | (\$1,199.96)         |
| FNMA PL #995442 6 000% 12/01/38<br>Ticker 995442A  <br>Asset<br>ID 31416BZF8    | 1.352%             | 450,392.0700   | 110.6660%     | 31-Dec-2013 | \$498,430.89   | \$492,827.43   | \$5,603.46           |
| FNMA PL #AE7758 3.500% 11/01/25<br>Ticker:AE7758A  <br>Asset<br>ID 31419JTQ1    | 1.161%             | 409,183.6000   | 104.6390%     | 31-Dec-2013 | \$428,165.63   | \$433,798.56   | (\$5,632.93)         |
| FNMA PL #MA1210 2 500% 10/01/27<br>Ticker:MA1210A  <br>Asset<br>ID 31418AKY3    | 1.593%             | 591,307.7200   | 99.3110%      | 31-Dec-2013 | \$587,233.61   | \$622,905.74   | (\$35,672.13)        |
| GEN ELEC CAP CRP MTN 2 900% 1/09/17<br>Asset<br>ID 36962G5N0                    | 2.549%             | 900,000.0000   | 104.3970%     | 31-Dec-2013 | \$939,573.00   | \$943,628.00   | (\$4,055.00)         |
| GNMA II PL #004194 5 500% 7/20/38<br>Ticker 004194M  <br>Asset<br>ID 36202EUT4  | 3.456%             | 1,155,435.9600 | 110.2510%     | 31-Dec-2013 | \$1,273,879.70 | \$1,270,979.55 | \$2,900.15           |

| Asset Name                                                          | Current Allocation | Quantity     | Current Price | Date Priced | Market Value | Total Cost   | Unrealized Gain/Loss |
|---------------------------------------------------------------------|--------------------|--------------|---------------|-------------|--------------|--------------|----------------------|
| HONOLULU CITY<br>HI 5 000%<br>11/01/18<br>Asset<br>ID 438670H61     | 2 233%             | 700,000 0000 | 117 5810%     | 31-Dec-2013 | \$823,067 00 | \$835,471 04 | (\$12,404 04)        |
| IBM CORP<br>5 700% 9/14/17<br>Asset<br>ID 459200GJ4                 | 2 180%             | 700,000 0000 | 114 8300%     | 31-Dec-2013 | \$803,810 00 | \$858,879 00 | (\$55,069 00)        |
| JPMORGAN<br>CHASE 3 150%<br>7/05/16<br>Asset<br>ID 46625HJA9        | 2 048%             | 720,000.0000 | 104 8380%     | 31-Dec-2013 | \$754,833 60 | \$757,620 00 | (\$2,786 40)         |
| MET TRANS<br>AUTH NY 5 000%<br>11/15/19<br>Asset<br>ID 59259YTP4    | 0 785%             | 250,000 0000 | 115 7620%     | 31-Dec-2013 | \$289,405 00 | \$292,513.23 | (\$3,108 23)         |
| MISSISSIPPI ST<br>DEV 4 000%<br>1/01/17<br>Asset<br>ID 60534TGS8    | 1 482%             | 500,000 0000 | 109 2800%     | 31-Dec-2013 | \$546,400 00 | \$551,465 56 | (\$5,065.56)         |
| MUNI ELEC AUTH<br>OF GA 4 000%<br>11/01/15<br>Asset<br>ID 626207F66 | 1 446%             | 500,000.0000 | 106 6180%     | 31-Dec-2013 | \$533,090 00 | \$533,127 29 | (\$37 29)            |
| NEW YORK NY<br>4 000% 12/01/17<br>Asset<br>ID 64988TFU7             | 2 265%             | 750,000 0000 | 111 3160%     | 31-Dec-2013 | \$834,870 00 | \$836,445 25 | (\$1,575 25)         |
| NEW YORK NY<br>5 000% 8/01/16<br>Asset<br>ID 64966K4R1              | 1 207%             | 400,000.0000 | 111.2750%     | 31-Dec-2013 | \$445,100 00 | \$446,516 00 | (\$1,416 00)         |
| NORTH SLOPE<br>BORO AK 4 000%<br>6/30/17<br>Asset<br>ID 662523YE3   | 1.351%             | 450,000.0000 | 110 6600%     | 31-Dec-2013 | \$497,970 00 | \$497,299 92 | \$670 08             |
| OHIO ST MAJOR<br>NEW 4 000%<br>12/15/18<br>Asset<br>ID 677581FB1    | 1.515%             | 500,000.0000 | 111 6670%     | 31-Dec-2013 | \$558,335.00 | \$565,153 49 | (\$6,818.49)         |
| ONTARIO<br>PROVINCE<br>1.100% 10/25/17<br>Asset<br>ID 68323ABM5     | 0 670%             | 250,000 0000 | 98 8700%      | 31-Dec-2013 | \$247,175 00 | \$249,660 00 | (\$2,485 00)         |
| PENNSYLVANIA<br>ST ECO 5 000%<br>1/01/18<br>Asset<br>ID 70869VAR5   | 2 194%             | 700,000 0000 | 115 5180%     | 31-Dec-2013 | \$808,626 00 | \$825,277.74 | (\$16,651 74)        |
| PEPSICO INC<br>2 250% 1/07/19<br>Asset<br>ID 713448CK2              | 1.741%             | 640,000 0000 | 100 2980%     | 31-Dec-2013 | \$641,907 20 | \$641,111 20 | \$796 00             |
| TORONTO DOM<br>BANK MTN<br>2.500% 7/14/16<br>Asset<br>ID 89114QAB4  | 2 195%             | 780,000 0000 | 103.7270%     | 31-Dec-2013 | \$809,070 60 | \$813,711 60 | (\$4,641.00)         |
| TOYOTA MTR<br>CRED MTN                                              | 2 065%             | 740,000 0000 | 102 8610%     | 31-Dec-2013 | \$761,171 40 | \$763,384 00 | (\$2,212 60)         |

| Asset Name                                                         | Current Allocation | Quantity       | Current Price | Date Priced | Market Value    | Total Cost      | Unrealized Gain/Loss |
|--------------------------------------------------------------------|--------------------|----------------|---------------|-------------|-----------------|-----------------|----------------------|
| 2 000% 9/15/16<br>Asset<br>ID 89233P5E2                            |                    |                |               |             |                 |                 |                      |
| TRI-CNTY OR<br>MET TRA 4 000%<br>11/01/17<br>Asset<br>ID 89546RKL7 | 1 503%             | 515,000 0000   | 107 5940%     | 31-Dec-2013 | \$554,109 10    | \$555,975 49    | (\$1,866 39)         |
| U S TREASURY<br>NOTES 0 375%<br>8/31/15<br>Asset<br>ID 912828VU1   | 11 356%            | 4,180,000 0000 | 100.1520%     | 31-Dec-2013 | \$4,186,353 60  | \$4,184,825 01  | \$1,528 59           |
| U S TREASURY<br>NOTES 0 375%<br>11/15/14<br>Asset<br>ID 912828RQ5  | 4 077%             | 1,500,000 0000 | 100 1910%     | 31-Dec-2013 | \$1,502,865 00  | \$1,502,988 28  | (\$123 28)           |
| U S TREASURY<br>NOTES 0 625%<br>12/15/16<br>Asset<br>ID 912828A59  | 4 052%             | 1,500,000 0000 | 99.5940%      | 31-Dec-2013 | \$1,493,910 00  | \$1,494,316 41  | (\$406 41)           |
| U S. TREASURY<br>TIPS 0 125%<br>4/15/17<br>Asset<br>ID 912828SQ4   | 4 645%             | 1,665,894.6000 | 102 7810%     | 31-Dec-2013 | \$1,712,223 13  | \$1,773,483.00  | (\$61,259 87)        |
| WELLS FARGO<br>CO MTN 1 500%<br>7/01/15<br>Asset<br>ID.94974BFE5   | 1 926%             | 700,000 0000   | 101 4060%     | 31-Dec-2013 | \$709,842 00    | \$709,121.00    | \$721 00             |
| WISCONSIN ST<br>HLTH 5 000%<br>11/15/43<br>Asset<br>ID 97712DBM7   | 1 566%             | 510,000 0000   | 113 2290%     | 31-Dec-2013 | \$577,467.90    | \$589,523.72    | (\$12,055 82)        |
| Subtotal                                                           | 84.435%            |                |               |             | \$31,126,478.68 | \$31,465,480.42 | (\$339,001.74)       |

| FORM 990-PF                            | OTHER INVESTMENTS | STATEMENT  | 13                |
|----------------------------------------|-------------------|------------|-------------------|
| DESCRIPTION                            | VALUATION METHOD  | BOOK VALUE | FAIR MARKET VALUE |
| ROPES & GRAY ACCOUNT #0088500          | COST              | 0.         | 0.                |
| ROPES & GRAY ACCOUNT #0088501          | COST              | 0.         | 0.                |
| TOTAL TO FORM 990-PF, PART II, LINE 13 |                   | 0.         | 0.                |

| FORM 990-PF                                                          | OTHER ASSETS               | STATEMENT              | 14                |
|----------------------------------------------------------------------|----------------------------|------------------------|-------------------|
| DESCRIPTION                                                          | BEGINNING OF YR BOOK VALUE | END OF YEAR BOOK VALUE | FAIR MARKET VALUE |
| ADAMAS OPPORTUNITIES LP (1YR & 3YR)                                  | 2,859,466.                 | 3,393,969.             | 3,331,684.        |
| ADAMAS PARTNERS LP                                                   | 3,786,268.                 | 4,241,722.             | 4,196,616.        |
| GREENLIGHT MASTERS - OFFSHORE LTD - SERIES P AND SERIES A            | 2,000,000.                 | 2,000,000.             | 4,596,352.        |
| NB CROSSROADS PRV EQUITY ASSET ALLOCATION FD INSTL SER XVII LP       |                            |                        |                   |
| THE PARTNERSH                                                        | 2,706,207.                 | 2,434,750.             | 2,481,378.        |
| METROPOLITAN REAL ESTATE PARTNERS II, L.P. - RESTRICTED              | 1,237,397.                 | 1,079,255.             | 1,057,541.        |
| RCP FUND II LP                                                       | 778,689.                   | 642,273.               | 825,371.          |
| SILVER CREEK EARLY ADVANTAGE LTD, - RESTRICTED                       | 1,258,963.                 | 1,258,963.             | 106,144.          |
| SHELBY OAKS MACOMB LP                                                | <191,312.>                 | <342,685.>             | 2,400,000.        |
| GOLDMAN SACHS VINTAGE FUND III OFFSHORE, LP                          | 425,711.                   | <185,855.>             | 816,482.          |
| GOLDMAN SACHS MEZZANINE PARTNERS 2006 OFFSHORE, LP                   | 1,807,467.                 | 1,113,603.             | 1,301,672.        |
| HIGHVISTA II LIMITED PARTNERSHIP                                     | 19,074,910.                | 20,927,947.            | 19,930,908.       |
| PERRY REAL ESTATE FUND I, LP                                         | 771,578.                   | 360,332.               | 344,937.          |
| LEHMAN BROTHERS HLDGS INC COMMODITY INDEX EQUAL WEIGHT EXCESS RETURN | 1,750,000.                 | 1,750,000.             | 358,750.          |
| NB CROSSROADS FUND XVIII ASSET ALLOCATION LP                         | 1,222,033.                 | 1,205,636.             | 1,210,992.        |
| ONE WILLIAM STREET CAPITAL                                           | 2,500,000.                 | 2,500,000.             | 4,372,086.        |
| BAUPOST VALUE PARTNERS LP IV                                         | 25,717,378.                | 24,069,529.            | 26,098,040.       |
| GOLDMAN SACHS WEST STREET PARTNERS II, SPC CL A SER 1                | 331,176.                   | 262,987.               | 406,087.          |
| GOLDMAN SACHS DISTRESSED OPPORTUNITIES FUND, LP                      | 1,481,033.                 | 1,148,891.             | 1,550,078.        |
| SOWOOD ALPHA FUND LTD                                                | 1,070,898.                 | 1,070,898.             | 19,135.           |
| ETON PARK OVERSEAS FUND, LTD                                         | 1,732,901.                 | 1,693,195.             | 3,024,457.        |
| GS CAPITAL PARTNERS V, LP                                            | 766,769.                   | 570,747.               | 488,494.          |

|                                  |             |             |             |
|----------------------------------|-------------|-------------|-------------|
| GSCP V INSTITUTIONAL AIV, LP     | 85,930.     | 140,861.    | 140,861.    |
| GS US HOUSING RECOVERY FUND      | 3,818,166.  | 2,406,029.  | 3,812,942.  |
| FIMI OPPORTUNITY V               | 134,077.    | 414,106.    | 383,059.    |
| TO FORM 990-PF, PART II, LINE 15 | 77,125,705. | 74,157,153. | 83,254,066. |

FORM 990-PF      PART VIII - LIST OF OFFICERS, DIRECTORS      STATEMENT 15  
TRUSTEES AND FOUNDATION MANAGERS

| NAME AND ADDRESS                                                                      | TITLE AND<br>AVRG HRS/WK | COMPEN-<br>SATION | EMPLOYEE<br>BEN PLAN CONTRIB | EXPENSE<br>ACCOUNT |
|---------------------------------------------------------------------------------------|--------------------------|-------------------|------------------------------|--------------------|
| ROBERT N. SHAPIRO<br>ROPES & GRAY LLP 800 BOYLSTON<br>STREET<br>BOSTON, MA 02199-3600 | TRUSTEE<br>1.00          | 235,812.          | 0.                           | 0.                 |
| COMPENSATION IS PAID DIRECTLY TO                                                      | 0.00                     | 0.                | 0.                           | 0.                 |
| ROPES & GRAY, LLP OF WHICH ROBERT<br>N                                                | 0.00                     | 0.                | 0.                           | 0.                 |
| SHAPIRO IS ONE OF OVER 300<br>PARTNERS                                                | 0.00                     | 0.                | 0.                           | 0.                 |
| SYDNEY W. SWARTZ<br>ROPES & GRAY LLP 800 BOYLSTON<br>STREET<br>BOSTON, MA 02199-3600  | TRUSTEE<br>1.00          | 0.                | 0.                           | 0.                 |
| TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII                                          |                          | 235,812.          | 0.                           | 0.                 |

FORM 990-PF

SUMMARY OF DIRECT CHARITABLE ACTIVITIES

STATEMENT 16

## ACTIVITY ONE

THE SWARTZ FOUNDATION IS A PRIVATE FOUNDATION WHICH RECEIVES INVESTMENT INCOME AND DISTRIBUTES THAT INCOME TO THE VARIOUS CHARITIES SELECTED BY THE FOUNDATION'S DIRECTORS. EXPENSES ALLOCATED TO DIRECT CHARITABLE ACTIVITIES

## EXPENSES

TO FORM 990-PF, PART IX-A, LINE 1

116,773.

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

**Note.** Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868

- If you are filing for an **Automatic 3-Month Extension**, complete only Part I (on page 1)

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

|                                                                                    |                                                                                          | Enter filer's identifying number, see instructions |  |
|------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------|----------------------------------------------------|--|
| Type or print<br><br>File by the due date for filing your return. See instructions | Name of exempt organization or other filer, see instructions                             | Employer identification number (EIN) or            |  |
|                                                                                    | <b>SWARTZ FOUNDATION</b>                                                                 | <b>04-3255974</b>                                  |  |
|                                                                                    | Number, street, and room or suite no. If a P.O. box, see instructions                    | Social security number (SSN)                       |  |
|                                                                                    | <b>C/O ROPES &amp; GRAY LLP, 800 BOYLSTON ST</b>                                         |                                                    |  |
|                                                                                    | City, town or post office, state, and ZIP code. For a foreign address, see instructions. |                                                    |  |
|                                                                                    | <b>BOSTON, MA 02199-3600</b>                                                             |                                                    |  |

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

**04**

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

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

**ROPES & GRAY LLP**

- The books are in the care of **800 BOYLSTON STREET - BOSTON, MA 02199-3600**

Telephone No **617-951-7000**

Fax No **617-951-7050**

- If the organization does not have an office or place of business in the United States, check this box ☐

- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) \_\_\_\_\_ If this is for the whole group, check this box ☐ If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for

4 I request an additional 3-month extension of time until **NOVEMBER 15, 2014**.

5 For calendar year **2013**, or other tax year beginning \_\_\_\_\_, and ending \_\_\_\_\_

6 If the tax year entered in line 5 is for less than 12 months, check reason: ☐ Initial return ☐ Final return

☐ Change in accounting period

7 State in detail why you need the extension

**MORE TIME IS NEEDED IN ORDER TO FILE A MORE COMPLETE AND ACCURATE RETURN**

|                                                                                                                                                                                                                                     |    |    |                 |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|----|-----------------|
| 8a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions                                                                                 | 8a | \$ | <b>309,714.</b> |
| b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868 | 8b | \$ | <b>309,714.</b> |
| c <b>Balance due.</b> Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions                                                     | 8c | \$ | <b>0.</b>       |

**Signature and Verification must be completed for Part II only.**

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

Signature **▶**

Title **▶ TRUSTEE**

Date **▶**

Form **8868** (Rev 1-2014)