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Return of Private Foundation

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

OMB No 1545-0052

2013

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

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.

For calendar year 2013 or tax year beginning

, and ending

Name of foundation

A Employer identification number

WILLIAM CASPAR GRAUSTEIN MEMORIAL FUND

04-6037391

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

Room/suite

ONE HAMDEN CENTER, 2319 WHITNEY AVENUE

2B

B Telephone number

(203) 230-3330

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

HAMDEN, CT 06518

C If exemption application is pending, check here ☐

G Check all that apply:

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

H 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 ☐

I Fair market value of all assets at end of year

J Accounting method:

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

(from Part II, col. (c), line 16)

☐ Other (specify)

\$ 113,687,201. (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

400,130.

2 Check ☐ if the foundation is not required to attach Sch. B

3 Interest on savings and temporary cash investments

308,190.

308,190.

STATEMENT 1

4 Dividends and interest from securities

2,409,532.

2,409,532.

STATEMENT 2

5a Gross rents

b Net rental income or (loss) -21,401.

STATEMENT 3

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

7,355,816.

b Gross sales price for all assets on line 6a 7,048,961.

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

7,355,816.

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

198,928.

198,928.

0. STATEMENT 4

12 Total. Add lines 1 through 11

10,672,596.

10,272,466.

0.

13 Compensation of officers, directors, trustees, etc

276,020.

8,649.

0. 267,371.

14 Other employee salaries and wages

726,984.

14,540.

0. 712,444.

15 Pension plans, employee benefits

386,742.

7,735.

0. 379,007.

16a Legal fees

STMT 5

7,079.

142.

0. 6,938.

b Accounting fees

STMT 6

120,300.

53,150.

0. 67,150.

c Other professional fees

STMT 7

2,059,215.

1,076,045.

0. 983,170.

17 Interest

12,421.

12,421.

0. 0.

18 Taxes

162,853.

14,754.

0. 1,760.

19 Depreciation and depletion

22,493.

0.

0. 0.

20 Occupancy

175,768.

3,515.

0. 172,253.

21 Travel, conferences, and meetings

60,119.

1,000.

0. 59,120.

22 Printing and publications

12,811.

0.

0. 12,811.

23 Other expenses

STMT 9

316,074.

21,401.

0. 294,673.

24 Total operating and administrative expenses. Add lines 13 through 23

4,338,879.

1,213,352.

0. 2,956,697.

25 Contributions, gifts, grants paid

3,393,127.

3,393,127.

26 Total expenses and disbursements. Add lines 24 and 25

7,732,006.

1,213,352.

0. 6,349,824.

27 Subtract line 26 from line 12:

2,940,590.

9,059,114.

0.

a Excess of revenue over expenses and disbursements

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

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

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value		
Assets	1 Cash - non-interest-bearing			500.	500.	500.
	2 Savings and temporary cash investments			3,871,026.	6,428,922.	6,428,922.
	3 Accounts receivable ▶					
	Less: allowance for doubtful accounts ▶					
	4 Pledges receivable ▶					
	Less: allowance for doubtful accounts ▶					
	5 Grants receivable					
	6 Receivables due from officers, directors, trustees, and other disqualified persons					
	7 Other notes and loans receivable ▶					
	Less: allowance for doubtful accounts ▶					
	8 Inventories for sale or use					
	9 Prepaid expenses and deferred charges					
	10a Investments - U.S. and state government obligations STMT 10			1,055,680.	1,118,156.	1,118,156.
	b Investments - corporate stock STMT 11			52,100,749.	70,579,716.	70,579,716.
	c Investments - corporate bonds STMT 12			1,097,320.	1,192,048.	1,192,048.
	Liabilities	11 Investments - land, buildings, and equipment basis ▶				
Less accumulated depreciation ▶						
12 Investments - mortgage loans						
13 Investments - other STMT 13				23,273,467.	34,252,575.	34,252,575.
14 Land, buildings, and equipment basis ▶ 481,456.						
Less accumulated depreciation STMT 14 ▶ 454,171.				38,353.	27,285.	27,285.
15 Other assets (describe ▶ STATEMENT 15)				12,999.	87,999.	87,999.
16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item 1)				81,450,094.	113,687,201.	113,687,201.
17 Accounts payable and accrued expenses						
18 Grants payable						
Net Assets or Fund Balances	19 Deferred revenue					
	20 Loans from officers, directors, trustees, and other disqualified persons					
	21 Mortgages and other notes payable					
	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 ▶ ☒ and complete lines 24 through 26 and lines 30 and 31.					
	24 Unrestricted			81,450,094.	113,687,201.	
	25 Temporarily restricted					
	26 Permanently restricted					
	Foundations that do not follow SFAS 117, check here ▶ ☐ and complete lines 27 through 31.					
	27 Capital stock, trust principal, or current funds					
	28 Paid-in or capital surplus, or land, bldg., and equipment fund					
	29 Retained earnings, accumulated income, endowment, or other funds					
30 Total net assets or fund balances			81,450,094.	113,687,201.		
31 Total liabilities and net assets/fund balances			81,450,094.	113,687,201.		

Part III Analysis of Changes in Net Assets or Fund Balances

1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	81,450,094.
2 Enter amount from Part I, line 27a	2	2,940,590.
3 Other increases not included in line 2 (itemize) ▶ CHANGE IN UNREALIZED APPRECIATION	3	29,296,517.
4 Add lines 1, 2, and 3	4	113,687,201.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	113,687,201.

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Part IV Capital Gains and Losses for Tax on Investment Income

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			
b			
c			
d			
e 7,048,961.		5,462,787.	7,355,816.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			
b			
c			
d			
e			7,355,816.

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 7,355,816.

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

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2012	5,317,184.	101,858,719.	.052202
2011	6,900,859.	103,131,484.	.066913
2010	5,867,013.	97,888,429.	.059936
2009	7,192,443.	88,989,280.	.080824
2008	8,223,409.	109,268,345.	.075259

2 Total of line 1, column (d) 2 .335134

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 .067027

4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5 4 107,797,896.

5 Multiply line 4 by line 3 5 7,225,370.

6 Enter 1% of net investment income (1% of Part I, line 27b) 6 90,591.

7 Add lines 5 and 6 7 7,315,961.

8 Enter qualifying distributions from Part XII, line 4 8 6,433,662.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)		1	181,182.
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b			
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).		2	0.
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		3	181,182.
3 Add lines 1 and 2		4	0.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		5	181,182.
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 150,000.		
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c 50,000.		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	200,000.	
8 Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	18,818.	
11 Enter the amount of line 10 to be: Credited to 2014 estimated tax ☐ 18,818. Refunded ☐ 0.	11	0.	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? 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: (1) On the foundation. ☐ \$ 0. (2) On foundation managers. ☐ \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ☐ \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities.		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? 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: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ☐ CT, NY, CA		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	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? Website address ► <u>WWW.WCGMF.ORG</u>	13	X	
14	The books are in care of ► <u>THE ORGANIZATION</u> Telephone no. ► <u>(203) 230-3330</u> Located at ► <u>ONE HAMDEN CENTER, 2319 WHITNEY AVENUE, HAMDEN, C</u> ZIP+4 ► <u>06518</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year ► 15 <u>N/A</u>			
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? 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? ☐ Yes ☒ No		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☒ Yes ☐ No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No		
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No		
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No		
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here ► ☐	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? ☐ Yes ☒ No If "Yes," list the years ►		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.) <u>N/A</u>	2b	
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ►		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No		
b If "Yes," did it have excess business holdings in 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.) <u>N/A</u>	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?

X

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

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

7b

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 16		276,020.	53,522.	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
NANCY B LEONARD - ONE HAMDEN CENTER, 2B, 2319 WHITNEY AVE, HAMDEN,	PUBLIC AFFAIRS OFFICER 45.00	113,300.	39,874.	0.
CARMEN SIBERON - ONE HAMDEN CENTER, 2B, 2319 WHITNEY AVE, HAMDEN,	COMMUNITY PROGRAM OFFICER 45.00	114,700.	35,631.	0.
ANGELA FRUSCIANTE - ONE HAMDEN CENTER, 2B, 2319 WHITNEY AVE, HAMDEN,	PROGRAM OFFICER 45.00	80,400.	23,941.	0.
PRISCILLA FAUSTINI - ONE HAMDEN CENTER, 2B, 2319 WHITNEY AVE, HAMDEN,	EXECUTIVE ASSISTANT 45.00	69,100.	27,948.	0.
GAIL TORRESQUINTERO - ONE HAMDEN CENTER, 2B, 2319 WHITNEY AVE, HAMDEN,	CONVENING COORDINATOR 30.00	75,075.	9,416.	0.
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
T. M. BYXBEE COMPANY, P.C. 2319 WHITNEY AVENUE, HAMDEN, CT 06518	ACCOUNTING	88,400.
CAMBRIDGE ASSOCIATES 100 SUMMER STREET, BOSTON, MA 02110	INVESTMENT ADVISORS	87,823.
PHILLIPS OPPENHEIM, INC. - 521 FIFTH AVENUE, 29TH FLOOR, NEW YORK, NY 10175	EXECUTIVE SEARCH SERVICE	83,630.
ESSENTIAL OUTCOMES, LLC 11 ROLLING MEADOW DRIVE, TOLLAND, CT 06084	COMMUNITY LIAISONS SUPPORTING LOCAL EAR	74,185.
JEFFREY DANIELS CONSULTING 102 ARUNDEL AVENUE, WEST HARTFORD, CT 06107	GRANT CONSULTING	66,768.
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 SEE STATEMENT 17	634,718.
2 SEE STATEMENT 18	254,597.
3 SEE STATEMENT 19	72,336.
4 SEE STATEMENT 20	36,451.

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 LISC LOAN	75,000.
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3	75,000.

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	107,991,749.
b	Average of monthly cash balances	1b	1,447,739.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	109,439,488.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	109,439,488.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	1,641,592.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	107,797,896.
6	Minimum investment return. Enter 5% of line 5	6	5,389,895.

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

1	Minimum investment return from Part X, line 6	1	5,389,895.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	181,182.
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	181,182.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	5,208,713.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	5,208,713.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	5,208,713.

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

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	6,349,824.
b	Program-related investments - total from Part IX-B	1b	75,000.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	8,838.
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	6,433,662.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	6,433,662.

Note. The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7				5,208,713.
2 Undistributed income, if any, as of the end of 2013			0.	
a Enter amount for 2012 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2013:				
a From 2008	2,641,555.			
b From 2009	2,783,505.			
c From 2010	1,037,345.			
d From 2011	1,824,039.			
e From 2012	326,117.			
f Total of lines 3a through e	8,612,561.			
4 Qualifying distributions for 2013 from Part XII, line 4: ► \$	6,433,662.			
a Applied to 2012, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2013 distributable amount	1,224,949.			5,208,713.
e Remaining amount distributed out of corpus	0.			0.
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:	9,837,510.			
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7	2,641,555.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	7,195,955.			
10 Analysis of line 9:				
a Excess from 2009	2,783,505.			
b Excess from 2010	1,037,345.			
c Excess from 2011	1,824,039.			
d Excess from 2012	326,117.			
e Excess from 2013	1,224,949.			

N/A

- b. Check box to indicate whether the foundation is a private operating foundation described in section**

☐ 4942(1)(3) or ☐ 4942(1)(5)

- [illegible]

1 Information Regarding Foundation Managers:

- NONE

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

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
SEE ATTACHED SCHEDULE	N/A			3,393,127.
Total			▶ 3a	3,393,127.
b Approved for future payment				
SEE ATTACHED SCHEDULE	N/A			2,384,572.
Total			▶ 3b	2,384,572.

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

- ▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and
its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2013

Name of the organization

Employer identification number

WILLIAM CASPAR GRAUSTEIN MEMORIAL FUND

04-6037391

Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

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

Form 990-PF

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

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

Special Rules

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

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

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2013)

Name of organization

Employer identification number

WILLIAM CASPAR GRAUSTEIN MEMORIAL FUND**04-6037391****Part I Contributors** (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	ANNIE E CASEY FOUNDATION 701 ST. PAUL STREET BALTIMORE, MD 21202	\$ 125,000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
2	WILLIAM & JEAN GRAUSTEIN ONE HAMDEN CENTER, SUITE 2B, 2319 WHITNEY AVENUE HAMDEN, CT 06518	\$ 275,000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
3		\$	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)

Name of organization

Employer identification number

WILLIAM CASPAR GRAUSTEIN MEMORIAL FUND**04-6037391****Part II Noncash Property** (see instructions). Use duplicate copies of Part II if additional space is needed.

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

Name of organization

Employer identification number

WILLIAM CASPAR GRAUSTEIN MEMORIAL FUND**04-6037391****Part III**

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

Use duplicate copies of Part III if additional space is needed

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

William Caspar Graustein Memorial Fund

#04-6037391

Form 990-PF Part XV, Line 3a & 3b

Grants and contributions paid during the year or approved for future payment

Foundation Status of Recipients

The William Caspar Graustein Memorial Fund only extends grants to organizations that have been granted 501(c)(3) tax exempt status by the Internal Revenue Service or are otherwise exempts. All grantees must furnish a copy of their exemption to the Fund before they will receive any moneys

Purpose of Grants or Contributions

The William Caspar Graustein Memorial Fund works collaboratively to improve the effectiveness of education for Connecticut's children. The Memorial Fund distributes grants to support educational change in schools, to inform public debate through policy research and advocacy and to strengthen the involvement of parents and the community in education. The Memorial Fund provides grants, technical assistance, and a forum for information-sharing across the state.

Recipient and/or Purpose	Tax Status	Amount Paid	Ending Balance
		2013	2013
Connecticut 4 H Development Fund INC 158 Auer Farm Road Bloomfield, CT 06002 <i>West Hartford Pre-Kindergarten</i> <i>Classroom Trips</i> \$2,500.00 2013	PC -Public charity	2,500	-
All Our Kin PO Box 8477 414A Chapel St. Suite 100 New Haven, CT 06530 <i>Expanding High Quality Infant - Toddler</i> <i>Care in Connecticut Sharing: The All Our</i> <i>Kin Model</i> \$75,000.00 2012	PC -Public charity	75,000	-
All Our Kin PO Box 8477 414A Chapel St. Suite 100 New Haven, CT 06530 <i>Statewide Core</i> \$75,000.00 2013	PC -Public charity	-	75,000
The Amistad Committee, Inc. PO Box 2936 Westville Station New Haven, CT 06515 <i>25th Anniversary</i> \$500.00 2013	PC -Public charity	500	-

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
Area Cooperative Educational Services 350 State Street North Haven, CT 06473 <i>East Haven Discovery</i> \$10,000.00 2012	PC -Public charity	5,000	-
Area Cooperative Educational Services 350 State Street North Haven, CT 06473 <i>East Haven Discovery</i> \$2,231.00 2013	PC -Public charity	1,115	1,115
Arte, Inc. 19 Grand Avenue New Haven, CT 06513 <i>Hispanic Heritage 2013</i> \$1,000.00 2013	PC -Public charity	1,000	-
ASCEND MENTORING INC 340 Bloomfield Avenue Windsor, CT 06095 <i>Windsor Discovery</i> \$6,985.00 2013	PC -Public charity	3,493	3,492
Association for Reseach on Nonprofit Organizations & Voluntary Actions 550 W. North Street Suite 301 Indianapolis, IN 46202 <i>ARNOVA's 42nd Annual Conference</i> \$5,000.00 2013	PC -Public charity	5,000	-
Association of Small Foundations 1720 N Street, NW Washington, DC 20036 <i>2013 Membership</i> \$750.00 2013	PC -Public charity	750	-
Association of Small Foundations 1720 N Street, NW Washington, DC 20036 <i>General Support</i> \$750.00 2013	PC -Public charity	750	-
Association of Small Foundations 1720 N Street, NW Washington, DC 20036 <i>2014 Membership</i> \$750.00 2013	PC -Public charity	750	-
Beulah Land Development 782 Orchard Street New Haven, CT 06511	PC -Public charity	500	-

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
<i>Back To School Fair</i> \$500.00 2013			
The Bridge Family Center, Inc. 1022 Farmington Avenue West Hartford, CT 06107 <i>West Hartford Discovery</i> \$13,158.00 2012	PC -Public charity	6,579	-
The Bridge Family Center, Inc. 1022 Farmington Avenue West Hartford, CT 06107 <i>West Hartford Discovery</i> \$31,211.00 2013	PC -Public charity	5,000	4,211
Bridgeport Child Advocacy Coalition Burroughs Community Center 2470 Fairfield Avenue Bridgeport, CT 06605 <i>General Support</i> \$2,000.00 2013	PC -Public charity	2,000	-
Bridgeport Child Advocacy Coalition Burroughs Community Center 2470 Fairfield Avenue Bridgeport, CT 06605 <i>Bridgeport Child Advocacy Coalition</i> <i>Annual Breakfast</i> \$3,000.00 2013	PC -Public charity	3,000	-
Brown University Box 1977 Providence, RI 02912 <i>Politics of implementing the American</i> <i>Recovery and Reinvestment Act of 2009</i> \$25,000.00 2009	PC -Public charity	10,000	-
Center for Assessment and Policy Development 1622 Riverside Drive Trenton, NJ 08618 <i>Decision Timeline Project</i> \$18,840.00 2011	PC -Public charity	10,000	-
Center for Assessment and Policy Development 1622 Riverside Drive Trenton, NJ 08618 <i>Legislative Climate Index</i> \$14,410.00 2011	PC -Public charity	9,410	-
Center for Assessment and Policy Development	PC -Public charity	10,000	8,000

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
1622 Riverside Drive Trenton, NJ 08618 <i>Continuation of Discovery Timeline Reflection and Documentation Process</i> \$18,000.00 2012 Center for Assessment and Policy Development	PC -Public charity	7,000	8,000
1622 Riverside Drive Trenton, NJ 08618 <i>Replication of Legislative Climate Tool</i> \$15,000.00 2012 Center for Assessment and Policy Development	PC -Public charity	-	15,000
1622 Riverside Drive Trenton, NJ 08618 <i>Continuation of Discovery Timeline Reflection and Documentation Process</i> \$15,000.00 2013 CERC Foundation	PC -Public charity	500	-
805 Brook Street Building 4 Rocky Hill, CT 06067 <i>Celebrate Connecticut</i> \$500.00 2013 Child Guidance Center of Southern Connecticut, Inc.	PC -Public charity	2,500	-
196 Greyrock Place Stamford, CT 06901 <i>Professional assessment, treatment and prevention programs.</i> \$2,500.00 2013 Child Health and Development Institute of Connecticut, Inc.	PC -Public charity	100,000	-
270 Farmington Avenue Suite 367 Farmington, CT 06032 <i>Health Funding Partnership Grant</i> \$100,000.00 2013 Children's Defense Fund	PC -Public charity	1,000	-
25 E St., NW Washington, DC 20001 <i>40th Anniversary Changing the Odds for Children Campaign</i> \$1,000.00 2013 Children's Museum of Southeastern Connecticut	PC -Public charity	1,000	-
409 Main Street			

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
Niantic, CT 06357 <i>Underwrite for reduced admissions</i> \$1,000.00 2013			
CHINESE AND AMERICAN CULTURAL AND ASSISTANCE CORPORATION P.O. Box 471 Uncasville, CT 06382 <i>Blended</i> \$500.00 2013	PC -Public charity	500	-
Christian Community Action 168 Davenport Avenue New Haven, CT 06519 <i>Implementation of the Strategic Plan</i> \$5,000.00 2013	PC -Public charity	5,000	-
Community Foundation for Greater New Haven 70 Audubon Street New Haven, CT 06510 <i>Progreso Latino</i> \$1,500.00 2013	PC -Public charity	1,500	-
Community Foundation of Greater New Britain 74A Vine Street New Britain, CT 06052 <i>New Britain Discovery</i> \$41,393.00 2012	PC -Public charity	25,000	-
Community Foundation of Greater New Britain 74A Vine Street New Britain, CT 06052 <i>Southington Discovery</i> \$13,158.00 2012	PC -Public charity	6,579	-
Community Foundation of Greater New Britain 74A Vine Street New Britain, CT 06052 <i>New Britain Discovery</i> \$41,211.00 2013	PC -Public charity	8,000	8,211
Community Foundation of Greater New Britain 74A Vine Street New Britain, CT 06052 <i>Southington Discovery</i> \$9,211.00 2013	PC -Public charity	5,000	4,211

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
Community Foundation of Greater New Britain 74A Vine Street New Britain, CT 06052 <i>New Britain/Parents Promoting Daily Reading and the Public Library</i> \$1,000.00 2013	PC -Public charity	1,000	-
Community Mediation, Inc. 3013 Dixwell Ave. Hamden, CT 06518 <i>Community Conversations About Education</i> \$70,000.00 2012	PC -Public charity	35,000	-
Community Mediation, Inc. 3013 Dixwell Ave. Hamden, CT 06518 <i>Community Conversations About Education</i> \$113,000.00 2013	PC -Public charity	56,500	56,500
Community Mediation, Inc. 3013 Dixwell Ave. Hamden, CT 06518 <i>2013 Pillsbury Peacemaker Award Reception</i> \$1,000.00 2013	PC -Public charity	1,000	-
Connecticut Appleseed Center for Law and Justice, Inc. 25 Dudley Road Wilton, CT 06897 <i>Connecting through Literacy: Incarcerated Parents, their Children and Caregivers (CLICC)</i> \$2,500.00 2013	PC -Public charity	2,500	-
Connecticut Appleseed Center for Law and Justice, Inc. 25 Dudley Road Wilton, CT 06897 <i>Resource Equity Assessment Documents (READ)</i> \$3,000.00 2013	PC -Public charity	3,000	-
Connecticut Association for Human Services 110 Bartholomew Avenue Suite 4030 Hartford, CT 06106 <i>Early Childhood Communication and</i>	PC -Public charity	50,000	-

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
<i>Outreach Project</i>			
\$100,000.00			
2012			
Connecticut Association for Human Services	PC -Public charity	100,000	-
110 Bartholomew Avenue			
Suite 4030			
Hartford, CT 06106			
<i>Influencing and Implementing Effective Early Care and Education Policies</i>			
\$100,000.00			
2012			
Connecticut Association for Human Services	PC -Public charity	100,000	-
110 Bartholomew Avenue			
Suite 4030			
Hartford, CT 06106			
<i>Connecticut Early Childhood Alliance Core Operating Grant</i>			
\$100,000.00			
2012			
Connecticut Association for Human Services	PC -Public charity	103,760	-
110 Bartholomew Avenue			
Suite 4030			
Hartford, CT 06106			
<i>Connecticut Parent Power- Core Operations Grant</i>			
\$103,760.00			
2012			
Connecticut Association for Human Services	PC -Public charity	5,000	-
110 Bartholomew Avenue			
Suite 4030			
Hartford, CT 06106			
<i>Early Childhood Scorecard</i>			
\$5,000.00			
2013			
Connecticut Association for Human Services	PC -Public charity	2,000	-
110 Bartholomew Avenue			
Suite 4030			
Hartford, CT 06106			
<i>CAHS-Technical Assistance.</i>			
\$2,000.00			
2013			
Connecticut Association for Human Services	PC -Public charity	2,000	-
<i>Parent Leadership Training Breakthroughs Television Spot</i>			
\$2,000.00			
2013			

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
Connecticut Association for Human Services 110 Bartholomew Avenue Suite 4030 Hartford, CT 06106 <i>Connecticut Parent Power/ Corrine G. Levin Fund Mini Grant Management</i> \$5,000.00 2013	PC -Public charity	5,000	-
Connecticut Association for Human Services 110 Bartholomew Avenue Suite 4030 Hartford, CT 06106 <i>Refining and Updating The Early Childhood Scorecard</i> \$5,000.00 2013	PC -Public charity	5,000	-
Connecticut Association for Human Services 110 Bartholomew Avenue Suite 4030 Hartford, CT 06106 <i>Core Support & Communication Outreach and Engagement</i> \$200,000.00 2013	PC -Public charity	-	200,000
Connecticut Association for Human Services 110 Bartholomew Avenue Suite 4030 Hartford, CT 06106 <i>Improving Financial Management Systems for CAHS</i> \$50,000.00 2013	PC -Public charity	50,000	-
Connecticut Association for Human Services 110 Bartholomew Avenue Suite 4030 Hartford, CT 06106 <i>Influencing and Implementing Effective Early Care and Education Policies</i> \$100,000.00 2013	PC -Public charity	-	100,000
Connecticut Association for Human Services 110 Bartholomew Avenue Suite 4030 Hartford, CT 06106 <i>Parent Organizing Project (POP) Parent Voices 2B Heard</i>	PC -Public charity	-	100,000

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
\$100,000.00 2013			
Connecticut Association of Nonprofits 75 Charter Oak Avenue, Suite 1-100 Hartford, CT 06106 <i>2013 Membership</i> \$805.00	PC -Public charity	805	-
2013			
Connecticut Center for School Change 151 New Park Avenue Suite15 Hartford, CT 06106 \$700,000.00	PC -Public charity	350,000	-
2012			
Connecticut Center for School Change 151 New Park Avenue Suite15 Hartford, CT 06106 <i>Early Literacy Partnership Grant</i> \$115,000.00	PC -Public charity	50,000	-
2012			
Connecticut Center for School Change 151 New Park Avenue Suite15 Hartford, CT 06106 <i>Early Literacy Partnership Grant</i> \$125,000.00	PC -Public charity	62,500	62,500
2013			
Connecticut Center for School Change 151 New Park Avenue Suite15 Hartford, CT 06106 <i>General Support</i> \$700,000.00	PC -Public charity	350,000	350,000
2013			
Connecticut Consortium of Education Foundations P.O. Box 1032 Weston, CT 06883 <i>14th Annual Conference</i> \$2,500.00	PC -Public charity	2,500	-
2013			
Connecticut Council for Philanthropy 221 Main Street Hartford, CT 06106 <i>2013 Membership</i> \$5,400.00	PC -Public charity	5,400	-
2013			
Connecticut Council for Philanthropy 221 Main Street Hartford, CT 06106 <i>Connecticut Early Childhood Funders Collaborative</i>	PC -Public charity	30,000	270,000

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
\$300,000.00 2013			
Connecticut Council for Philanthropy 221 Main Street Hartford, CT 06106 <i>2014 Membership</i> \$6,500.00 2013	PC -Public charity	5,400	-
The Connecticut News Project 53 Oak Street, Suite 15 Hartford, CT 06106 <i>General Support</i> \$5,000.00 2013	PC -Public charity	5,000	-
Connecticut Pre-engineering Program, Inc. P.O. Box 2665 Middletown, CT 06457-3769 <i>General Support</i> \$1,000.00 2013	PC -Public charity	1,000	-
Connecticut Voices for Children 33 Whitney Ave. New Haven, CT 06510 <i>Early Care and Education Year XIII 2013</i> \$100,000.00 2012	PC -Public charity	100,000	-
Connecticut Voices for Children 33 Whitney Ave. New Haven, CT 06510 <i>Early Care and Education Year XIV 2014</i> \$100,000.00 2013	PC -Public charity	-	100,000
Cornell Scott Hill Health Corporation 400 Columbus Avenue New Haven, CT 06519 <i>The 5th Annual Dixwell Children's Art Festival</i> \$750.00 2013	PC -Public charity	750	-
Council on Foundations 2121 Crystal Drive Suite 700 Arlington, VA 22202 <i>2013 Membership</i> \$11,440.00 2013	PC -Public charity	11,440	-
Coventry Early Childhood Center 1171 Main Street P.O. Box 251 Coventry, CT 06238 <i>Coventry Discovery</i> \$32,398.00 2012	PC -Public charity	25,819	-

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
Coventry Early Childhood Center 1171 Main Street P.O. Box 251 Coventry, CT 06238 <i>Coventry Discovery</i> \$23,331.00 2013	PC -Public charity	11,500	11,831
Coventry Early Childhood Center 1171 Main Street P.O. Box 251 Coventry, CT 06238 <i>Mansfield Discovery</i> \$16,211.00 2013	PC -Public charity	8,000	8,211
CT Association for Education of Young Children 7 Corporate Drive, Unit 118 North Haven, CT 06473 <i>Transition Core Operating Support</i> \$20,000.00 2013	PC -Public charity	-	20,000
Danbury Children First, Inc. 83 West Street Danbury, CT 06810 <i>General Support</i> \$5,000.00 2013	PC -Public charity	5,000	-
East Hartford ChildPlan, Inc. East Hartford Community Cultural Center 50 Chapman Place East Hartford, CT 06108 <i>East Hartford Discovery</i> \$16,393.00 2012	PC -Public charity	15,000	-
East Hartford ChildPlan, Inc. East Hartford Community Cultural Center 50 Chapman Place East Hartford, CT 06108 <i>East Hartford Discovery</i> \$16,211.00 2013	PC -Public charity	8,000	8,211
EASTCONN 376 Hartford Turnpike Hampton, CT 06247 <i>Chaplin Discovery</i> \$13,158.00 2012	PC -Public charity	6,579	-
EASTCONN 376 Hartford Turnpike Hampton, CT 06247 <i>Killingly, Plainfield and Putnam Discovery</i> \$38,158.00 2012	PC -Public charity	31,579	-

Recipient and/or Purpose	Tax Status	Amount Paid	Ending Balance
		2013	2013
EASTCONN 376 Hartford Turnpike Hampton, CT 06247 <i>Chaplin Discovery</i> \$26,529.00 2013	PC -Public charity	5,000	4,211
EASTCONN 376 Hartford Turnpike Hampton, CT 06247 <i>Killingly, Plainfield, Putnam and Sterling Discovery</i> \$26,211.00 2013	PC -Public charity	13,000	13,211
EASTCONN 376 Hartford Turnpike Hampton, CT 06247 <i>Killingly, Plainfield, Putnam and Sterling/Northeast Early Childhood Council/ Parent Engagement Project</i> \$1,000.00 2013	PC -Public charity	1,000	-
Education Connection 355 Goshen Road P.O. Box 909 Litchfield, CT 06759 <i>Thomaston Discovery</i> \$8,817.00 2012	PC -Public charity	4,409	-
Education Connection 355 Goshen Road P.O. Box 909 Litchfield, CT 06759 <i>Torrington Discovery</i> \$41,393.00 2012	PC -Public charity	25,000	-
Education Connection 355 Goshen Road P.O. Box 909 Litchfield, CT 06759 <i>Thomaston Discovery</i> \$10,000.00 2013	PC -Public charity	5,000	5,000
Education Connection 355 Goshen Road P.O. Box 909 Litchfield, CT 06759 <i>Torrington Discovery</i> \$41,211.00 2013	PC -Public charity	20,000	21,211
Education Connection 355 Goshen Road P.O. Box 909 Litchfield, CT 06759	PC -Public charity	1,000	-

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
<i>Torrington/Discovery New Voices & Parent Leaders</i>			
\$1,000.00			
2013			
Eli Whitney Museum	PC -Public	500	-
915 Whitney Avenue	charity		
Hamden, CT 06517			
<i>Dinner for Museum Educators</i>			
\$500.00			
2013			
End Hunger Connecticut!		1,000	-
65 Hungerford St.			
Hartford, CT 06106-4626			
<i>WIC Program</i>			
\$1,000.00			
2013			
Fairfield County Community Foundation	PC -Public	3,000	-
383 Main Ave.	charity		
Norwalk, CT 06851-1543			
<i>The P T Barnum Partnership</i>			
\$3,000 00			
2013			
Fight Crime: Invest In Kids	PC -Public	2,500	-
1212 New York Avenue NW	charity		
Suite 300			
Washington, DC 20005			
<i>General Support</i>			
\$2,500.00			
2013			
First Church Early Learning Center	PC -Public	2,579	-
107 Palisado Avenue	charity		
Windsor, CT 06095			
<i>Windsor Discovery</i>			
\$4,158.00			
2012			
First Church Early Learning Center	PC -Public	625	-
107 Palisado Avenue	charity		
Windsor, CT 06095			
<i>Windsor/A Cup and A Conversation</i>			
\$625.00			
2013			
First Congregational Church	PC -Public	6,579	-
10 Wintonbury Avenue	charity		
Bloomfield, CT 06002			
<i>Bloomfield Discovery</i>			
\$13,158.00			
2012			
First Congregational Church	PC -Public	5,000	-
10 Wintonbury Avenue	charity		
Bloomfield, CT 06002			
<i>Conference</i>			
\$5,000.00			
2013			

Recipient and/or Purpose	Tax Status	Amount Paid	Ending Balance
		2013	2013
First Congregational Church 10 Wintonbury Avenue Bloomfield, CT 06002 <i>Bloomfield Discovery</i> \$9,211.00 2013	PC -Public charity	5,000	4,211
The Foundation Center 79 Fifth Avenue/16th Street New York, NY 10003 <i>General Support</i> \$1,500.00 2013	PC -Public charity	1,500	-
FSG 500 Boylston Street #600 Boston, MA 02116 <i>The Collective Impact Forum, Funder Community of Practice</i> \$25,000.00 2013	PC -Public charity	-	25,000
Goodwin College, Inc. 745 Burnside Avenue East Hartford, CT 06108-2705 <i>Minority School Principals in 2012-2013</i> \$5,000.00 2013	PC -Public charity	5,000	-
Grantmakers for Children, Youth and Families 8757 Georgia Avenue, Suite 540 Silver Spring, MD 20910 <i>2013 Membership</i> \$5,000.00 2013	PC -Public charity	5,000	-
Grantmakers for Education 720 SW Washington Street Suite 605 Portland, OR 97205 <i>2013 Membership</i> \$1,000.00 2013	PC -Public charity	1,000	-
Grantmakers for Effective Organizations 1725 DeSales St. NW Suite 404 Washington, DC 20036 <i>2013 Membership</i> \$3,050.00 2013	PC -Public charity	3,050	-
Grants Managers Network 1666 K Street Washington, DC 20006 <i>2013 Membership</i> \$500 00 2013	PC -Public charity	500	-

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
Grassroots Grantmakers PO Box G Hallettsville, TX 77964 <i>2013 Membership</i> \$1,000.00 2013	PC -Public charity	1,000	-
Hartford Public Library Excluding Operating Fund 500 Main Street Hartford, CT 06103 <i>2013 Summer Reading Program</i> \$750.00 2013	PC -Public charity	750	-
Hispanics in Philanthropy 414 13thStreet, Suite 200 Oakland, CA 94612 <i>2013 Membership</i> \$1,000.00 2013	PC -Public charity	1,000	-
Hockanum Valley Child Care Center, Inc. 695 Hartford Turnpike Vernon, CT 06066 <i>Vernon Discovery</i> \$26,006.00 2012	PC -Public charity	12,964	-
Hockanum Valley Child Care Center, Inc. 695 Hartford Turnpike Vernon, CT 06066 <i>Vernon Discovery</i> \$25,374.00 2013	PC -Public charity	13,000	12,374
Independent Sector 1602 L Street NW Suite 900 Washington, DC 20036 <i>2013 Membership</i> \$5,000.00 2013	PC -Public charity	5,000	-
Independent Sector 1602 L Street NW Suite 900 Washington, DC 20036 <i>2013 Independent Sector National Conference</i> \$2,500.00 2013	PC -Public charity	2,500	-
Institute for Educational Leadership 4301 Connecticut Avenue, NW Suite 310 Washington, DC 20008 <i>Leadership Across Boundaries Convening</i> \$4,000.00 2013	PC -Public charity	4,000	-

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
Interfaith Center on Corporate Responsibility 475 Riverside Drive, Suite 1842 New York, NY 10115 <i>2013 Membership</i> \$5,000.00 2013	PC -Public charity	5,000	-
John G. Prendergast School 59 Finney Street Ansonia, CT 06401 <i>Prendergast School Playground</i> \$1,000.00 2013	PC -Public charity	1,000	-
LEADERSHIP GREATER HARTFORD INC 30 Laurel Street Hartford, CT 06106 <i>Common Ground Program</i> \$1,000.00 2013	PC -Public charity	1,000	-
LEARN 44 Hatchetts Hill Road Old Lyme, CT 06371 <i>Groton Discovery</i> \$13,158.00 2012	PC -Public charity	6,579	-
LEARN 44 Hatchetts Hill Road Old Lyme, CT 06371 <i>New London Discovery</i> \$13,158.00 2012	PC -Public charity	6,579	-
LEARN 44 Hatchetts Hill Road Old Lyme, CT 06371 <i>Groton Discovery</i> \$13,211.00 2013	PC -Public charity	5,000	4,211
LEARN 44 Hatchetts Hill Road Old Lyme, CT 06371 <i>New London Discovery</i> \$9,211.00 2013	PC -Public charity	5,000	4,211
Literacy Volunteers of Greater Hartford 30 Arbor Street Hartford, CT 06106-1209 <i>Connecticut Association for Adult and Continuing Education Annual Conference</i> \$1,000.00 2013	PC -Public charity	1,000	-
Local Initiatives Support Corporation 501 Seventh Avenue, 8th Floor	PC -Public charity	-	25,000

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
New York, NY 10018 \$25,000.00 2013			
Local Initiatives Support Corporation Hartford 75 Charter Oak Avenue Suite 2-250 Hartford, CT 06106 <i>Children's Investment Partnership</i> \$50,000.00 2012	PC -Public charity	50,000	-
Manchester Early Learning Center, Inc. 80 Waddell Road Manchester, CT 06040 <i>Manchester Discovery</i> \$10,350.00 2012	PC -Public charity	5,137	-
Manchester Early Learning Center, Inc. 80 Waddell Road Manchester, CT 06040 <i>Manchester Discovery</i> \$26,211.00 2013	PC -Public charity	13,000	13,211
Meriden Children First Initiative 105 Miller Street Meriden, CT 06450 <i>Meriden Discovery</i> \$16,393.00 2012	PC -Public charity	8,158	-
Meriden Children First Initiative 105 Miller Street Meriden, CT 06450 <i>Efforts to Outcome Data Management System</i> \$5,000.00 2013	PC -Public charity	5,000	-
Meriden Children First Initiative 105 Miller Street Meriden, CT 06450 <i>Meriden Discovery</i> \$16,211.00 2013	PC -Public charity	8,000	8,211
Middlesex United Way 100 Riverview Center, Suite 230 Middletown, CT 06457 <i>Middletown Discovery</i> \$41,393.00 2012	PC -Public charity	20,697	-
Middlesex United Way 100 Riverview Center, Suite 230 Middletown, CT 06457 <i>Middletown Discovery</i> \$41,211.00	PC -Public charity	20,000	21,211

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
2013 National Center for Family Philanthropy 1101 Connecticut Ave. NW Suite 220 Washington, DC 20036 <i>2013 Membership</i> \$2,500.00	PC -Public charity	2,500	-
2013 National Center for Family Philanthropy 1101 Connecticut Ave. NW Suite 220 Washington, DC 20036 <i>The National Forum on Family Philanthropy</i> \$5,000.00	PC -Public charity	5,000	-
2013 National Committee for Responsive Philanthropy 1331 H Street NW Suite 200 Washington, DC 20005 <i>General Support</i> \$1,000.00	PC -Public charity	1,000	-
2013 University of Connecticut - School of Education University of Connecticut 249 Glenbrook Road Unit 2064C Storrs, CT 06269 <i>Examining Levers of Change in Discovery Communities</i> \$55,000.00	PC -Public charity	-	55,000
2013 New Connecticut Foundation, Inc. 805 Brook Street Building 4 Rocky Hill, CT 06067 <i>Connecticut Early Childhood Portal</i> \$25,000.00	PC -Public charity	12,500	-
2011 New Connecticut Foundation, Inc. 805 Brook Street Building 4 Rocky Hill, CT 06067 <i>Connecticut Early Childhood Portal</i> \$25,000.00	PC -Public charity	25,000	-
2012 New Connecticut Foundation, Inc. 805 Brook Street Building 4 Rocky Hill, CT 06067 <i>Connecticut Early Childhood Portal</i>	PC -Public charity	-	25,000

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
\$25,000.00			
2013			
Friends of New Haven Academy, Inc.	PC -Public	1,000	-
104 Canner Street	charity		
New Haven, CT 06511			
<i>General Support</i>			
\$1,000.00			
2013			
New Haven Family Alliance, Inc.	PC -Public	5,000	-
370 James Street	charity		
2nd Floor			
New Haven, CT 06513			
<i>Male Involvement Network (MIN) Program</i>			
\$5,000.00			
2013			
New Life Corporation	PC -Public	1,000	-
540 Ella T. Grasso Blvd.	charity		
New Haven, CT 06519			
<i>General Support</i>			
\$1,000.00			
2013			
Partnership for Strong Communities, Inc.	PC -Public	2,000	-
227 Lawrence Street	charity		
Hartford, CT 06106			
<i>Leadership Development roundtable</i>			
<i>Program</i>			
\$2,000.00			
2013			
Philanthropy New York	PC -Public	1,000	-
79 Fifth Avenue	charity		
Fourth Floor			
New York, NY 10003-3076			
<i>2013 Membership</i>			
\$1,000.00			
2013			
The Philanthropy Roundtable	PC -Public	500	-
1730 M Street, NW	charity		
Suite 601			
Washington, DC 20036			
<i>2013 Membership</i>			
\$500.00			
2013			
Poverty and Race Research Action Council	PC -Public	10,000	-
1200 18th Street NW	charity		
Suite 200			
Washington, DC 20036			
<i>Support for Convening</i>			
\$10,000.00			
2013			
The Quinnipiac Chamber of Commerce	PC -Public	6,579	-
Trust	charity		
100 South Turnpike Road			
Wallingford, CT 06492			

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
<i>Wallingford Discovery</i> \$13,158.00 2012			
Reach Out and Read, Inc 56 Roland Street Suite 100D Boston, MA 02129	PC -Public charity	1,000	-
<i>Read to Succeed</i> \$1,000.00 2013			
Rensselaer Hartford 110 8th Street Troy, NY 12180	PC -Public charity	250,000	-
<i>Parent Trust Fund's Parent Leadership Training Grants</i> \$250,000.00 2012			
Rensselaer Hartford 110 8th Street Troy, NY 12180	PC -Public charity	-	250,000
<i>Parent Trust Fund's Parent Leadership Training Grants</i> \$250,000.00 2013			
Southern Connecticut State University Foundation, Inc. 501 Crescent Street New Haven, CT 06515	PC -Public charity	25,000	-
<i>Targeted Assessment of Foundation Contribution</i> \$30,000.00 2011			
Southern Connecticut State University Foundation, Inc. 501 Crescent Street New Haven, CT 06515	PC -Public charity	23,000	10,000
<i>Targeted Assessment of Foundation Contribution</i> \$33,000.00 2012			
Southern Connecticut State University Foundation, Inc. 501 Crescent Street New Haven, CT 06515	PC -Public charity	-	40,000
<i>Targeted Assessment of Foundation Contribution</i> \$40,000.00 2013			
Spanish Community of Wallingford, Inc. 284 Washington Street Wallingford, CT 06492	PC -Public charity	5,000	4,211
<i>Wallingford Discovery</i> \$9,211.00			

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
2013 Stafford Library Association 10 Levinthal Run Stafford Springs, CT 06076 <i>Stafford Discovery</i> \$13,158.00	PC -Public charity	6,579	-
2012 Stafford Library Association 10 Levinthal Run Stafford Springs, CT 06076 <i>Stafford Discovery</i> \$9,211.00	PC -Public charity	5,000	4,211
2013 STEPS, Inc. P.O. Box 1907 Groton, CT 06340 <i>Summer Leadership Program</i> \$500.00	PC -Public charity	500	-
2013 Stratford Library Association 2203 Main Street Stratford, CT 06615 <i>Stratford Discovery</i> \$10,000.00	PC -Public charity	5,000	5,000
2013 TEAM Inc. 30 Elizabeth Street Derby, CT 06418 <i>Derby Discovery</i> \$38,158.00	PC -Public charity	31,579	-
2012 TEAM Inc. 30 Elizabeth Street Derby, CT 06418 <i>Derby Discovery</i> \$26,211.00	PC -Public charity	13,000	13,211
2013 Thames Valley Council for Community Action, Inc. 1 Sylvandale Road Jewett City, CT 06351 <i>Griswold Discovery</i> \$13,158.00	PC -Public charity	6,579	-
2012 Thames Valley Council for Community Action, Inc. 1 Sylvandale Road Jewett City, CT 06351 <i>Lisbon Discovery</i> \$7,443.00	PC -Public charity	3,721	-
2012 Thames Valley Council for Community Action, Inc.	PC -Public charity	5,000	4,211

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
1 Sylvandale Road Jewett City, CT 06351 <i>Griswold Discovery</i> \$34,211.00 2013			
Thames Valley Council for Community Action, Inc. 1 Sylvandale Road Jewett City, CT 06351 <i>Lisbon Discovery</i> \$8,155.00 2013	PC -Public charity	4,078	4,077
THEATRE FOR TRANSFORMATION 209 Pearl Street Lancaster, PA 17603-5030 <i>Theatre for Transformation</i> \$1,000.00 2013	PC -Public charity	1,000	-
Third Sector New England, Inc. 89 South Street Suite 700 Boston, MA 02111 <i>Storytelling and Measurement Information Audit</i> \$10,000.00 2011	PC -Public charity	6,000	-
Third Sector New England, Inc. 89 South Street Suite 700 Boston, MA 02111 <i>Trust for Learning</i> \$2,500.00 2013	PC -Public charity	2,500	-
Third Sector New England, Inc. 89 South Street Suite 700 Boston, MA 02111 <i>Early Childhood Funders Collaborative</i> \$2,500.00 2013	PC -Public charity	2,500	-
Third Sector New England, Inc. 89 South Street Suite 700 Boston, MA 02111 <i>Federal Philanthropic Fund of the Early Childhood Funder's Collaborative</i> \$5,000.00 2013	PC -Public charity	5,000	-
The Thompson Ecumenical Empowerment Group, Inc. 65 Main Street P.O. Box 664 North Grosvenordale, CT 06255	PC -Public charity	5,000	-

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
<i>Thompson Discovery</i> \$10,000.00 2012			
The Thompson Ecumenical Empowerment Group, Inc. 65 Main Street P.O. Box 664 North Grosvenordale, CT 06255	PC -Public charity	5,000	5,000
<i>Thompson Discovery</i> \$10,000.00 2013			
United Community and Family Services, Inc. 34 East Town Street Norwich, CT 06360	PC -Public charity	25,000	-
<i>Colchester Discovery</i> \$41,393.00 2012			
United Community and Family Services, Inc. 34 East Town Street Norwich, CT 06360	PC -Public charity	6,579	-
<i>Norwich Discovery</i> \$13,158.00 2012			
United Community and Family Services, Inc. 34 East Town Street Norwich, CT 06360	PC -Public charity	20,000	21,211
<i>Colchester Discovery</i> \$41,211.00 2013			
United Community and Family Services, Inc. 34 East Town Street Norwich, CT 06360	PC -Public charity	5,000	4,211
<i>Norwich Discovery</i> \$9,211.00 2013			
United Way of Central and Northeastern Connecticut 30 Laurel Street Hartford, CT 06106	PC -Public charity	31,579	-
<i>Enfield Discovery</i> \$38,158.00 2012			
United Way of Central and Northeastern Connecticut 30 Laurel Street Hartford, CT 06106	PC -Public charity	8,158	-
<i>Mansfield Discovery</i> \$16,393.00 2012			

Recipient and/or Purpose	Tax Status	Amount Paid	Ending Balance
		2013	2013
United Way of Central and Northeastern Connecticut 30 Laurel Street Hartford, CT 06106 <i>Enfield Discovery</i> \$26,211.00 2013	PC -Public charity	13,000	13,211
United Way of Central and Northeastern Connecticut 30 Laurel Street Hartford, CT 06106 <i>Enfield/Super Hero</i> \$1,000.00 2013	PC -Public charity	1,000	-
United Way of Coastal Fairfield 855 Main Street 10th Floor Bridgeport, CT 06604 <i>Bridgeport Discovery</i> \$41,393.00 2012	PC -Public charity	25,000	-
United Way of Coastal Fairfield 855 Main Street 10th Floor Bridgeport, CT 06604 <i>Norwalk Discovery</i> \$16,393.00 2012	PC -Public charity	8,158	-
United Way of Coastal Fairfield 855 Main Street 10th Floor Bridgeport, CT 06604 <i>Bridgeport Discovery</i> \$41,211.00 2013	PC -Public charity	8,000	8,211
United Way of Coastal Fairfield 855 Main Street 10th Floor Bridgeport, CT 06604 <i>Norwalk Discovery</i> \$16,211.00 2013	PC -Public charity	8,000	8,211
United Way of Greater New Haven 370 James Street, 4th Floor New Haven, CT 06513 <i>New Haven Discovery</i> \$41,393.00 2012	PC -Public charity	25,000	-
United Way of Greater New Haven 370 James Street, 4th Floor New Haven, CT 06513 <i>Branford Discovery</i> \$26,393.00	PC -Public charity	13,158	-

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
2012 United Way of Greater New Haven 370 James Street, 4th Floor New Haven, CT 06513 <i>Hamden Discovery</i> \$38,158.00	PC -Public charity	31,579	-
2012 United Way of Greater New Haven 370 James Street, 4th Floor New Haven, CT 06513 <i>New Haven Discovery</i> \$41,211.00	PC -Public charity	20,000	21,211
2013 United Way of Greater New Haven 370 James Street, 4th Floor New Haven, CT 06513 <i>Branford Discovery</i> \$26,211.00	PC -Public charity	13,000	13,211
2013 United Way of Greater New Haven 370 James Street, 4th Floor New Haven, CT 06513 <i>Hamden Discovery</i> \$26,211.00	PC -Public charity	13,000	13,211
2013 United Way of Greater Waterbury 100 North Elm Street Waterbury, CT 06702 <i>Waterbury Discovery</i> \$16,393.00	PC -Public charity	8,158	-
2012 United Way of Greater Waterbury 100 North Elm Street Waterbury, CT 06702 <i>United Way Annual Meeting</i> \$2,500.00	PC -Public charity	2,500	-
2013 United Way of Greater Waterbury 100 North Elm Street Waterbury, CT 06702 <i>Waterbury Discovery</i> \$16,211.00	PC -Public charity	8,000	8,211
2013 United Way of Greater Waterbury 100 North Elm Street Waterbury, CT 06702 <i>Waterbury Bridge to Success Collective Impact Event</i> \$2,500.00	PC -Public charity	2,500	-
2013 United Way of Greenwich 1 Lafayette Court Greenwich, CT 06830	PC -Public charity	4,615	-

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
<i>Greenwich Discovery</i> \$9,230.00 2012			
United Way of Greenwich 1 Lafayette Court Greenwich, CT 06830	PC -Public charity	4,980	4,980
<i>Greenwich Discovery</i> \$9,960.00 2013			
United Way of Milford 20 Evergreen Ave. Milford, CT 06460	PC -Public charity	3,750	-
<i>Milford Discovery</i> \$7,500.00 2012			
United Way of Milford 20 Evergreen Ave. Milford, CT 06460	PC -Public charity	5,000	5,000
<i>Milford Discovery</i> \$10,000.00 2013			
United Way of Naugatuck and Beacon Falls, Inc. 284 Church Street PO Box 209 Naugatuck, CT 06770	PC -Public charity	31,579	-
<i>Naugatuck Discovery</i> \$38,158.00 2012			
United Way of Naugatuck and Beacon Falls, Inc. 284 Church Street PO Box 209 Naugatuck, CT 06770	PC -Public charity	13,000	13,211
<i>Naugatuck Discovery</i> \$26,211.00 2013			
United Way of West Central Connecticut, Inc. 200 Main Street Bristol, CT 06010	PC -Public charity	15,000	-
<i>Bristol Discovery</i> \$16,393.00 2012			
United Way of West Central Connecticut, Inc. 200 Main Street Bristol, CT 06010	PC -Public charity	31,579	-
<i>Plymouth Discovery</i> \$38,158.00 2012			
United Way of West Central Connecticut, Inc.	PC -Public charity	8,000	8,211

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
200 Main Street Bristol, CT 06010 <i>Bristol Discovery</i> \$16,211.00 2013			
United Way of West Central Connecticut, Inc.	PC -Public charity	13,000	13,211
200 Main Street Bristol, CT 06010 <i>Plymouth Discovery</i> \$26,211.00 2013			
United Way of Western Connecticut	PC -Public charity	10,000	-
1150 Summer Street, 2nd Floor Stamford, CT 06905 <i>Stamford Discovery</i> \$13,158.00 2012			
United Way of Western Connecticut	PC -Public charity	16,393	-
85 West Street Danbury, CT 06810 <i>Danbury Discovery</i> \$16,393.00 2012			
United Way of Western Connecticut	PC -Public charity	5,000	4,211
1150 Summer Street, 2nd Floor Stamford, CT 06905 <i>Stamford Discovery</i> \$9,211.00 2013			
United Way of Western Connecticut	PC -Public charity	8,000	8,211
85 West Street Danbury, CT 06810 <i>Danbury Discovery</i> \$16,211.00 2013			
University of Connecticut Foundation Inc.	PC -Public charity	5,000	-
School of Social Work 2390 Alumni Drive Unit 3206 Storrs, CT 06269-3206 <i>University of Connecticut People Empowering People Program (UCONN PEP Program)</i> \$5,000.00 2013			
UNIVERSITY OF HARTFORD	PC -Public charity	16,000	-
200 Bloomfield Ave. West Hartford, CT 06117 <i>Parent Information Action Research Project</i> \$61,000.00 2010			

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
UNIVERSITY OF HARTFORD 200 Bloomfield Ave. West Hartford, CT 06117 <i>Parent Leadership Inquiry-Documents and Sustainability</i> \$41,320.00 2012	PC -Public charity	30,000	-
UNIVERSITY OF HARTFORD 200 Bloomfield Ave. West Hartford, CT 06117 <i>Parent Leadership and Information Parent Inquiry & Learning Community</i> \$16,000.00 2013	PC -Public charity	9,000	7,000
UNIVERSITY OF HARTFORD 200 Bloomfield Ave. West Hartford, CT 06117 <i>Parent Information and Inquiry Network</i> \$10,000.00 2013	PC -Public charity	-	10,000
Valley United Way 54 Grove Street Shelton, CT 06484 <i>Shelton Discovery</i> \$10,000.00 2012	PC -Public charity	5,000	-
Valley United Way 54 Grove Street Shelton, CT 06484 <i>Ansonia Discovery</i> \$38,158.00 2012	PC -Public charity	31,579	-
Valley United Way 54 Grove Street Shelton, CT 06484 <i>Ansonia Discovery</i> \$26,211.00 2013	PC -Public charity	13,000	13,211
Valley United Way 54 Grove Street Shelton, CT 06484 <i>Shelton Discovery</i> \$10,000.00 2013	PC -Public charity	5,000	5,000
Varick Memorial A.M.E Zion Church 242/246 Dixwell Avenue New Haven, CT 06511 <i>Black Tie Gala "We Can't Stop and We Won't Stop"</i> \$1,000.00 2013	PC -Public charity	1,000	-
Wesleyan University Department of Psychology	PC -Public charity	2,500	-

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
Middletown, CT 06459-0408 <i>Kindergarten Kickstart</i> \$2,500 00 2013			
West Haven Community House Assoc. Inc. 227 Elm Street West Haven, CT 06516 <i>West Haven Discovery</i> \$10,000.00 2012	PC -Public charity	5,000	-
Western Connecticut State University 181 White Street Danbury, CT 06810 <i>Parents of Young Children: Their Perception of Teacher Quality and Access to Quality Care</i> \$25,000.00 2012	PC -Public charity	15,000	-
Western Connecticut State University 181 White Street Danbury, CT 06810 <i>Development of Parenting Curriculum for Pre-School Teachers</i> \$10,000.00 2013	PC -Public charity	-	10,000
Windham Regional Community Council, Inc. 872 Main Street Willimantic, CT 06226 <i>Windham Discovery</i> \$10,000.00 2012	PC -Public charity	5,000	-
Windham Regional Community Council, Inc. 872 Main Street Willimantic, CT 06226 <i>Windham Discovery</i> \$10,000.00 2013	PC -Public charity	5,000	5,000
Winsted Area Child Care Center, Inc. P.O. Box 585 185 Prospect St. Winsted, CT 06098 <i>Winchester Discovery</i> \$13,158.00 2012	PC -Public charity	6,579	-
Winsted Area Child Care Center, Inc. P.O. Box 585 185 Prospect St Winsted, CT 06098 <i>Winchester Discovery</i> \$34,211.00 2013	PC -Public charity	5,000	4,211

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
WSHU National Public Radio Sacred Heart University 5151 Park Avenue Fairfield, CT 06432 <i>WSHU and The Newman's Own Foundation 2- 1 Match</i> \$3,000.00 2013	PC -Public charity	3,000	-
Yale University Department of Psychology PO Box 208376 New Haven, CT 06520-8376 <i>Investigating processes through which families, schools and communities can collaborate to promote children's social-emotional development</i> \$10,000.00 2012	PC -Public charity	10,000	-
YMCA of Greater Hartford 12 N. Main Street West Hartford, CT 06107 <i>Wethersfield Discovery</i> \$25,131.00 2012	PC -Public charity	12,527	-
YMCA of Greater Hartford 12 N. Main Street West Hartford, CT 06107 <i>Wethersfield Discovery</i> \$26,211.00 2013	PC -Public charity	13,000	13,211
The Bridge Family Center, Inc. 1022 Farmington Avenue West Hartford, CT 06107 <i>West Hartford Discovery</i> \$31,211.00 2013	PC -Public charity		22,000
Community Foundation of Greater New Britain 74A Vine Street New Britain, CT 06052 <i>New Britain Discovery</i> \$41,211.00 2013	PC -Public charity		25,000
EASTCONN 376 Hartford Turnpike Hampton, CT 06247 <i>Chaplin Discovery</i> \$26,529.00 2013	PC -Public charity		17,318
LEARN 44 Hatchetts Hill Road Old Lyme, CT 06371 <i>Groton Discovery</i>	PC -Public charity		4,000

Recipient and/or Purpose	Tax Status	Amount Paid 2013	Ending Balance 2013
\$13,211.00 2013 Thames Valley Council for Community Action, Inc. 1 Sylvandale Road Jewett City, CT 06351 <i>Griswold Discovery</i>	PC -Public charity		25,000
\$34,211.00 2013 United Way of Coastal Fairfield 855 Main Street 10th Floor Bridgeport, CT 06604 <i>Bridgeport Discovery</i>	PC -Public charity		25,000
\$41,211.00 2013 Winsted Area Child Care Center, Inc. P.O. Box 585 185 Prospect St. Winsted, CT 06098 <i>Winchester Discovery</i>	PC -Public charity		25,000
\$34,211.00 2013 Stanford Business School	PC -Public charity		10,000
Sandy Hook Promise Foundation P.O. Box 3489 Newtown, CT 06470 General Support	PC -Public charity	1,000	
		3,393,128	2,384,572

WILLIAM CASPAR GRAUSTEIN MEMORIAL FUND

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	TIFF MULTI-ASSET FUND		VARIOUS	VARIOUS
b	VANGUARD		VARIOUS	VARIOUS
c	TIFF PARTNERS II		VARIOUS	VARIOUS
d	TIFF PARTNERS III		VARIOUS	VARIOUS
e	TIFF PARTNERS IV		VARIOUS	VARIOUS
f	TIFF PARTNERS V-US		VARIOUS	VARIOUS
g	TIFF REALTY & RESOURCE PARTNERS I		VARIOUS	VARIOUS
h	TIFF REALTY & RESOURCE PARTNERS II		VARIOUS	VARIOUS
i	TIFF REALTY & RESOURCE PARTNERS III		VARIOUS	VARIOUS
j	TIFF REAL ESTATE I		VARIOUS	VARIOUS
k	TIFF REAL ESTATE II		VARIOUS	VARIOUS
l	TIFF PRIVATE EQUITY PARTNERS 2005		VARIOUS	VARIOUS
m	TIFF PRIVATE EQUITY PARTNERS 2006		VARIOUS	VARIOUS
n	TIFF PRIVATE EQUITY PARTNERS 2007		VARIOUS	VARIOUS
o	TIFF PRIVATE EQUITY PARTNERS 2008		VARIOUS	VARIOUS

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			3,582,876.
b			70.
c			-3,684.
d			29,785.
e			129,911.
f			71,921.
g			41,423.
h			317.
i			41,856.
j			95,760.
k			88,859.
l			126,774.
m			158,222.
n			146,041.
o			32,398.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			3,582,876.
b			70.
c			-3,684.
d			29,785.
e			129,911.
f			71,921.
g			41,423.
h			317.
i			41,856.
j			95,760.
k			88,859.
l			126,774.
m			158,222.
n			146,041.
o			32,398.

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

WILLIAM CASPAR GRAUSTEIN MEMORIAL FUND

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	TIFF PRIVATE EQUITY PARTNERS 2009		VARIOUS	VARIOUS
b	TIFF PRIVATE EQUITY PARTNERS 2010		VARIOUS	VARIOUS
c	TIFF PRIVATE EQUITY PARTNERS 2011		VARIOUS	VARIOUS
d	TIFF PRIVATE EQUITY PARTNERS 2012		VARIOUS	VARIOUS
e	TIFF PRIVATE EQUITY PARTNERS 2013		VARIOUS	VARIOUS
f	TIFF REALTY & RESOURCES 2008		VARIOUS	VARIOUS
g	TIFF REALTY & RESOURCES 2009		VARIOUS	VARIOUS
h	TIFF SECONDARY PARTNERS II		VARIOUS	VARIOUS
i	TIFF SPECIAL OPPORTUNITY FUND		VARIOUS	VARIOUS
j	TIFF REALTY OPPORTUNITY FUND		VARIOUS	VARIOUS
k	TUCKERBROOK SB GLOBAL		VARIOUS	VARIOUS
l	POMONA CAPITAL VI LP		VARIOUS	VARIOUS
m	MONDRIAN LP		VARIOUS	VARIOUS
n	COMMONFUND CAPITAL INTERNATIONAL PARTNERS V		VARIOUS	VARIOUS
o	COMMONFUND CAPITAL INTERNATIONAL PARTNERS VI		VARIOUS	VARIOUS

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			71.
b			-1,414.
c			7,896.
d			-37.
e			33.
f			34,563.
g			13,167.
h			195,970.
i			2,247.
j			12,899.
k			-6,295.
l			73,764.
m			-2,252.
n			341,686.
o			82,107.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			71.
b			-1,414.
c			7,896.
d			-37.
e			33.
f			34,563.
g			13,167.
h			195,970.
i			2,247.
j			12,899.
k			-6,295.
l			73,764.
m			-2,252.
n			341,686.
o			82,107.

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

WILLIAM CASPAR GRAUSTEIN MEMORIAL FUND

04-6037391

PAGE 3 OF 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 P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	COMMONFUND CAPITAL INTERNATIONAL PARTNERS VII		VARIOUS	VARIOUS
b	COMMONFUND CAPITAL PRIVATE EQUITY PARTNERS VI		VARIOUS	VARIOUS
c	COMMONFUND CAPITAL PRIVATE EQUITY PARTNERS VII		VARIOUS	VARIOUS
d	COMMONFUND CAPITAL INTERNATIONAL PARTNERS VIII		VARIOUS	VARIOUS
e	COMMONFUND CAPITAL VENTURE PARTNERS VII		VARIOUS	VARIOUS
f	COMMONFUND CAPITAL VENTURE PARTNERS VIII		VARIOUS	VARIOUS
g	COMMONFUND CAPITAL VENTURE PARTNERS IX		VARIOUS	VARIOUS
h	COMMONFUND CAPITAL NATURAL RESOURCES PARTNERS VII		VARIOUS	VARIOUS
i	COMMONFUND CAPITAL NATURAL RESOURCES PARTNERS VII		VARIOUS	VARIOUS
j	NORTHERN TRUST - SCHEDULE ATTACHED	P	VARIOUS	VARIOUS
k	NORTHERN TRUST - SCHEDULE ATTACHED	P	VARIOUS	VARIOUS
l	256,802.14 SHS. LAUDUS MONDRIAN INSTL INTNL EQUIT	P	12/01/11	11/21/13
m				
n				
o				

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			60.
b			97,007.
c			56,045.
d			2,711.
e			111,458.
f			69,450.
g			3,563.
h			120,950.
i			11,464.
j	956,190.	930,238.	25,952.
k	3,850,888.	2,678,438.	1,172,450.
l	2,241,883.	1,854,111.	387,772.
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 as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			60.
b			97,007.
c			56,045.
d			2,711.
e			111,458.
f			69,450.
g			3,563.
h			120,950.
i			11,464.
j			25,952.
k			1,172,450.
l			387,772.
m			
n			
o			

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	7,355,816.
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

2013 Tax Information Statement

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THE NORTHERN TRUST COMPANY
P O BOX 803878
CHICAGO, IL 60680

Account Number: 17-19831
Recipient's Tax ID Number: XX-XXX7391

☐ Corrected

☐ 2nd TIN notice

Recipient's Name and Address:
THE WILLIAM CASPAR GRAUSTEIN
MEMORIAL FD
1 HAMDEN CENTER SUITE 2B
2319 WHITNEY AVE
HAMDEN, CT 06518-3509

Ref: NMK

2013 Proceeds from Broker and Barter Exchange Transactions

Sales are listed at Gross Proceeds less commissions and option premiums

Cusip	Description	Stock or Other Symbol	Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
Short Term Sales										
210805BU0	CONTL AIRLS SER 1997-4A 6 9 PASS THRU CTF5 DUE 07-02-2019	SPCL1								
1650 0100	01/02/2013 08/21/2012		1,650 01			1,802 64	0 00	-152 63	0 00	0 00
254687106	WALT DISNEY CO	DIS								
288 0000	01/02/2013 01/03/2012		14,617 80			11,054 59	0 00	3,563 21	0 00	0 00
36177JRX9	GNMA POOL #790501 4 DUE 01-15-2042	GNMA								
11907 7500	01/03/2013 02/17/2012		11,907 75			12,828 74	0 00	-920 99	0 00	0 00
36177JRX9	GNMA POOL #790501 4 DUE 01-15-2042	GNMA								
7448 4400	02/04/2013 02/17/2012		7,448 44			8,024 53	0 00	-576 09	0 00	0 00
009158106	AIR PRODUCTS & CHEMICALS INC COM	APD								
136 0000	03/05/2013 Various		11,801 47			11,320 84	0 00	480 63	0 00	0 00
021441100	ALTERA CORP	ALTR								
206 0000	03/05/2013 12/04/2012		7,193 97			6,622 03	0 00	571 94	0 00	0 00
075887109	BECTON DICKINSON & CO	BDX								
109 0000	03/05/2013 08/24/2012		9,702 71			8,254 55	0 00	1,448 16	0 00	0 00
136385101	CANADIAN NAT RES LTD COM	CNQ								
282 0000	03/05/2013 08/24/2012		8,364 52			8,905 56	0 00	-541 04	0 00	0 00
13645T100	CANADIAN PACIFIC RAILWAY LTD COM	CP								
97 0000	03/05/2013 12/20/2012		12,211 48			9,904 77	0 00	2,306 71	0 00	0 00

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2013 Tax Information Statement

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Sales are listed at Gross Proceeds less commissions and option premiums

Cusip	Description	Stock or Other Symbol	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
140781105	CARBO CERAMICS INC COM	CRR	52 0000	03/05/2013	06/29/2012	4,675 17	3,953 60	0 00	721 57	0 00	0 00
278642103	EBAY INC	EBAY	170 0000	03/05/2013	08/24/2012	9,367 83	8,044 40	0 00	1,323 43	0 00	0 00
30303M102	FACEBOOK INC CL A CL A	FB	133 0000	03/05/2013	05/18/2012	3,644 12	5,248 39	0 00	-1,604 27	0 00	0 00
31428X106	FEDEX CORP	FDX	118 0000	03/05/2013	08/24/2012	12,733 16	10,485 48	0 00	2,247.68	0 00	0 00
478160104	JOHNSON & JOHNSON	JNJ	187 0000	03/05/2013	09/26/2012	14,505 28	12,955 66	0 00	1,549 62	0 00	0 00
55261F104	M & T BK CORP	MTB	75 0000	03/05/2013	08/24/2012	7,769 28	6,414 25	0 00	1,355 03	0 00	0 00
73755L107	POTASH CORP OF SASKATCHEWAN INC	POT	170 0000	03/05/2013	12/05/2012	6,689 35	6,747 50	0 00	-58 15	0 00	0 00
882508104	TEXAS INSTRUMENTS INC	TXN	309 0000	03/05/2013	09/13/2012	10,756 63	8,910 20	0 00	1,846 43	0 00	0 00
886547108	TIFFANY & CO NEW	TIF	128 0000	03/05/2013	07/19/2012	8,957 73	7,248 82	0 00	1,708 91	0 00	0 00

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Sales are listed at Gross Proceeds less commissions and option premiums

Cusip	Description	Stock or Other Symbol	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
949746101	WELLS FARGO & CO NEW	WFC	328 0000	03/05/2013	08/24/2012	11,760 73	11,152 00	0 00	608 73	0 00	0 00
13645T100	CANADIAN PACIFIC RAILWAY LTD COM	CP	457 0000	04/02/2013	Various	57,627 23	46,524 29	0 00	11,102 94	0 00	0 00
210805CY1	CMO CONTINENTAL AIRLS PASS THRU TRS SER 2000-1	CMO1	1513 2400	05/01/2013	10/31/2012	1,513.24	1,751 58	0.00	-238 34	0 00	0 00
36296QVQ9	GNMA POOL #698223 4% 06-15-2039 BEO	GNMA	3613 6200	05/02/2013	03/20/2013	3,613 62	3,942 23	0 00	-328 61	0 00	0 00
36296QVQ9	GNMA POOL #698223 4% 06-15-2039 BEO	GNMA	3223 2400	06/04/2013	03/20/2013	3,223 24	3,516 35	0 00	-293 11	0 00	0 00
886547108	TIFFANY & CO NEW	TIF	759 0000	06/11/2013	Various	58,627.09	41 162 56	0 00	17 464.53	0 00	0 00
949746101	WELLS FARGO & CO NEW	WFC	163 0000	06/11/2013	08/24/2012	6,670 56	5,542 00	0 00	1,128 56	0 00	0 00
210805BU0	CONTL AIRLS SER 1997-4A 6 9 PASS THRU CTFS DUE	SPCL1	723 3800	07-02-2019	07/02/2013	723 38	790 29	0 00	-66 91	0 00	0.00
36296QVQ9	GNMA POOL #698223 4% 06-15-2039 BEO	GNMA	3239 2400	07/02/2013	03/20/2013	3,239 24	3,533 81	0 00	-294 57	0 00	0.00

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Sales are listed at Gross Proceeds less commissions and option premiums

Cusip	Description	Stock or Other Symbol	Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
30161N101	EXELON CORP	EXC								
1917 0000	08/02/2013 02/26/2013					58,452 72	59,162 84	0 00	-710 12	0 00 0 00
36296QVQ9	GNMA POOL #698223 4% 06-15-2039 BEO	GNMA								
3058 4800	08/02/2013 03/20/2013					3,058 48	3,336 61	0 00	-278 13	0 00 0 00
73755L107	POTASH CORP OF SASKATCHEWAN INC	POT								
4761 0000	08/02/2013 Various					137,780 45	187,556 34	0 00	-49,775 89	0 00 0 00
009158106	AIR PRODUCTS & CHEMICALS INC COM	APD								
64 0000	08/15/2013 09/26/2012					6,483 08	5,314 67	0 00	1,168 41	0 00 0 00
021441100	ALTERA CORP	ALTR								
98 0000	08/15/2013 12/04/2012					3,407 40	3,150 29	0 00	257 11	0 00 0 00
075887109	BECTON DICKINSON & CO	BDX								
52 0000	08/15/2013 08/24/2012					5,109 96	3,937 95	0 00	1,172 01	0 00 0 00
136385101	CANADIAN NAT RES LTD COM	CNQ								
133 0000	08/15/2013 08/24/2012					4,024 50	4,200 14	0 00	-175 64	0 00 0 00
140781105	CARBO CERAMICS INC COM	CRR								
31 0000	08/15/2013 04/02/2013					2,683 62	2,723 42	0 00	-39 80	0 00 0 00
278642103	EBAY INC	EBAY								
80 0000	08/15/2013 08/24/2012					4,206 32	3,785 60	0 00	420 72	0 00 0 00

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Ref NMK

Sales are listed at Gross Proceeds less commissions and option premiums.

Cusip	Description	Stock or Other Symbol	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
478160104	JOHNSON & JOHNSON	JNJ	89 0000	08/15/2013	09/26/2012	8,022.33	6,166 06	0 00	1,856 27	0 00	0.00
55261F104	M & T BK CORP	MTB	35 0000	08/15/2013	08/24/2012	4,086.52	2,993 31	0 00	1,093 21	0 00	0.00
552704108	MEG ENERGY CORP COM NPV	MEGEF	77 0000	08/15/2013	06/14/2013	2,436.23	2,469 27	0 00	-33 04	0 00	0.00
882508104	TEXAS INSTRUMENTS INC	TXN	147 0000	08/15/2013	09/13/2012	5,697 62	4,238 83	0 00	1,458 79	0 00	0.00
988498101	YUM BRANDS INC	YUM	50 0000	08/15/2013	08/05/2013	3,625 43	3,726.80	0 00	-101 37	0.00	0.00
31417G7C4	FNMA POOL #AB9890 4% 07-01-2043 BEO	FNMA	105 0000	09/04/2013	07/16/2013	105 00	109 40	0 00	-4 40	0 00	0.00
36296QVQ9	GNMA POOL #698223 4% 06-15-2039 BEO	GNMA	856 5700	09/04/2013	03/20/2013	856 57	934 46	0 00	-77 89	0 00	0.00
009158106	AIR PRODUCTS & CHEMICALS INC COM	APD	205 0000	09/25/2013	09/26/2012	22,056 61	17,023 55	0 00	5,033 06	0 00	0.00
021441100	ALTERA CORP	ALTR	311 0000	09/25/2013	12/04/2012	11,655 95	9,997 34	0 00	1,658 61	0 00	0.00

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2013 Tax Information Statement

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Page 12 of 64
Ref: NMK

Sales are listed at Gross Proceeds less commissions and option premiums

Cusip	Description	Stock or Other Symbol	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
136385101	CANADIAN NAT RES LTD COM	CNQ	230 0000	09/25/2013	12/21/2012	7,283 81	6,690 49	0 00	593 32	0 00	0 00
140781105	CARBO CERAMICS INC COM	CRR	101 0000	09/25/2013	04/02/2013	9,701 87	8,873.08	0 00	828 79	0 00	0 00
478160104	JOHNSON & JOHNSON	JNJ	287 0000	09/25/2013	09/26/2012	25,159 99	19,883 82	0 00	5,276 17	0 00	0 00
552704108	MEG ENERGY CORP COM NPV	MEGEF	244 0000	09/25/2013	06/14/2013	8,630 12	7,824 71	0 00	805 41	0 00	0 00
988498101	YUM BRANDS INC	YUM	159 0000	09/25/2013	08/05/2013	11,419 18	11,851 22	0 00	-432 04	0 00	0 00
3620AQHZ9	GNMA POOL #736548 4 5% 02-15-2040 BEO	GNMA	0200	10/01/2013	10/01/2013	0 02	0 02	0 00	0 00	0 00	0 00
31417G7C4	FNMA POOL #AB9890 4% 07-01-2043 BEO	FNMA	104 8600	10/02/2013	07/16/2013	104 86	109 25	0 00	-4.39	0 00	0 00
36296QVQ9	GNMA POOL #698223 4% 06-15-2039 BEO	GNMA	1274 6900	10/02/2013	03/20/2013	1,274 69	1,390 61	0 00	-115 92	0 00	0 00
459200GX3	INTL BUSINESS 1 95% DUE 07-22-2016		95000 0000	10/25/2013	03/19/2013	97,850 00	98,990 00	0 00	-1,140 00	0 00	0 00

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2013 Tax Information Statement

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1 HAMDEN CENTER SUITE 2B
2319 WHITNEY AVE
HAMDEN, CT 06518-3509

Page 13 of 64

Ref NMK

Sales are listed at Gross Proceeds less commissions and option premiums

Cusip	Description	Stock or Other Symbol	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
92343V8D5	VERIZON 2% DUE 11-01-2016										
100000 0000	10/25/2013 09/11/2013					101,800 00	99,704 00	0 00	2,096 00	0 00	0 00
140781105	CARBO CERAMICS INC COM	CRR									
118 0000	11/04/2013 Various					14,888 91	10,277 57	0 00	4,611 34	0 00	0 00
31417G7C4	FNMA POOL #AB9890 4% 07-01-2043 BEO	FNMA									
105 6700	11/04/2013 07/16/2013					105 67	110 09	0 00	-4 42	0 00	0 00
36296QVQ9	GNMA POOL #698223 4% 06-15-2039 BEO	GNMA									
849 3500	11/04/2013 03/20/2013					849 35	926 59	0 00	-77 24	0 00	0 00
140781105	CARBO CERAMICS INC COM	CRR									
76 0000	11/05/2013 04/03/2013					9,399 14	6,597 20	0 00	2,801 94	0 00	0 00
021441100	ALTERA CORP	ALTR									
247 0000	11/25/2013 12/04/2012					7,916 83	7,840 01	0 00	-23 18	0 00	0 00
057224107	BAKER HUGHES INC	BHI									
114 0000	11/25/2013 01/02/2013					6,492 95	4,777 85	0 00	1,715 10	0 00	0 00
136385101	CANADIAN NAT RES LTD COM	CNQ									
340 0000	11/25/2013 12/21/2012					11,094 31	9,890 29	0 00	1,204 02	0 00	0 00
149123101	CATERPILLAR INC	CAT									
127 0000	11/25/2013 11/04/2013					10,729 79	10,654 91	0 00	74 88	0 00	0 00

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2013 Tax Information Statement

THE NORTHERN TRUST COMPANY
P O BOX 803878
CHICAGO, IL 60680

Account Number
Recipient's Tax ID Number

17-19831
XX-XXX7391

☐ Corrected

☐ 2nd TIN notice

Recipient's Name and Address
THE WILLIAM CASPAR GRAUSTEIN
MEMORIAL FD
1 HAMDEN CENTER SUITE 2B
2319 WHITNEY AVE
HAMDEN, CT 06518-3509

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23636T100	ADR DANONE SPONSORED ADR	DANOY	629 0000	11/25/2013	10/29/2013	9,346 77	9,722 95	0.00	-376 18	0 00
552704108	MEG ENERGY CORP COM NPV	MEGEF	199 0000	11/25/2013	06/14/2013	6,019 63	6,381 63	0 00	-362 00	0 00
580645109	MCGRAW HILL COMPANIES INC	MHFI	139 0000	11/25/2013	10/10/2013	10,322 99	9,400 93	0 00	922 06	0 00
988498101	YUM BRANDS INC	YUM	126 0000	11/25/2013	08/05/2013	9,784 87	9,391 54	0 00	393 33	0 00
31417G7C4	FNMA POOL #A89890 4% 07-01-2043 BEO	FNMA	111 0800	12/03/2013	07/16/2013	111 08	115 73	0 00	-4 65	0 00
36296QVQ9	GNMA POOL #698223 4% 06-15-2039 BEO	GNMA	1159 2100	12/03/2013	03/20/2013	1,159 21	1,264 63	0 00	-105.42	0 00
Total Short Term Sales						956,189.86	930,237 66	0 00	25,952.20	0 00
Long Term Sales										
254687106	WALT DISNEY CO	DIS	796 0000	01/02/2013	08/31/2011	40,401 98	27,089 07	0 00	13,312 91	0 00
36176QEN0	GNMA POOL #772641 SER 2041 4% DUE 09-15-2041 REG	GNMA	3286 8200	01/03/2013	09/28/2011	3,286 82	3,501 49	0 00	-214 67	0 00

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36203KKV5	GNMA POOL #351408 SER 2024 6 5% DUE 01-15-2024 REG	GNMA	18 6000	01/03/2013	07/08/1994	18 60	16 44	0 00	2 16	0 00	0 00
36203PBU6	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG	GNMA	29 4200	01/03/2013	12/24/1997	29 42	28 49	0 00	0 93	0 00	0 00
36204DK81	GNMA POOL #366719 SER 2024 6% DUE 02-15-2024 REG	GNMA	30.7700	01/03/2013	12/22/1997	30.77	29 77	0 00	1 00	0 00	0 00
36204FVE1	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG	GNMA	9 0500	01/03/2013	07/19/1994	9 05	8 47	0 00	0 58	0 00	0 00
36204JCL8	GNMA POOL #370975 SER 2023 6 5% DUE 12-15-2023 REG	GNMA	58 9400	01/03/2013	11/12/1993	58 94	58 46	0 00	0 48	0 00	0 00
36204JDD5	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG	GNMA	139 0600	01/03/2013	10/05/1995	139.06	131 67	0 00	7 39	0 00	0 00
3620AF4W4	GNMA POOL #729037 5% 02-15-2040 BEO	GNMA	4815 4600	01/03/2013	03/19/2010	4,815 46	5,040 43	0 00	-224 97	0 00	0 00
3620AQHZ9	GNMA POOL #736548 4 5% 02-15-2040 BEO	GNMA	2390 2000	01/03/2013	03/18/2010	2,390 20	2,432 03	0 00	-41 83	0 00	0 00
3620AQJ80	GNMA POOL #736558 5% 02-15-2040 BEO	GNMA	97 8700	01/03/2013	04/15/2010	97 87	101 75	0 00	-3 88	0 00	0 00

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Cusip	Description	Stock or Other Symbol	Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
3620ASP78	GNMA POOL #738546 4% 07-15-2041 BEO	GNMA								
1379 2700	01/03/2013 10/20/2011		1,379 27			1,464 83	0 00	-85 56	0 00	0 00
36224TWK2	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG	GNMA								
30 2100	01/03/2013 12/06/1993		30 21			30 82	0 00	-0 61	0 00	0 00
36224JV8	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG	GNMA								
264 1800	01/03/2013 12/06/1993		264 18			269 55	0 00	-5.37	0 00	0 00
03064EAD8	AMERICREDIT 2 73000001907% DUE 03-09-2015	SPCL1								
4131 8300	01/08/2013 05/13/2010		4,131 83			4,131 68	0 00	0.15	0 00	0 00
03064AAD6	AMERICREDIT 9 78999996 185% DUE 04-15-2014	SPCL1								
2757 8300	01/15/2013 07/20/2009		2,757 83			2,840 56	0 00	-82 73	0 00	0 00
31359NTJ0	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG PASS THRU CTF DUE 03-18-2027 REG	CMO1								
177 0300	01/18/2013 04/17/1997		177 03			164 06	0 00	12 97	0 00	0 00
38375L6T2	GNMA 5% DUE 10-20-2036	CMO1								
759 0700	01/20/2013 01/07/2008		759 07			767 61	0 00	-8 54	0 00	0 00
17309AAH2	CMO CITIMORTGAGE ALTERNATIVE LN TR SER 2006-2006-A1 CL IIA-1 5 25 03-01-21 REG	CMO1								
494 3000	01/25/2013 01/31/2008		494 30			493 30	0 00	1 00	0 00	0 00
36176QEN0	GNMA POOL #772641 SER 2041 4% DUE 09-15-2041 REG	GNMA								
2422 4600	02/04/2013 09/28/2011		2,422 46			2,580 68	0 00	-158 22	0 00	0 00

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36203KKV5	GNMA POOL #351408 SER 2024 6 5% DUE 01-15-2024 REG	GNMA	18 7700	02/04/2013	07/08/1994	18 77	16 59	0.00	2 18	0 00	0 00
36203PBU6	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG	GNMA	28 8700	02/04/2013	12/24/1997	28 87	27 95	0 00	0 92	0 00	0 00
36204DK81	GNMA POOL #366719 SER 2024 6% DUE 02-15-2024 REG	GNMA	22.8300	02/04/2013	12/22/1997	22 83	22 09	0 00	0 74	0 00	0 00
36204FVE1	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG	GNMA	352 2900	02/04/2013	07/19/1994	352 29	329 84	0 00	22 45	0 00	0 00
36204JCL8	GNMA POOL #370975 SER 2023 6 5% DUE 12-15-2023 REG	GNMA	423 5300	02/04/2013	11/12/1993	423 53	420 09	0 00	3 44	0 00	0 00
36204JDD5	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG	GNMA	132 1600	02/04/2013	10/05/1995	132 16	125 14	0 00	7 02	0 00	0 00
3620AF4W4	GNMA POOL #729037 5% 02-15-2040 BEO	GNMA	4645.2700	02/04/2013	03/19/2010	4,645 27	4,862 29	0 00	-217 02	0 00	0 00
3620AQHZ9	GNMA POOL #736548 4 5% 02-15-2040 BEO	GNMA	1472 5200	02/04/2013	03/18/2010	1,472 52	1,498 29	0 00	-25 77	0 00	0 00
3620AQJB0	GNMA POOL #736558 5% 02-15-2040 BEO	GNMA	1036 5400	02/04/2013	04/15/2010	1,036 54	1,077 68	0 00	-41 14	0 00	0 00

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3620ASP78	GNMA POOL #738546 4% 07-15-2041 BEO	GNMA	1522 6200	02/04/2013	10/20/2011	1,617 07	0 00	-94 45	0 00	0 00
36224TWK2	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG	GNMA	28 1100	02/04/2013	12/06/1993	28 68	0 00	-0 57	0.00	0 00
36224VJV8	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG	GNMA	120 7900	02/04/2013	12/06/1993	123 24	0.00	-2.45	0 00	0 00
03064EAD8	AMERICREDIT 2 73000001907% DUE 03-09-2015	SPCL1	4350 9700	02/08/2013	05/13/2010	4,350 82	0 00	0 15	0 00	0 00
50075NAQ7	KRAFT FOODS INC 6% DUE 02-11-2013		35000 0000	02/11/2013	04/15/2010	38,678 15	0 00	-3,678 15	0.00	0 00
03064AAD6	AMERICREDIT 9 78999996185% DUE 04-15-2014	SPCL1	3022 7200	02/15/2013	07/20/2009	3,113 40	0 00	-90 68	0 00	0 00
31359NTJ0	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG PASS THRU CTF DUE 03-18-2027 REG	CMO1	449 4000	02/18/2013	04/17/1997	416 47	0 00	32 93	0 00	0 00
38375L6T2	GNMA 5% DUE 10-20-2036	CMO1	797 3700	02/20/2013	01/07/2008	806 34	0 00	-8 97	0 00	0 00
17309AAH2	CMO CITIMORTGAGE ALTERNATIVE LN TR SER 2006-2006-A1 CL IIA-1 5 25 03-01-21 REG	CMO1	876 9300	02/25/2013	01/31/2008	875 15	0 00	1 78	0 00	0 00

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Custp	Description		Stock or Other Symbol		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	Cost or Other Basis				
291011104	EMERSON ELECTRIC CO		EMR					
630 0000	02/26/2013	Various	35,178 79	23,349 86	0 00	11,828 93	0 00	0 00
36176QEN0	GNMA POOL #772641 SER 2041 4% DUE 09-15-2041 REG		GNMA					
1438 3100	03/04/2013	09/28/2011	1,438 31	1,532 25	0 00	-93 94	0 00	0 00
36177JRX9	GNMA POOL #790501 4 DUE 01-15-2042		GNMA					
2314 8300	03/04/2013	02/17/2012	2,314 83	2,493 87	0 00	-179 04	0 00	0 00
36203KKV5	GNMA POOL #351408 SER 2024 6 5% DUE 01-15-2024 REG		GNMA					
79 6200	03/04/2013	07/08/1994	79 62	70 39	0 00	9 23	0 00	0 00
36203PBU6	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG		GNMA					
28 5900	03/04/2013	12/24/1997	28 59	27 68	0 00	0 91	0 00	0 00
36204DK81	GNMA POOL #366718 SER 2024 6% DUE 02-15-2024 REG		GNMA					
23 6900	03/04/2013	12/22/1997	23 69	22 92	0 00	0 77	0 00	0 00
36204FVE1	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG		GNMA					
7 3800	03/04/2013	07/19/1994	7 36	6 89	0 00	0 47	0 00	0 00
36204JCL8	GNMA POOL #370975 SER 2023 6 5% DUE 12-15-2023 REG		GNMA					
60 3000	03/04/2013	11/12/1993	60 30	59 81	0 00	0 49	0 00	0 00
36204JDD5	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG		GNMA					
118 1600	03/04/2013	10/05/1995	118 16	111 88	0 00	6 28	0 00	0 00

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3620AF4W4	GNMA POOL #729037 5% 02-15-2040 BEO	GNMA	5241 4300	03/04/2013	03/19/2010	5,241 43	5,486 30	0 00	-244 87	0 00	0 00
3620AQHZ9	GNMA POOL #736548 4.5% 02-15-2040 BEO	GNMA	3017 8300	03/04/2013	03/18/2010	3,017 83	3,070 64	0 00	-52 81	0 00	0 00
3620AQJB0	GNMA POOL #736558 5% 02-15-2040 BEO	GNMA	90 7000	03/04/2013	04/15/2010	90 70	94 30	0 00	-3 60	0 00	0 00
3620ASP78	GNMA POOL #738546 4% 07-15-2041 BEO	GNMA	1587 8200	03/04/2013	10/20/2011	1,587 82	1,686 32	0 00	-98 50	0 00	0 00
36224TWK2	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG	GNMA	476 1800	03/04/2013	12/06/1993	476 18	485 85	0 00	-9 67	0 00	0 00
36224VJV8	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG	GNMA	121 5400	03/04/2013	12/06/1993	121 54	124 01	0 00	-2 47	0 00	0 00
00724F101	ADOBE SYS INC	ADBE	196 0000	03/05/2013	11/24/2010	8,079 67	5,614 20	0 00	2,465 47	0 00	0 00
023135106	AMAZON COM INC	AMZN	42 0000	03/05/2013	01/03/2012	11,576 83	7,513 79	0 00	4,063 04	0 00	0 00
025816109	AMERICAN EXPRESS CO	AXP	173 0000	03/05/2013	11/16/1993	11,093 36	3,593 68	0 00	7,499 68	0 00	0 00

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032854105	ANALOG DEVICES INC	ADI	279 0000	03/05/2013	11/16/2010	12,728 44	9,433 29	0 00	3,295 15	0 00	0 00
037833100	APPLE COMPUTER INC	AAPL	22 0000	03/05/2013	02/15/2011	9,462 68	7,896 43	0 00	1,566 25	0 00	0 00
057224107	BAKER HUGHES INC	BHI	196 0000	03/05/2013	12/21/2011	8,663 59	9,391 36	0 00	-727 77	0 00	0 00
149123101	CATERPILLAR INC	CAT	74 0000	03/05/2013	05/27/2009	6,676 12	2,606 67	0 00	4,069 45	0 00	0 00
17275R102	CISCO SYS INC	CSCO	604 0000	03/05/2013	01/10/2006	12,757 04	11,481 13	0 00	1,275 91	0 00	0 00
191216100	COCA COLA CO	KO	261 0000	03/05/2013	06/27/2007	10,084 55	6,926 06	0 00	3,258 49	0 00	0 00
20030N101	COMCAST CORP NEW CL A	CMCSA	286 0000	03/05/2013	10/09/2007	11,669.59	6,851 84	0 00	4,817 75	0 00	0 00
22160K105	COSTCO WHSL CORP NEW	COST	87 0000	03/05/2013	06/08/2004	8,967 49	3,476 40	0 00	5,491 09	0 00	0 00
254687106	WALT DISNEY CO	DIS	174 0000	03/05/2013	08/31/2011	9,807 26	5,921 48	0 00	3,885 78	0 00	0 00

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26875P101	EOG RES INC	EOG	51 0000	03/05/2013	03/03/2009	6,334 46	2,419 67	0 00	3,914 79	0 00
291011104	EMERSON ELECTRIC CO	EMR	148 0000	03/05/2013	10/08/2008	8,313 35	5,474 89	0 00	2,838 46	0 00
30161N101	EXELON CORP	EXC	228 0000	03/05/2013	10/07/2008	7,170 20	12,696 66	0 00	-5,526 46	0 00
31428X106	FEDEX CORP	FDX	13 0000	03/05/2013	11/16/2010	1,402 81	1,115 56	0 00	287 25	0 00
38259P508	GOOGLE INC CL A	GOOG	18 0000	03/05/2013	08/08/2008	15,044 36	8,770 32	0 00	6,274 04	0 00
384802104	W W GRAINGER INC	GWW	65 0000	03/05/2013	11/12/1993	15,072 28	1,838 80	0 00	13,233 48	0 00
459200101	INTL BUSINESS MACHINES CORP	IBM	55 0000	03/05/2013	04/09/1998	11,350 16	3,071 39	0 00	8,278 77	0 00
594918104	MICROSOFT CORP COM	MSFT	420 0000	03/05/2013	05/31/2006	11,862 42	9,685 41	0 00	2,177 01	0 00
61166W101	MONSANTO CO COM	MON	98 0000	03/05/2013	06/26/2007	10,061 44	6,644 73	0 00	3,416 71	0 00

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Cusip	Description	Stock or Other Symbol	Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
86987V109	ADR NOVARTIS AG SPONSORED ADR ISIN #US66987V1098	NVS	130 0000	03/05/2013	02/07/2005	8,946 07	6,206 38	0 00	2,739 69	0 00
674599105	OCCIDENTAL PETROLEUM CORP	OXY	106 0000	03/05/2013	08/17/2011	8,738 16	9,453 55	0 00	-715 39	0 00
713448108	PEPSICO INC	PEP	121 0000	03/05/2013	04/17/2007	9,293 69	7,865 01	0 00	1,428 68	0 00
742718109	PROCTER & GAMBLE CO	PG	115 0000	03/05/2013	06/26/2007	8,870 77	7,056 68	0 00	1,814 09	0 00
743315103	PROGRESSIVE CORP OHIO	PGR	519 0000	03/05/2013	Various	12,770.74	8,404 41	0 00	4,366 33	0 00
747525103	QUALCOMM INC	QCOM	119 0000	03/05/2013	12/12/2008	8,061.47	3,976 63	0 00	4 084 84	0 00
845467109	SOUTHWESTERN ENERGY CO COM	SWN	258 0000	03/05/2013	04/28/2011	9,269.73	11,030 40	0 00	-1,760 67	0 00
88579Y101	3M CO	MMM	85 0000	03/05/2013	09/17/2010	8,874.18	7,293 83	0 00	1,580 35	0 00
902973304	US BANCORP DEL NEW	USB	247 0000	03/05/2013	06/28/2011	8,348 39	6,120 19	0 00	2,228 20	0 00

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2013 Tax Information Statement

THE NORTHERN TRUST COMPANY
P O BOX 803878
CHICAGO, IL 60680

Account Number: 17-19831
Recipient's Tax ID Number: XX-XXX7391

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☐ 2nd TIN notice

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Recipient's Name and Address:
THE WILLIAM CASPAR GRAUSTEIN
MEMORIAL FD
1 HAMDEN CENTER SUITE 2B
2319 WHITNEY AVE
HAMDEN, CT 06518-3509

Sales are listed at Gross Proceeds less commissions and option premiums

Cusip	Description	Stock or Other Symbol	Quantity	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Income Tax Withheld
Sold	Date of Sale or Exchange	Acquisition						
907818108	UNION PAC CORP COM	UNP						
59 0000	03/05/2013 02/03/2009		8,189 61	2,609 40	0 00	5,580 21	0 00	0 00
G87210103	UTI WORLDWIDE INC ORD NPV	UTIW						
302 0000	03/05/2013 03/30/2007		4,676 93	7,424 43	0 00	-2,747 50	0 00	0 00
641069406	NESTLE S A SPONSORED ADR REPSTG REG SH	NSRGY						
258 0000	03/06/2013 11/19/2002		18,104 02	5,488 23	0 00	12,615 79	0 00	0 00
771195104	ADR ROCHE HLDG LTD SPONSORED ADR ISIN #US771195104	RHHBY						
189 0000	03/06/2013 06/28/2011		10,917 67	7,884 97	0 00	3,032 70	0 00	0 00
03064EAD8	AMERICREDIT 2 730000001907% DUE 03-09-2015	SPCL1						
4483 2200	03/08/2013 05/13/2010		4,483 22	4,483 06	0 00	0 16	0 00	0 00
03064AAD6	AMERICREDIT 9 78999996185% DUE 04-15-2014	SPCL1						
2910 5600	03/15/2013 07/20/2009		2,910 56	2,997 88	0 00	-87 32	0 00	0 00
210805CB1	CONTINENTAL AIRLS PASS THRU TRS CTF 1998-1 CL A 6 648 3-15-2019 BEO	SPCL1						
2063 9300	03/15/2013 09/29/2009		2,063.93	1,981 37	0 00	82.56	0 00	0 00
31359NTJ0	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG PASS THRU CTF DUE 03-18-2027 REG	CMO1						
255 7100	03/18/2013 04/17/1997		255 71	236 97	0 00	18 74	0 00	0 00
38375L6T2	GNMA 5% DUE 10-20-2036	CMO1						
629 0700	03/20/2013 01/07/2008		629 07	636 15	0 00	-7 08	0 00	0 00

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Quantity Sold	Description	Stock or Other Symbol	Stocks Bonds, etc.	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
17309AAH2 1118 7000	CMO CITIMORTGAGE ALTERNATIVE LN TR SER 2006-2006-A1 CL IIA-1.5 25 03-01-21 REG 03/25/2013 01/31/2008	CMO1	1,118 70	1,116 43	0 00	2 27	0 00	0 00
36176QEN0 1948 2100	GNMA POOL #772641 SER 2041 4% DUE 09-15-2041 REG 04/02/2013 09/28/2011	GNMA	1,948 21	2,075 45	0 00	-127 24	0 00	0 00
36177JRX9 4573 0000	GNMA POOL #790501 4 DUE 01-15-2042 04/02/2013 02/17/2012	GNMA	4,573.00	4,926 69	0 00	-353 69	0 00	0 00
36203KKV5 20 2900	GNMA POOL #351408 SER 2024 6 5% DUE 01-15-2024 REG 04/02/2013 07/08/1994	GNMA	20 29	17 94	0 00	2 35	0 00	0 00
36203PBU6 29 3900	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG 04/02/2013 12/24/1997	GNMA	29 39	28 46	0 00	0 93	0 00	0 00
36204DK81 25 3600	GNMA POOL #366719 SER 2024 6% DUE 02-15-2024 REG 04/02/2013 12/22/1997	GNMA	25.36	24.54	0 00	0 82	0 00	0 00
36204FVE1 213 7100	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG 04/02/2013 07/19/1994	GNMA	213 71	200 09	0 00	13 62	0 00	0 00
36204JCL8 63 4100	GNMA POOL #370975 SER 2023 6 5% DUE 12-15-2023 REG 04/02/2013 11/12/1993	GNMA	63.41	62 89	0 00	0 52	0 00	0 00
36204JDD5 133 5100	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG 04/02/2013 10/05/1995	GNMA	133 51	126 42	0 00	7 09	0 00	0 00

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Cusip	Description	Stock or Other Symbol	Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
3620AF4W4	GNMA POOL #729037 5% 02-15-2040 BEO	GNMA	4331 4500	04/02/2013	03/19/2010	4,533 81	0 00	-202 36	0 00	0 00
3620AQHZ9	GNMA POOL #736548 4 5% 02-15-2040 BEO	GNMA	2255 2700	04/02/2013	03/18/2010	2,294 74	0 00	-39 47	0 00	0 00
3620AQJB0	GNMA POOL #736558 5% 02-15-2040 BEO	GNMA	97 7700	04/02/2013	04/15/2010	101 65	0 00	-3 88	0 00	0 00
3620ASP78	GNMA POOL #738546 4% 07-15-2041 BEO	GNMA	1808 7100	04/02/2013	10/20/2011	1,920 91	0 00	-112 20	0 00	0 00
36224TWK2	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG	GNMA	24 9900	04/02/2013	12/06/1993	25 50	0 00	-0 51	0 00	0 00
36224VJV8	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG	GNMA	122 3000	04/02/2013	12/06/1993	124 78	0 00	-2 48	0 00	0 00
03064EAD8	AMERICREDIT 2 73000001907% DUE 03-09-2015	SPCL1	4456 4500	04/08/2013	05/13/2010	4,456.29	0 00	0 16	0 00	0 00
03064AAD6	AMERICREDIT 9 78999996185% DUE 04-15-2014	SPCL1	3039 6500	04/15/2013	07/20/2009	3,130 84	0 00	-91 19	0 00	0 00
31359NTJ0	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG PASS THRU CTF DUE 03-18-2027 REG	CMO1	191 9200	04/18/2013	04/17/1997	177 86	0 00	14 06	0 00	0 00

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Cusip	Description	Stock or Other Symbol	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
38375L6T2	GNMA 5% DUE 10-20-2036	CMO1	674 1300	04/20/2013	01/07/2008	674 13	681 71	0 00	-7 58	0 00	0 00
17309AAH2	CMO CITIMORTGAGE ALTERNATIVE LN TR SER 2006-2006-A1 CL IIA-1 5 25 03-01-21 REG	CMO1	330 4100	04/25/2013	01/31/2008	330 41	329.74	0 00	0 67	0 00	0 00
36176QEN0	GNMA POOL #772641 SER 2041 4% DUE 09-15-2041 REG	GNMA	2012 5800	05/02/2013	09/28/2011	2,012 58	2,144.03	0 00	-131 45	0 00	0 00
36177JRX9	GNMA POOL #790501 4 DUE 01-15-2042	GNMA	151 5400	05/02/2013	02/17/2012	151 54	163.26	0 00	-11 72	0 00	0 00
36203KKV5	GNMA POOL #351408 SER 2024 6 5% DUE 01-15-2024 REG	GNMA	19 2100	05/02/2013	07/08/1994	19 21	16 98	0 00	2 23	0 00	0 00
36203PBU6	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG	GNMA	28 7100	05/02/2013	12/24/1997	28 71	27.80	0 00	0 91	0 00	0 00
36204DK81	GNMA POOL #366719 SER 2024 6% DUE 02-15-2024 REG	GNMA	24 9300	05/02/2013	12/22/1997	24 93	24 12	0 00	0 81	0 00	0 00
36204FVE1	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG	GNMA	6 7000	05/02/2013	07/19/1994	6 70	6.27	0 00	0 43	0 00	0 00
36204JCL8	GNMA POOL #370975 SER 2023 6 5% DUE 12-15-2023 REG	GNMA	58 4800	05/02/2013	11/12/1993	58 48	58 01	0 00	0 47	0 00	0 00

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Cusip	Description	Stock or Other Symbol	Quantity	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
36204JDD5	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG	GNMA	128 8300	05/02/2013	10/05/1995	128 83	121 99	0.00	6 84	0 00	0 00
3620AF4W4	GNMA POOL #729037 5% 02-15-2040 BEO	GNMA	9019.7700	05/02/2013	03/19/2010	9,019 77	9,441.16	0 00	-421 39	0 00	0 00
3620AQHZ9	GNMA POOL #736548 4 5% 02-15-2040 BEO	GNMA	1882 4800	05/02/2013	03/18/2010	1,882 48	1,915 42	0 00	-32 94	0 00	0 00
3620AQJB0	GNMA POOL #736558 5% 02-15-2040 BEO	GNMA	1006 4500	05/02/2013	04/15/2010	1,006 45	1,046.39	0 00	-39 94	0 00	0 00
3620ASP78	GNMA POOL #738546 4% 07-15-2041 BEO	GNMA	2699 5600	05/02/2013	10/20/2011	2,699 56	2,867.02	0 00	-167 46	0 00	0 00
36224TWK2	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG	GNMA	27 4500	05/02/2013	12/06/1993	27 45	28 01	0 00	-0 56	0 00	0 00
36224VJV8	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG	GNMA	123 0700	05/02/2013	12/06/1993	123 07	125 57	0 00	-2 50	0 00	0 00
03064EAD8	AMERICREDIT 2 73000001907% DUE 03-09-2015	SPCL1	3961 5200	05/08/2013	05/13/2010	3,961 52	3,961.38	0 00	0 14	0 00	0 00
03064AAD6	AMERICREDIT 9 78999996185% DUE 04-15-2014	SPCL1	2034 3300	05/15/2013	07/20/2009	2,034 33	2,095 36	0 00	-61 03	0 00	0 00

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Cusip	Description	Stock or Other Symbol	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
03064AAE4	AMERICREDIT 14 55000019073% DUE 01-15-2016	SPCL1	278 4400	05/15/2013	08/02/2010	278 44	352 18	0 00	-73.74	0 00	0 00
31359NTJ0	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG PASS THRU CTF DUE 03-18-2027 REG	CMO1	389 5800	05/18/2013	04/17/1997	389 58	361 03	0 00	28 55	0 00	0 00
38375L6T2	GNMA 5% DUE 10-20-2036	CMO1	615.5500	05/20/2013	01/07/2008	615 55	622 48	0 00	-6 93	0 00	0 00
17309AAH2	CMO CITIMORTGAGE ALTERNATIVE LN TR SER 2006-2006-A1 CL IIA-1 5 25 03-01-21 REG	CMO1	1676 8300	05/25/2013	01/31/2008	1,676 83	1,673 42	0 00	3 41	0 00	0 00
193906AD6	CG & U FAC LN TR II SEQUENTIAL PAY CL D 4 00 BD DUE 6-1-2018 REG	CMO1	4841 2700	06/01/2013	11/30/1993	4,841 27	3,602.21	0 00	1,239.06	0 00	0 00
677525TW7	OH ST AIR QUAL DEV AUTH REV VAR REF POLLUTN CTL-VAR RT DUE 12-01-2023		75000 0000	06/03/2013	02/07/2011	75,009 38	73,585 50	0 00	1,423 88	0 00	0 00
36176QEN0	GNMA POOL #772641 SER 2041 4% DUE 09-15-2041 REG	GNMA	1223 0800	06/04/2013	09/28/2011	1,223 08	1,302 96	0 00	-79 88	0 00	0 00
36177JRX9	GNMA POOL #790501 4 DUE 01-15-2042	GNMA	5390 8100	06/04/2013	02/17/2012	5,390 81	5,807 76	0.00	-416 95	0 00	0 00
36203KKV5	GNMA POOL #351408 SER 2024 6 5% DUE 01-15-2024 REG	GNMA	118 7700	06/04/2013	07/08/1994	118 77	105 00	0 00	13 77	0 00	0 00

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Cusip	Description	Stock or Other Symbol	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
36203PBU6	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG	GNMA	240.6600	06/04/2013	12/24/1997	240 66	233 03	0 00	7 63	0 00	0 00
36204DK81	GNMA POOL #366719 SER 2024 6% DUE 02-15-2024 REG	GNMA	455 1800	06/04/2013	12/22/1997	455 18	440 46	0 00	14 72	0 00	0 00
36204FVE1	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG	GNMA	6 4100	06/04/2013	07/19/1994	6 41	6 00	0 00	0 41	0 00	0 00
36204JCL8	GNMA POOL #370975 SER 2023 6 5% DUE 12-15-2023 REG	GNMA	84 4500	06/04/2013	11/12/1993	84 45	83 76	0 00	0 69	0 00	0 00
36204JDD5	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG	GNMA	153 7500	06/04/2013	10/05/1995	153 75	145 58	0 00	8 17	0 00	0 00
3620AF4W4	GNMA POOL #729037 5% 02-15-2040 BEO	GNMA	3505 5900	06/04/2013	03/19/2010	3,505 59	3,669 37	0 00	-163 78	0 00	0 00
3620AQHZ9	GNMA POOL #736548 4 5% 02-15-2040 BEO	GNMA	2275 7300	06/04/2013	03/18/2010	2,275 73	2,315 56	0 00	-39 83	0 00	0 00
3620AQJ80	GNMA POOL #736558 5% 02-15-2040 BEO	GNMA	1022 0300	06/04/2013	04/15/2010	1,022 03	1,062 59	0 00	-40 56	0 00	0 00
3620ASP78	GNMA POOL #738546 4% 07-15-2041 BEO	GNMA	2239 2900	06/04/2013	10/20/2011	2,239 29	2,378 20	0 00	-138 91	0 00	0 00

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36224TWK2	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG	GNMA	25 3200	06/04/2013	12/06/1993	25 32	25 83	0 00	-0.51	0 00	0 00
36224VJV8	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG	GNMA	123 8400	06/04/2013	12/06/1993	123 84	126 36	0 00	-2 52	0 00	0 00
03064EAD8	AMERICREDIT 2 73000001907% DUE 03-09-2015	SPCL1	3746 4200	06/08/2013	05/13/2010	3,746 42	3,746 29	0.00	0.13	0 00	0 00
949746101	WELLS FARGO & CO NEW	WFC	437 0000	06/11/2013	12/17/2009	17,883 65	11,411 21	0 00	6,472.44	0 00	0 00
949746101	WELLS FARGO & CO NEW	WFC	850 0000	06/12/2013	12/17/2009	34,274 72	22,195 71	0 00	12,079 01	0 00	0 00
03064AAE4	AMERICREDIT 14 55000019073% DUE 01-15-2016	SPCL1	1178 7100	06/15/2013	08/02/2010	1,178.71	1,490 88	0 00	-312.17	0 00	0 00
31359NTJ0	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG PASS THRU CTF DUE 03-18-2027 REG	CMO1	198 2500	06/18/2013	04/17/1997	198 25	183 72	0 00	14.53	0 00	0 00
38375L6T2	GNMA 5% DUE 10-20-2036	CMO1	591 7800	06/20/2013	01/07/2008	591 78	598.44	0 00	-6 66	0 00	0 00
17309AAH2	CMO CITIMORTGAGE ALTERNATIVE LN TR SER 2006-2006-A1 CL IIA-15 25 03-01-21 REG	CMO1	1203 4500	06/25/2013	01/31/2008	1,203 45	1,201 00	0 00	2 45	0 00	0 00

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36176QEN0	GNMA POOL #772641 SER 2041 4% DUE 09-15-2041 REG	GNMA	356 7200	07/02/2013	09/28/2011	356 72	380 02	0 00	-23 30	0 00	0 00
36177JRX9	GNMA POOL #790501 4 DUE 01-15-2042	GNMA	132 3900	07/02/2013	02/17/2012	132 39	142 63	0 00	-10 24	0 00	0 00
36203KKV5	GNMA POOL #351408 SER 2024 6 5% DUE 01-15-2024 REG	GNMA	19 8900	07/02/2013	07/08/1994	19 89	17 58	0 00	2 31	0 00	0 00
36203PBU6	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG	GNMA	26 9100	07/02/2013	12/24/1997	26 91	26 06	0 00	0 85	0 00	0 00
36204DK81	GNMA POOL #366719 SER 2024 6% DUE 02-15-2024 REG	GNMA	18 2000	07/02/2013	12/22/1997	18 20	17 61	0 00	0 59	0 00	0 00
36204FVE1	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG	GNMA	6 4500	07/02/2013	07/19/1994	6 45	6 04	0 00	0 41	0 00	0 00
36204JCL8	GNMA POOL #370975 SER 2023 6.5% DUE 12-15-2023 REG	GNMA	57 3000	07/02/2013	11/12/1993	57 30	56 83	0 00	0 47	0 00	0 00
36204JDD5	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG	GNMA	131 5400	07/02/2013	10/05/1995	131 54	124 55	0 00	6 99	0 00	0 00
3620AF4W4	GNMA POOL #729037 5% 02-15-2040 BEO	GNMA	4386 8600	07/02/2013	03/19/2010	4,386 86	4,591 81	0 00	-204 95	0 00	0 00

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2013 Tax Information Statement

THE NORTHERN TRUST COMPANY
P O BOX 803878
CHICAGO, IL 60680

Account Number
Recipient's Tax ID Number

17-19831
XX-XXX7391

☐ Corrected

☐ 2nd TIN notice

Recipient's Name and Address:
THE WILLIAM CASPAR GRAUSTEIN
MEMORIAL FD
1 HAMDEN CENTER SUITE 2B
2319 WHITNEY AVE
HAMDEN, CT 06518-3509

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Sales are listed at Gross Proceeds less commissions and option premiums

Cusip	Description	Stock or Other Symbol	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
3620AQHZ9	GNMA POOL #738548 4 5% 02-15-2040 BEO	GNMA									
2231 6700	07/02/2013 03/18/2010					2,231 67	2,270 72	0 00	-39 05	0 00	0 00
3620AQJB0	GNMA POOL #736558 5% 02-15-2040 BEO	GNMA									
2646 5300	07/02/2013 04/15/2010					2,646 53	2,751 56	0 00	-105 03	0 00	0 00
3620ASP78	GNMA POOL #738546 4% 07-15-2041 BEO	GNMA									
1499 5800	07/02/2013 10/20/2011					1,499 58	1,592 60	0 00	-93.02	0 00	0 00
36224TWK2	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG	GNMA									
27 8600	07/02/2013 12/06/1993					27 86	28 43	0 00	-0 57	0 00	0 00
36224VJV8	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG	GNMA									
124 6000	07/02/2013 12/06/1993					124 60	127 13	0 00	-2 53	0 00	0 00
03064EAD8	AMERICREDIT 2 73000001907% DUE 03-09-2015	SPCL1									
346 9700	07/08/2013 05/13/2010					346 97	346 96	0 00	0.01	0 00	0 00
03064AAE4	AMERICREDIT 14 55000019073% DUE 01-15-2016	SPCL1									
18542 8500	07/15/2013 08/02/2010					18,542 85	23,453 82	0 00	-4,910 97	0 00	0 00
165167BY2	CHES ENERGY CORP 7 625% DUE 07-15-2013										
55000 0000	07/15/2013 06/01/2012					55,000 00	56,237 50	0 00	-1,237 50	0 00	0 00
31359NTJ0	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG PASS THRU CTF DUE 03-18-2027 REG	CMO1									
431 7400	07/18/2013 04/17/1997					431 74	400 10	0 00	31 64	0 00	0 00

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38375L6T2	GNMA 5% DUE 10-20-2036	CMO1	528 1800	07/20/2013	01/07/2008	528 18	534 12	0 00	-5 94	0 00	0 00
17309AAH2	CMO CITIMORTGAGE ALTERNATIVE LN TR SER 2006-2006-A1 CL IIA-1 5 25 03-01-21 REG	CMO1	676 1200	07/25/2013	01/31/2008	676 12	674 75	0 00	1.37	0.00	0 00
30161N101	EXELON CORP	EXC	3502 0000	08/02/2013	Various	106,782 17	164,655 59	0 00	-57,873.42	0.00	0 00
36176QEN0	GNMA POOL #772641 SER 2041 4% DUE 09-15-2041 REG	GNMA	1274 5900	08/02/2013	09/28/2011	1,274 59	1,357 84	0 00	-83.25	0 00	0 00
36177JRX9	GNMA POOL #790501 4 DUE 01-15-2042	GNMA	133 1900	08/02/2013	02/17/2012	133 19	143 49	0 00	-10 30	0 00	0 00
36203KKV5	GNMA POOL #351408 SER 2024 6 5% DUE 01-15-2024 REG	GNMA	207 1800	08/02/2013	07/08/1994	207 18	183 16	0 00	24 02	0 00	0 00
36203PBU6	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG	GNMA	26 3800	08/02/2013	12/24/1997	26 38	25 54	0 00	0 84	0 00	0 00
36204DK81	GNMA POOL #366719 SER 2024 6% DUE 02-15-2024 REG	GNMA	18 3300	08/02/2013	12/22/1997	18 33	17 74	0 00	0 59	0.00	0 00
36204FVE1	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG	GNMA	6 4900	08/02/2013	07/19/1994	6 49	6 08	0.00	0 41	0 00	0 00

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Cusip	Description	Stock or Other Symbol	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
36204JCL8	GNMA POOL #370975 SER 2023 6.5% DUE 12-15-2023 REG	GNMA	62 7200	08/02/2013	11/12/1993	62.72	62 21	0 00	0 51	0 00	0 00
36204JDD5	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG	GNMA	132 0800	08/02/2013	10/05/1995	132 08	125 06	0 00	7 02	0 00	0 00
3620AF4W4	GNMA POOL #729037 5% 02-15-2040 BEO	GNMA	2758 5500	08/02/2013	03/19/2010	2,758 55	2,887 43	0 00	-128 88	0 00	0 00
3620AQHZ9	GNMA POOL #736548 4 5% 02-15-2040 BEO	GNMA	1781 2900	08/02/2013	03/18/2010	1,781 29	1,812 46	0 00	-31 17	0 00	0 00
3620AQJB0	GNMA POOL #736558 5% 02-15-2040 BEO	GNMA	100 9200	08/02/2013	04/15/2010	100 92	104 93	0 00	-4 01	0 00	0 00
3620ASP78	GNMA POOL #738546 4% 07-15-2041 BEO	GNMA	1366 4900	08/02/2013	10/20/2011	1,366 49	1,451 26	0 00	-84 77	0 00	0 00
36224TWK2	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG	GNMA	25 7500	08/02/2013	12/06/1993	25 75	26 27	0 00	-0 52	0 00	0 00
36224VJV8	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG	GNMA	125 3800	08/02/2013	12/06/1993	125 38	127 93	0 00	-2 55	0 00	0 00
00724F101	ADOBE SYS INC	ADBE	93 0000	08/15/2013	11/24/2010	4,267 69	2,663 88	0 00	1,603 81	0 00	0 00

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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		
023135106	AMAZON COM INC		AMZN							
20 0000	08/15/2013	01/03/2012	5,750 89	3,578 00	0 00	2,172 89	0 00	0 00		
025816109	AMERICAN EXPRESS CO		AXP							
82 0000	08/15/2013	11/16/1993	6,128 57	1,703 36	0 00	4,425 21	0 00	0 00		
032654105	ANALOG DEVICES INC		ADI							
133 0000	08/15/2013	11/16/2010	6,397 18	4,496 88	0 00	1,900 30	0 00	0 00		
037833100	APPLE COMPUTER INC		AAPL							
11 0000	08/15/2013	02/15/2011	5,502 43	3,948 22	0 00	1,554 21	0 00	0 00		
057224107	BAKER HUGHES INC		BHI							
93 0000	08/15/2013	12/21/2011	4,428 58	4,456 10	0 00	-27 52	0 00	0 00		
13645T100	CANADIAN PACIFIC RAILWAY LTD COM		CP							
37 0000	08/15/2013	08/14/2012	4,477 66	3,128 59	0 00	1,349 07	0 00	0 00		
149123101	CATERPILLAR INC		CAT							
35 0000	08/15/2013	05/27/2009	2,975 99	1,232 88	0 00	1,743 11	0 00	0 00		
17275R102	CISCO SYS INC		CSCO							
287 0000	08/15/2013	01/10/2006	7,071 55	5,455 44	0 00	1,616 11	0 00	0 00		
191216100	COCA COLA CO		KO							
124 0000	08/15/2013	06/27/2007	4,848 31	3,243 03	0 00	1,605 28	0 00	0 00		

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Cusip	Description	Stock or Other Symbol	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
20030N101	COMCAST CORP NEW CL A	CMCSA	136 0000	08/15/2013	10/09/2007	5,845.17	3,258 22	0 00	2,586 95	0 00	0 00
22160K105	COSTCO WHSL CORP NEW	COST	41 0000	08/15/2013	06/08/2004	4,588.64	1,638 30	0 00	2,950 34	0 00	0 00
254687106	WALT DISNEY CO	DIS	83 0000	08/15/2013	08/31/2011	5,205 66	2,824 61	0 00	2,381 05	0 00	0 00
26875P101	EOG RES INC	EOG	24 0000	08/15/2013	03/03/2009	3,766 97	1,138 67	0 00	2,628 30	0 00	0 00
291011104	EMERSON ELECTRIC CO	EMR	70 0000	08/15/2013	10/08/2008	4,262 22	2,589 48	0 00	1,672 74	0 00	0 00
30303M102	FACEBOOK INC CL A CL A	FB	63 0000	08/15/2013	05/18/2012	2,298 19	2,486 08	0 00	-187 89	0 00	0 00
31428X106	FEDEX CORP	FDX	62 0000	08/15/2013	Various	6,678 52	5,000 34	0 00	1,678 18	0 00	0 00
38259P508	GOOGLE INC CL A	GOOG	8 0000	08/15/2013	08/08/2008	6,907 87	3,897 92	0 00	3,009 95	0 00	0 00
384802104	W W GRAINGER INC	GWW	31 0000	08/15/2013	11/12/1993	7,807.83	876 97	0 00	6,930 86	0 00	0 00

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Cusip	Description		Stock or Other Symbol						
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	
459200101	INTL BUSINESS MACHINES CORP		IBM						
26 0000	08/15/2013	04/09/1998		4,844 49	1,451 93	0 00	3,392 56	0 00	0 00
594918104	MICROSOFT CORP COM		MSFT						
199 0000	08/15/2013	05/31/2006		6,334 65	4,589 04	0 00	1,745 61	0 00	0 00
61166W101	MONSANTO CO COM		MON						
47 0000	08/15/2013	06/26/2007		4,521 32	3,186 76	0 00	1,334 56	0 00	0 00
641069406	NESTLE S A SPONSORED ADR REPSTG REG SH		NSRGY						
123 0000	08/15/2013	11/19/2002		8,219 94	2,616 48	0 00	5,603 46	0 00	0 00
66987V109	ADR NOVARTIS AG SPONSORED ADR ISIN #US66987V1098		NVS						
62 0000	08/15/2013	02/07/2005		4,530 89	2,959 97	0 00	1,570 92	0 00	0 00
674599105	OCCIDENTAL PETROLEUM CORP		OXY						
50 0000	08/15/2013	08/17/2011		4,360 92	4,459 22	0 00	-98 30	0 00	0 00
713448108	PEPSICO INC		PEP						
57 0000	08/15/2013	04/17/2007		4,650 54	3,705 01	0 00	945 53	0 00	0 00
742718109	PROCTER & GAMBLE CO		PG						
55 0000	08/15/2013	06/26/2007		4,426 32	3,374 93	0 00	1,051 39	0 00	0 00
743315103	PROGRESSIVE CORP OHIO		PGR						
246 0000	08/15/2013	04/21/2009		6,260 59	3,896 54	0 00	2,364 05	0 00	0 00

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Cuslp	Description	Stock or Other Symbol	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
747525103	QUALCOMM INC	QCOM	57 0000	08/15/2013	12/12/2008	3,793 28	1,904 77	0 00	1,888 51	0 00	0 00
771195104	ADR ROCHE HLDG LTD SPONSORED ADR ISIN #US771195104	RHHBY	90 0000	08/15/2013	06/28/2011	5,718 50	3,754 75	0 00	1,963 75	0 00	0 00
845467109	SOUTHWESTERN ENERGY CO COM	SWN	123 0000	08/15/2013	04/28/2011	4,586 79	5,258 68	0 00	-671 89	0 00	0 00
88579Y101	3M CO	MMM	41 0000	08/15/2013	09/17/2010	4,756.73	3,518 20	0 00	1,238 53	0 00	0 00
886547108	TIFFANY & CO NEW	TIF	24 0000	08/15/2013	03/08/2006	1,928 60	871 06	0 00	1,057 54	0 00	0 00
886547108	TIFFANY & CO NEW	TIF	22 0000	08/15/2013	07/13/2012	1,767.89	1,143 90	0 00	623 99	0 00	0 00
902973304	US BANCORP DEL NEW	USB	118 0000	08/15/2013	06/28/2011	4,335 24	2,923 82	0 00	1,411 42	0 00	0 00
907818108	UNION PAC CORP COM	UNP	28 0000	08/15/2013	02/03/2009	4,365 40	1,238 36	0 00	3,127 04	0 00	0 00
949746101	WELLS FARGO & CO NEW	WFC	127 0000	08/15/2013	12/17/2009	5,465 98	3,316 30	0 00	2,149 68	0 00	0 00

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Custp	Description	Stock or Other Symbol	Quantity	Date of Sale or Exchange	Date of Acquisition	Stocks	Cost or Other Basis	Wash Sale	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
G87210103	UTI WORLDWIDE INC ORD NPV	UTIW	142 0000	08/15/2013	03/30/2007	2,281 90	3,490 96	0 00	-1,209 06	0 00	0 00
31359NTJ0	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG PASS THRU CTF DUE 03-18-2027 REG	CMO1	177 1500	08/18/2013	04/17/1997	177 15	164 17	0 00	12 98	0 00	0 00
0258M0CY3	AMERICAN EXPRESS CR CORP TRANCHE # TR 00071 7 3% DUE 08-20-2013	MTN1	165000 0000	08/20/2013	Various	165,000 00	169,944 75	0 00	-4,944 75	0 00	0 00
38375L6T2	GNMA 5% DUE 10-20-2036	CMO1	689 8300	08/20/2013	01/07/2008	689 83	697 59	0 00	-7 76	0 00	0 00
17309AAH2	CMO CITIMORTGAGE ALTERNATIVE LN TR SER 2006-2006-A1 CL IIA-1 5 25 03-01-21 REG	CMO1	448 5500	08/25/2013	01/31/2008	448 55	447 64	0 00	0 91	0 00	0 00
46625H621	JPMORGAN CHASE & CO FORMERLY J P MORGAN CHASE AND CO TO 07/20/2004 PFD STK	JPM*I	3596 0000	09/03/2013	Various	89,900.00	100,141 65	0 00	-10,241 65	0 00	0 00
36176QEN0	GNMA POOL #772641 SER 2041 4% DUE 09-15-2041 REG	GNMA	523 6900	09/04/2013	09/28/2011	523 69	557 89	0 00	-34 20	0 00	0 00
36177JRX9	GNMA POOL #790501 4 DUE 01-15-2042	GNMA	131 7800	09/04/2013	02/17/2012	131 78	141 97	0 00	-10 19	0 00	0 00
36203KKV5	GNMA POOL #351408 SER 2024 6 5% DUE 01-15-2024 REG	GNMA	15 8900	09/04/2013	07/08/1994	15 89	14 05	0 00	1 84	0 00	0 00

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36203PBU6	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG	GNMA	168 9800	09/04/2013	12/24/1997	168 98	163 62	0 00	5 36	0 00	0 00
36204DK81	GNMA POOL #366719 SER 2024 6% DUE 02-15-2024 REG	GNMA	18 4800	09/04/2013	12/22/1997	18 48	17 88	0 00	0 60	0 00	0 00
36204FVE1	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG	GNMA	6 5300	09/04/2013	07/19/1994	6 53	6 11	0 00	0 42	0 00	0 00
36204JCL8	GNMA POOL #370975 SER 2023 6 5% DUE 12-15-2023 REG	GNMA	242 1000	09/04/2013	11/12/1993	242.10	240 13	0 00	1 97	0 00	0 00
36204JDD5	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG	GNMA	148 3200	09/04/2013	10/05/1995	148 32	140 44	0 00	7 88	0 00	0 00
3620AF4W4	GNMA POOL #729037 5% 02-15-2040 BEO	GNMA	4573 3200	09/04/2013	03/19/2010	4,573.32	4,786 98	0.00	-213 66	0 00	0 00
3620AQHZ9	GNMA POOL #736548 4 5% 02-15-2040 BEO	GNMA	1749 8500	09/04/2013	03/18/2010	1,749 85	1,780 47	0 00	-30 62	0 00	0 00
3620AQJB0	GNMA POOL #736558 5% 02-15-2040 BEO	GNMA	1010 2600	09/04/2013	04/15/2010	1,010 26	1,050 35	0 00	-40.09	0 00	0 00
3620ASP78	GNMA POOL #738546 4% 07-15-2041 BEO	GNMA	1340 4200	09/04/2013	10/20/2011	1,340 42	1,423 57	0 00	-83 15	0 00	0 00

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	Date of Sale or Exchange							
36224TWK2	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG	GNMA						
25 9100	09/04/2013 12/06/1993		25 91	26 44	0 00	-0 53	0 00	0 00
36224VJV8	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG	GNMA						
126 1700	09/04/2013 12/06/1993		126 17	128 73	0 00	-2 56	0 00	0 00
210805CB1	CONTINENTAL AIRLS PASS THRU TRS CTF 1998-1 CL A	SPCL1						
366 7600	6 648 3-15-2019 BEO 09/15/2013 09/29/2009		366 76	352 09	0 00	14 67	0 00	0 00
31359NTJ0	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG PASS THRU	CMO1						
281 9800	CTF DUE 03-18-2027 REG 09/18/2013 04/17/1997		281 98	261 32	0 00	20 66	0 00	0 00
38375L6T2	GNMA 5% DUE 10-20-2036	CMO1						
674 4100	09/20/2013 01/07/2008		674 41	682 00	0 00	-7 59	0 00	0 00
00724F101	ADOBE SYS INC	ADBE						
300 0000	09/25/2013 11/24/2010		15,600 23	8,593 17	0 00	7,007 06	0 00	0 00
023135106	AMAZON COM INC	AMZN						
62 0000	09/25/2013 01/03/2012		19,540 82	11,091 79	0 00	8,449 03	0 00	0 00
025816109	AMERICAN EXPRESS CO	AXP						
263 0000	09/25/2013 11/16/1993		20,098 11	5,463 22	0 00	14,634 89	0 00	0 00
032654105	ANALOG DEVICES INC	ADI						
422 0000	09/25/2013 Various		20,112 16	14,056 71	0 00	6,055 45	0 00	0 00

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THE NORTHERN TRUST COMPANY
P O BOX 803878
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Account Number 17-19831
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Recipient's Name and Address:
THE WILLIAM CASPAR GRAUSTEIN
MEMORIAL FD
1 HAMDEN CENTER SUITE 2B
2319 WHITNEY AVE
HAMDEN, CT 06518-3509

Sales are listed at Gross Proceeds less commissions and option premiums

Cusip	Description	Stock or Other Symbol	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
037833100	APPLE COMPUTER INC	AAPL	34 0000	09/25/2013	02/15/2011	16,432 37	12,203 58	0 00	4,228 79	0 00	0 00
057224107	BAKER HUGHES INC	BHI	298 0000	09/25/2013	12/21/2011	14,806 35	14,278 71	0 00	527 64	0 00	0 00
075887109	BECTON DICKINSON & CO	BDX	96 0000	09/25/2013	12/16/1993	9,651 67	2,132 49	0 00	7,519 18	0 00	0 00
075887109	BECTON DICKINSON & CO	BDX	70 0000	09/25/2013	08/24/2012	7,037 67	5,301 08	0 00	1,736 59	0 00	0 00
136385101	CANADIAN NAT RES LTD COM	CNQ	202 0000	09/25/2013	08/24/2012	6,397 09	6,379 16	0 00	17 93	0 00	0 00
13645T100	CANADIAN PACIFIC RAILWAY LTD COM	CP	116 0000	09/25/2013	08/14/2012	14,633 17	9,808 54	0 00	4,824 63	0 00	0 00
149123101	CATERPILLAR INC	CAT	112.0000	09/25/2013	05/27/2009	9,538 97	3,945 22	0 00	5,593 75	0 00	0 00
17275R102	CISCO SYS INC	CSCO	927 0000	09/25/2013	01/10/2006	22,451 54	17,620 88	0 00	4,830 66	0 00	0 00
17309AAH2	CMO CITIMORTGAGE ALTERNATIVE LN TR SER 2006-2006-A1 CL IIA-1 5 25 03-01-21 REG	CMO1	350 5400	09/25/2013	01/31/2008	350 54	349 83	0 00	0 71	0 00	0 00

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Cusip	Description		Stock or Other Symbol		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
191216100	COCA COLA CO		KO		397 0000	09/25/2013	06/27/2007	15,276 29	10,382 94	0 00	4,893 35	0 00	0 00
20030N101	COMCAST CORP NEW CL A		CMCSA		437 0000	09/25/2013	Various	19,070 34	10,210 52	0.00	8,859 82	0 00	0 00
22160K105	COSTCO WHSL CORP NEW		COST		133 0000	09/25/2013	06/08/2004	15,446 34	5,314 49	0.00	10,131 85	0 00	0 00
254687106	WALT DISNEY CO		DIS		266 0000	09/25/2013	08/31/2011	17,231 18	9,052 38	0.00	8,178 80	0 00	0 00
26875P101	EOG RES INC		EOG		74 0000	09/25/2013	03/03/2009	12,701 87	3,510 90	0 00	9,190 97	0 00	0 00
278642103	EBAY INC		EBAY		253 0000	09/25/2013	Various	13,788 25	11,298 88	0 00	2,489 37	0 00	0 00
291011104	EMERSON ELECTRIC CO		EMR		223 0000	09/25/2013	10/08/2008	14,539 34	8,249 32	0 00	6,290 02	0 00	0 00
30303M102	FACEBOOK INC CL A CL A		FB		195 0000	09/25/2013	05/18/2012	9,492 43	7,695 01	0 00	1,797 42	0 00	0 00
31428X106	FEDEX CORP		FDX		198 0000	09/25/2013	Various	22,502 28	11,775 04	0.00	10,727 24	0 00	0 00

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38259P508	GOOGLE INC CL A	GOOG	27 0000	09/25/2013	08/08/2008	23,780 64	13,155 47	0 00	10,625.17	0 00	0 00
384802104	W W GRAINGER INC	GWW	99 0000	09/25/2013	11/12/1993	26,625 16	2,800 64	0 00	23,824.52	0 00	0 00
459200101	INTL BUSINESS MACHINES CORP	IBM	83 0000	09/25/2013	04/09/1998	15,705 82	4,635 01	0 00	11,070 81	0.00	0 00
55261F104	M & T BK CORP	MTB	29 0000	09/25/2013	11/16/2010	3,201 80	2,298 13	0 00	903 67	0 00	0 00
55261F104	M & T BK CORP	MTB	85 0000	09/25/2013	08/24/2012	9,384 58	7,269 48	0 00	2,115 10	0 00	0 00
594918104	MICROSOFT CORP COM	MSFT	646 0000	09/25/2013	05/31/2006	21,053 35	14,897 08	0 00	6,156 27	0 00	0 00
61166W101	MONSANTO CO COM	MON	150 0000	09/25/2013	06/26/2007	15,808 22	10,170 51	0 00	5,637 71	0 00	0 00
641069406	NESTLE S A SPONSORED ADR REPSTG REG SH	NSRGY	395 0000	09/25/2013	11/19/2002	27,436 22	8,402 52	0 00	19,033 70	0 00	0 00
66987V109	ADR NOVARTIS AG SPONSORED ADR ISIN #US66987V1098	NVS	198 0000	09/25/2013	02/07/2005	15,170 49	9,452 80	0 00	5,717 69	0 00	0 00

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Cusip	Description	Stock or Other Symbol	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
674599105	OCCIDENTAL PETROLEUM CORP	OXY	56 0000	09/25/2013	11/16/2010	5,187 82	4,728 00	0 00	459 82	0 00	0 00
674599105	OCCIDENTAL PETROLEUM CORP	OXY	103 0000	09/25/2013	08/17/2011	9,541 89	9,185 99	0 00	355 90	0 00	0 00
713448108	PEPSICO INC	PEP	185 0000	09/25/2013	04/17/2007	14,855 24	12,025 02	0 00	2,830 22	0 00	0 00
742718109	PROCTER & GAMBLE CO	PG	177 0000	09/25/2013	06/26/2007	13,892 59	10,861 14	0 00	3,031.45	0 00	0 00
743315103	PROGRESSIVE CORP OHIO	PGR	789 0000	09/25/2013	Various	21,507 76	12,026 18	0 00	9,481 58	0 00	0 00
747525103	QUALCOMM INC	QCOM	182 0000	09/25/2013	12/12/2008	12,510 46	6,081 91	0 00	6,428 55	0 00	0 00
771195104	ADR ROCHE HLDG LTD SPONSORED ADR ISIN #US771195104	RHHBY	288 0000	09/25/2013	06/28/2011	19,102 70	12,015 18	0 00	7,087.52	0 00	0 00
845467109	SOUTHWESTERN ENERGY CO COM	SWN	393 0000	09/25/2013	Various	14,590 89	16,796 12	0 00	-2,205 23	0 00	0 00
882508104	TEXAS INSTRUMENTS INC	TXN	471.0000	09/25/2013	09/13/2012	19,046 90	13,581 57	0.00	5,465 33	0 00	0 00

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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	
88579Y101	3M CO		MMM						
130 0000	09/25/2013	09/17/2010	15,725 82	11,155 27	0 00	4,570 55	0 00	0 00	
886547108	TIFFANY & CO NEW		TIF						
145 0000	09/25/2013	03/08/2006	11,306 90	5,262 64	0 00	6,044 26	0 00	0 00	
902973304	US BANCORP DEL NEW		USB						
382 0000	09/25/2013	06/28/2011	14,030 61	9,465 23	0 00	4,565 38	0 00	0 00	
907818108	UNION PAC CORP COM		UNP						
89 0000	09/25/2013	02/03/2009	14,121 38	3,936 21	0 00	10,185 17	0 00	0 00	
949746101	WELLS FARGO & CO NEW		WFC						
412 0000	09/25/2013	Various	17,184 22	9,571 93	0 00	7,612 29	0 00	0 00	
G87210103	UTI WORLDWIDE INC ORD NPV		UTIW						
459 0000	09/25/2013	03/30/2007	7,040 93	11,284 15	0 00	-4,243 22	0 00	0 00	
912828RK8	UNITED STATES TREAS NTS 125 DUE 09-30-2013 REG								
140000 0000	09/30/2013	10/21/2011	140,000 00	139,693 75	0 00	306 25	0 00	0 00	
3620AQHZ9	GNMA POOL #736548 4 5% 02-15-2040 BEO		GNMA						
47130 7800	10/01/2013	03/18/2010	50,135 37	47,955 57	0 00	2,179 80	0 00	0 00	
3620AQHZ9	GNMA POOL #736548 4 5% 02-15-2040 BEO		GNMA						
447 0500	10/01/2013	03/18/2010	447 05	454 87	0 00	-7.82	0 00	0 00	

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CUSIP	Description	Stock or Other Symbol	Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
36176QEN0	GNMA POOL #772641 SER 2041 4% DUE 09-15-2041 REG	GNMA	327 0200	10/02/2013	09/28/2011	348 38	0 00	-21 36	0 00	0 00
36177JRX9	GNMA POOL #790501 4 DUE 01-15-2042	GNMA	2867 5600	10/02/2013	02/17/2012	3,089 35	0 00	-221.79	0 00	0 00
36203KKV5	GNMA POOL #351408 SER 2024 6.5% DUE 01-15-2024 REG	GNMA	16 5100	10/02/2013	07/08/1994	14 60	0 00	1 91	0 00	0 00
36203PBU6	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG	GNMA	41 9000	10/02/2013	12/24/1997	40 57	0 00	1 33	0 00	0 00
36204DK81	GNMA POOL #366719 SER 2024 6% DUE 02-15-2024 REG	GNMA	431 9800	10/02/2013	12/22/1997	418 01	0 00	13 97	0 00	0 00
36204FVE1	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG	GNMA	6 5800	10/02/2013	07/19/1994	6 16	0 00	0 42	0 00	0 00
36204JCL8	GNMA POOL #370975 SER 2023 6 5% DUE 12-15-2023 REG	GNMA	62 2700	10/02/2013	11/12/1993	61 76	0 00	0 51	0 00	0 00
36204JDD5	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG	GNMA	149 6600	10/02/2013	10/05/1995	141 71	0 00	7 95	0 00	0 00
3620AF4W4	GNMA POOL #729037 5% 02-15-2040 BEO	GNMA	651 2800	10/02/2013	03/19/2010	681 71	0 00	-30 43	0 00	0 00

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3620AQJB0	GNMA POOL #738558 5% 02-15-2040 BEO	GNMA	1814 4700	10/02/2013	04/15/2010	1,814 47	1,886 48	0 00	-72 01	0 00	0 00
3620ASP78	GNMA POOL #738546 4% 07-15-2041 BEO	GNMA	260 8100	10/02/2013	10/20/2011	260 81	276 99	0 00	-16 18	0 00	0 00
36224TWK2	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG	GNMA	28 3600	10/02/2013	12/06/1993	28 36	28 94	0 00	-0 58	0 00	0 00
36224VJV8	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG	GNMA	126 9600	10/02/2013	12/06/1993	126 96	129 54	0 00	-2 58	0 00	0 00
55261F104	M & T BK CORP	MTB	502 0000	10/08/2013	Various	55,435 99	32,869 56	0 00	22,566 43	0 00	0 00
55261F104	M & T BK CORP	MTB	467 0000	10/09/2013	11/16/2009	51,487 34	29,515 85	0 00	21,971 49	0 00	0 00
55261F104	M & T BK CORP	MTB	467 0000	10/10/2013	11/16/2009	52,641 51	29,515 84	0 00	23,125 67	0 00	0 00
55261F104	M & T BK CORP	MTB	186 0000	10/11/2013	11/16/2009	20,874 26	11,755 78	0 00	9,118 48	0 00	0 00
31359NTJ0	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG PASS THRU CTF DUE 03-18-2027 REG	CMO1	108 4100	10/18/2013	04/17/1997	108 41	100 47	0 00	7 94	0 00	0 00

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38375L6T2	GNMA 5% DUE 10-20-2036	CMO1									
700 8600	10/20/2013 01/07/2008		700 86				708 74	0 00	-7 88	0 00	0 00
743315103	PROGRESSIVE CORP OHIO	PGR									
2154 0000	10/22/2013 Various		57,635 72				16,350 55	0 00	41,285 17	0 00	0 00
26875P101	EOG RES INC	EOG									
642 0000	10/24/2013 03/03/2009		1,16,547 36				30,459 44	0 00	86,087 92	0 00	0 00
17309AAH2	CMO CITIMORTGAGE ALTERNATIVE LN TR SER 2006-2006-A1 CL IIA-1 5 25 03-01-21 REG	CMO1									
448 7000	10/25/2013 01/31/2008		448 70				447 79	0 00	0 91	0 00	0 00
20030N101	COMCAST CORP NEW CL A	CMCSA									
781 0000	10/25/2013 11/16/2010		37,332 32				15,902 33	0 00	21,429 99	0 00	0 00
291011104	EMERSON ELECTRIC CO	EMR									
556 0000	10/25/2013 Various		36,976 85				20,204 12	0 00	16,772 73	0 00	0 00
3620AF4W4	GNMA POOL #729037 5% 02-15-2040 BEO	GNMA									
114140 3400	10/25/2013 03/19/2010		123,842 31				119,472 82	0 00	4,369 49	0 00	0 00
384802104	W W GRAINGER INC	GWW									
139 0000	10/25/2013 11/12/1993		36,458 03				3,932 21	0 00	32,525 82	0 00	0 00
88579Y101	3M CO	MMM									
303 0000	10/25/2013 09/17/2010		37,307 74				26,000 37	0 00	11,307 37	0 00	0 00

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210805CY1 761 3200	CMO CONTINENTAL AIRLS PASS THRU TRS SER 2000-1 CTF CL A-1 8 048 5-1-22BEO 11/01/2013 10/31/2012	CMO1				761.32	881.23	0.00	-119.91	0.00	0.00
36176QEN0 266 5400	GNMA POOL #772641 SER 2041 4% DUE 09-15-2041 REG 11/04/2013 09/28/2011	GNMA				266.54	283.95	0.00	-17.41	0.00	0.00
36177JRX9 132 7800	GNMA POOL #790501 4 DUE 01-15-2042 11/04/2013 02/17/2012	GNMA				132.78	143.05	0.00	-10.27	0.00	0.00
36203KKV5 16 7100	GNMA POOL #351408 SER 2024 6 5% DUE 01-15-2024 REG 11/04/2013 07/08/1994	GNMA				16.71	14.77	0.00	1.94	0.00	0.00
36203PBU6 25 4800	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG 11/04/2013 12/24/1997	GNMA				25.48	24.67	0.00	0.81	0.00	0.00
36204DK81 16 2400	GNMA POOL #366719 SER 2024 6% DUE 02-15-2024 REG 11/04/2013 12/22/1997	GNMA				16.24	15.71	0.00	0.53	0.00	0.00
36204FVE1 6 6200	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG 11/04/2013 07/19/1994	GNMA				6.62	6.20	0.00	0.42	0.00	0.00
36204JCL8 67 6900	GNMA POOL #370975 SER 2023 6 5% DUE 12-15-2023 REG 11/04/2013 11/12/1993	GNMA				67.69	67.14	0.00	0.55	0.00	0.00
36204JDD5 137 2300	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG 11/04/2013 10/05/1995	GNMA				137.23	129.94	0.00	7.29	0.00	0.00

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3620AQJB0	GNMA POOL #736558 5% 02-15-2040 BEO	GNMA									
922 9600	11/04/2013 04/15/2010					922 96	959 59	0 00	-36 63	0 00	0 00
3620ASP78	GNMA POOL #738546 4% 07-15-2041 BEO	GNMA									
502 6300	11/04/2013 10/20/2011					502 63	533 81	0 00	-31 18	0 00	0 00
36224TWK2	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG	GNMA									
26 2400	11/04/2013 12/06/1993					26 24	26 77	0 00	-0 53	0 00	0 00
36224JV8	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG	GNMA									
127 7500	11/04/2013 12/06/1993					127 75	130 35	0 00	-2 60	0 00	0 00
140781105	CARBO CERAMICS INC COM	CRR									
92 0000	11/05/2013 06/29/2012					11,377.91	6,994 83	0 00	4 383 08	0 00	0 00
140781105	CARBO CERAMICS INC COM	CRR									
185 0000	11/06/2013 06/29/2012					22,762 30	14,065 70	0 00	8,696 60	0 00	0 00
05565QBF4	BP CAP MARKETS PLC 5 25% DUE 11-07-2013										
25000 0000	11/07/2013 10/21/2011					25,000 00	27,080.00	0 00	-2,080 00	0 00	0 00
023135106	AMAZON COM INC	AMZN									
249 0000	11/12/2013 Various					87,133 02	43,277 43	0 00	43,855 59	0 00	0 00
26875P101	EOG RES INC	EOG									
438 0000	11/12/2013 Various					73,678 73	17,313 28	0 00	56,365 45	0 00	0 00

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XX-XXX7391

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HAMDEN, CT 06518-3509

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Cusip	Description	Stock or Other Symbol	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
31359NTJ0	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG PASS THRU	CMO1	265 9700	11/18/2013	04/17/1997	265 97	246 48	0 00	19 49	0 00	0 00
38375L6T2	GNMA 5% DUE 10-20-2036	CMO1	533 6400	11/20/2013	01/07/2008	533 64	539 64	0 00	-6 00	0 00	0 00
00724F101	ADOBE SYS INC	ADBE	236 0000	11/25/2013	11/24/2010	13,381 18	6,759 96	0 00	6,621 22	0 00	0 00
009158106	AIR PRODUCTS & CHEMICALS INC COM	APD	162 0000	11/25/2013	09/26/2012	17,872 85	13,452.75	0 00	4,420 10	0 00	0 00
023135106	AMAZON COM INC	AMZN	36 0000	11/25/2013	03/02/2011	13,446 88	6,166.92	0 00	7,279 96	0 00	0 00
025816109	AMERICAN EXPRESS CO	AXP	208 0000	11/25/2013	11/16/1993	17,565 44	4,320 73	0 00	13,244 71	0 00	0 00
032654105	ANALOG DEVICES INC	ADI	336 0000	11/25/2013	Various	16,579 93	11,165 41	0 00	5,414 52	0 00	0 00
037833100	APPLE COMPUTER INC	AAPL	27 0000	11/25/2013	02/15/2011	14,186 33	9,691 07	0 00	4,495 26	0 00	0 00
057224107	BAKER HUGHES INC	BHI	122 0000	11/25/2013	12/21/2011	6,948 59	5,845.64	0 00	1,102 95	0 00	0 00

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075887109	BECTON DICKINSON & CO	BDX	130 0000	11/25/2013	12/16/1993	14,237 40	2,887 75	0 00	11,349 65	0 00	0 00
13645T100	CANADIAN PACIFIC RAILWAY LTD COM	CP	93 0000	11/25/2013	08/14/2012	14,267 44	7,863 74	0 00	6,403 70	0 00	0 00
140781105	CARBO CERAMICS INC COM	CRR	53 0000	11/25/2013	Various	6,304 22	4,023 67	0.00	2,280 55	0 00	0 00
17275R102	CISCO SYS INC	CSCO	729 0000	11/25/2013	01/10/2006	15,571 16	13,857.20	0 00	1,713 96	0 00	0 00
17309AAH2	CMO CITIMORTGAGE ALTERNATIVE LN TR SER 2006-2006-A1 CL IIA-1 5 25 03-01-21 REG	CMO1	930 0900	11/25/2013	01/31/2008	930 09	928 20	0 00	1 89	0 00	0 00
191216100	COCA COLA CO	KO	314 0000	11/25/2013	06/27/2007	12,742 05	8,212 20	0 00	4,529 85	0 00	0 00
20030N101	COMCAST CORP NEW CL A	CMCSA	301 0000	11/25/2013	Various	15,129 43	5,561 80	0 00	9,567 63	0 00	0 00
22160K105	COSTCO WHSL CORP NEW	COST	104 0000	11/25/2013	06/08/2004	13,038 41	4,155.70	0 00	8,882 71	0 00	0 00
254687106	WALT DISNEY CO	DIS	209 0000	11/25/2013	08/31/2011	14,621 25	7,112 59	0 00	7,508 66	0 00	0 00

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278642103	EBAY INC	EBAY	202 0000	11/25/2013	05/10/2012	9,946 46	8,322.62	0 00	1,623 84	0 00	0 00
291011104	EMERSON ELECTRIC CO	EMR	146 0000	11/25/2013	10/06/2008	9,834 38	5,304 88	0 00	4,529 50	0 00	0 00
30303M102	FACEBOOK INC CL A CL A	FB	159 0000	11/25/2013	05/18/2012	7,115 50	6,274 40	0 00	841 10	0 00	0 00
31428X106	FEDEX CORP	FDX	156 0000	11/25/2013	04/21/2009	21,393 69	8,164 88	0 00	13,228 81	0 00	0 00
38259P508	GOOGLE INC CL A	GOOG	22 0000	11/25/2013	08/09/2008	23,023 01	10,719 27	0 00	12,303 74	0 00	0 00
384802104	W W GRAINGER INC	GWW	71 0000	11/25/2013	11/12/1993	18,196 45	2,008 54	0 00	16,187 91	0 00	0 00
459200101	INTL BUSINESS MACHINES CORP	IBM	66 0000	11/25/2013	04/09/1998	11,794 10	3,685 67	0 00	8,108 43	0 00	0 00
478160104	JOHNSON & JOHNSON	JNJ	96 0000	11/25/2013	07/08/1994	9,196 44	2,319 62	0 00	6,876 82	0 00	0 00
478160104	JOHNSON & JOHNSON	JNJ	129 0000	11/25/2013	09/26/2012	12,357.71	8,937 33	0 00	3,420 38	0 00	0 00

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594918104	MICROSOFT CORP COM	MSFT	506 0000	11/25/2013	05/31/2006	19,039 63	11,668 62	0 00	7,371 01	0 00	0 00
641069406	NESTLE S A SPONSORED ADR REPSTG REG SH	NSRGY	312 0000	11/25/2013	11/19/2002	23,016 87	6,636 93	0 00	16,379 94	0 00	0 00
66987V109	ADR NOVARTIS AG SPONSORED ADR ISIN #US66987V1098	NVS	156 0000	11/25/2013	02/07/2005	12,404 53	7,447 66	0 00	4,956 87	0 00	0 00
674599105	OCCIDENTAL PETROLEUM CORP	OXY	128 0000	11/25/2013	Various	12,481 71	9,498.94	0 00	2,982 77	0 00	0 00
713448108	PEPSICO INC	PEP	145 0000	11/25/2013	04/17/2007	12,432 37	9,425 01	0 00	3,007.36	0 00	0 00
743315103	PROGRESSIVE CORP OHIO	PGR	507 0000	11/25/2013	07/21/2000	14,076 86	2,823 73	0 00	11,253 13	0 00	0 00
747525103	QUALCOMM INC	QCOM	143 0000	11/25/2013	12/12/2008	10,273 58	4,778 65	0 00	5,494 93	0 00	0 00
771195104	ADR ROCHE HLDG LTD SPONSORED ADR ISIN #US771195104	RHHBY	227 0000	11/25/2013	06/28/2011	15,788 18	9,470.30	0 00	6,317 88	0 00	0 00
845467109	SOUTHWESTERN ENERGY CO COM	SWN	310 0000	11/25/2013	04/27/2011	12,207 52	12,880 96	0 00	-673 44	0 00	0 00

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882508104	TEXAS INSTRUMENTS INC	TXN									
371 0000	11/25/2013 09/13/2012					15,746.26	10,698.01	0.00	5,048.25	0.00	0.00
88579Y101	3M CO	MMM									
86 0000	11/25/2013 09/17/2010					11,282.82	7,379.64	0.00	3,903.18	0.00	0.00
886547108	TIFFANY & CO NEW	TIF									
116 0000	11/25/2013 03/08/2006					9,355.96	4,210.12	0.00	5,145.84	0.00	0.00
902973304	US BANCORP DEL NEW	USB									
298 0000	11/25/2013 06/28/2011					11,693.34	7,383.87	0.00	4,309.47	0.00	0.00
949746101	WELLS FARGO & CO NEW	WFC									
321 0000	11/25/2013 05/01/2009					14,261.78	6,429.05	0.00	7,832.73	0.00	0.00
G87210103	UTI WORLDWIDE INC ORD NPV	UTIW									
365 0000	11/25/2013 03/30/2007					5,715.00	8,973.23	0.00	-3,258.23	0.00	0.00
193906AD6	CG & U FAC LN TR II SEQUENTIAL PAY CL D 4 00 BD	CMO1									
6663 0400	DUE 6-1-2018 REG 12/01/2013 11/30/1993					6,663.04	4,957.72	0.00	1,705.32	0.00	0.00
384802104	W W GRAINGER INC	GWW									
100 0000	12/02/2013 11/12/1993					25,829.89	2,828.93	0.00	23,000.96	0.00	0.00
36176QEN0	GNMA POOL #772641 SER 2041 4% DUE 09-15-2041 REG	GNMA									
684 6700	12/03/2013 09/28/2011					684.67	729.39	0.00	-44.72	0.00	0.00

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Cusip	Description	Stock or Other Symbol	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
36177JRX9	GNMA POOL #790501 4 DUE 01-15-2042	GNMA	133 2500	12/03/2013	02/17/2012	133 25	143 56	0 00	-10 31	0 00	0 00
36203KKV5	GNMA POOL #351408 SER 2024 6 5% DUE 01-15-2024 REG	GNMA	16 7200	12/03/2013	07/08/1994	16 72	14 78	0 00	1 94	0 00	0 00
36203PBU6	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG	GNMA	27 0600	12/03/2013	12/24/1997	27 06	26 20	0 00	0 86	0 00	0 00
36204DK81	GNMA POOL #366719 SER 2024 6% DUE 02-15-2024 REG	GNMA	16 3300	12/03/2013	12/22/1997	16 33	15 80	0 00	0 53	0 00	0 00
36204FVE1	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG	GNMA	7 4400	12/03/2013	07/19/1994	7 44	6 97	0 00	0 47	0 00	0 00
36204JCL8	GNMA POOL #370975 SER 2023 6 5% DUE 12-15-2023 REG	GNMA	60 8500	12/03/2013	11/12/1993	60 85	60 36	0 00	0 49	0 00	0 00
36204JDD5	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG	GNMA	966 5400	12/03/2013	10/05/1995	966 54	915 19	0 00	51 35	0 00	0 00
3620AQJ80	GNMA POOL #736558 5% 02-15-2040 BEO	GNMA	999 4500	12/03/2013	04/15/2010	999 45	1,039 12	0 00	-39 67	0 00	0 00
3620ASP78	GNMA POOL #738546 4% 07-15-2041 BEO	GNMA	581 5200	12/03/2013	10/20/2011	581 52	617 59	0 00	-36 07	0 00	0 00

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Cusip	Description	Stock or Other Symbol	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
36224TWK2	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG	GNMA	26 4100	12/03/2013	12/06/1993	26 41	26 95	0 00	-0 54	0 00	0 00
36224VJV8	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG	GNMA	128 5500	12/03/2013	12/06/1993	128 55	131 16	0 00	-2 61	0 00	0 00
384802104	W W GRAINGER INC	GWV	121 0000	12/03/2013	11/12/1993	30,928 23	3,423 00	0 00	27,505 23	0 00	0 00
14313BAE8	CARMAX AUTO OWNER 4 65000009537% DUE 08-17-2015	SPCL1	50000 0000	12/16/2013	10/30/2009	50,000 00	49,995 15	0 00	4 85	0 00	0 00
38259P508	GOOGLE INC CL A	GOOG	19 0000	12/17/2013	08/08/2008	20,389 44	9,257 56	0 00	11,131 88	0 00	0 00
38259P508	GOOGLE INC CL A	GOOG	34 0000	12/17/2013	06/27/2011	36,486 38	16,524 42	0 00	19,961.96	0.00	0 00
31359NTJ0	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG PASS THRU CTF DUE 03-18-2027 REG	CMO1	108 0000	12/18/2013	04/17/1997	108 00	100 09	0 00	7 91	0 00	0 00
38375L6T2	GNMA 5% DUE 10-20-2036	CMO1	499 5400	12/20/2013	01/07/2008	499 54	505 16	0 00	-5 62	0 00	0 00
17309AAH2	CMO CITIMORTGAGE ALTERNATIVE LN TR SER 2006-2006-A1 CL IIA-1 5 25 03-01-21 REG	CMO1	442 5300	12/25/2013	01/31/2008	442 53	441 63	0 00	0.90	0 00	0 00

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Cusip	Description		Stock or Other Symbol							
Quantity Sold	Date of Sale or Exchange	Date of Acquisition	Stock, Bonds, etc.	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld		
31428X106	FEDEX CORP		FDX							
200 0000	12/26/2013	Various		28,664 28	6,355 39	0 00	22,308 89	0 00	0 00	
31428X106	FEDEX CORP		FDX							
67 0000	12/30/2013	Various		9,597 89	1,895 42	0 00	7,702 47	0 00	0 00	
Total Long Term Sales				3,850,887 68	2,678,437 69	0 00	1,172,449.99	0.00	0.00	

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

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
INTEREST FROM PARTNERSHIPS (FROM K-1'S)	199,853.	199,853.	199,853.
NORTHERN TRUST COMPANY	1.	1.	1.
NORTHERN TRUST COMPANY	108,336.	108,336.	108,336.
TOTAL TO PART I, LINE 3	308,190.	308,190.	308,190.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
DIVIDENDS FROM PARTNERSHIPS (FROM K-1'S)	361,268.	0.	361,268.	361,268.	361,268.
NORTHERN TRUST COMPANY	224,449.	0.	224,449.	224,449.	224,449.
NORTHERN TRUST COMPANY	222.	0.	222.	222.	222.
TIFF MULTI-ASSET FUND	1,823,377.	0.	1,823,377.	1,823,377.	1,823,377.
VANGUARD	216.	0.	216.	216.	216.
TO PART I, LINE 4	2,409,532.	0.	2,409,532.	2,409,532.	2,409,532.

FORM 990-PF RENTAL EXPENSES STATEMENT 3

DESCRIPTION	ACTIVITY NUMBER	AMOUNT	TOTAL
FROM K-1'S (NET RENTAL LOSSES)		21,401.	
- SUBTOTAL -	1		21,401.
TOTAL RENTAL EXPENSES			21,401.
NET RENTAL INCOME TO FORM 990-PF, PART I, LINE 5B			-21,401.

FORM 990-PF	OTHER INCOME	STATEMENT	4
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DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
SECURITIES LITIGATION SETTLEMENT	710.	710.	0.
PARTNERSHIP INCOME	197,754.	197,754.	0.
SECURITIES LITIGATION SETTLEMENT	464.	464.	0.
TOTAL TO FORM 990-PF, PART I, LINE 11	198,928.	198,928.	0.

FORM 990-PF	LEGAL FEES	STATEMENT	5
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL	7,079.	142.	0.	6,938.
TO FM 990-PF, PG 1, LN 16A	7,079.	142.	0.	6,938.

FORM 990-PF	ACCOUNTING FEES	STATEMENT	6
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
AUDITORS	34,000.	15,000.	0.	19,000.
ACCOUNTANTS	86,300.	38,150.	0.	48,150.
TO FORM 990-PF, PG 1, LN 16B	120,300.	53,150.	0.	67,150.

FORM 990-PF	OTHER PROFESSIONAL FEES	STATEMENT	7
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT ADVISOR	87,823.	87,823.	0.	0.
INVESTMENT CUSTODIAN	8,709.	8,709.	0.	0.
INVESTMENT MANAGER	70,577.	70,577.	0.	0.
PROGRAM DEVELOPMENT	109,081.	0.	0.	109,081.
PASS THROUGH OF INVESTMENT FEES AND OTHER DEDUCTIONS	908,936.	908,936.	0.	0.
COMMUNITY LIAISONS	220,639.	0.	0.	220,639.
CAPACITY BUILDING	234,980.	0.	0.	234,980.
TECHNICAL ASSISTANCE PROVIDERS	200,172.	0.	0.	200,172.
WEBSITE DEVELOPMENT	7,519.	0.	0.	7,519.
DISCOVERY FALL CONFERENCE	62,336.	0.	0.	62,336.
DONALD DAVIS WORKSHOP	26,151.	0.	0.	26,151.
STORIES/MEDIA WORK	0.	0.	0.	0.
KNOWLEDGE MANAGEMENT	27,005.	0.	0.	27,005.
RECRUITMENT	83,630.	0.	0.	83,630.
COMMUNICATIONS	7,657.	0.	0.	7,657.
BENEFIT CONSULTANTS	4,000.	0.	0.	4,000.
TO FORM 990-PF, PG 1, LN 16C	2,059,215.	1,076,045.	0.	983,170.

FORM 990-PF	TAXES	STATEMENT	8
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN	12,489.	12,489.	0.	0.
OTHER TAXES	2,525.	2,265.	0.	260.
NYS CHARITABLE FILING FEE	1,500.	0.	0.	1,500.
EXCISE TAX	146,339.	0.	0.	0.
TO FORM 990-PF, PG 1, LN 18	162,853.	14,754.	0.	1,760.

FORM 990-PF	OTHER EXPENSES			STATEMENT	9
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
PAYROLL FEES	2,659.	0.	0.	2,659.	
DUES, FEES, MEMBERSHIPS	5,163.	0.	0.	5,163.	
TRAINING BOARD & STAFF	5,645.	0.	0.	5,645.	
OFFICE SUPPLIES	14,449.	0.	0.	14,449.	
OFFICE	5,976.	0.	0.	5,976.	
COMPUTER MAINTENANCE & SUPPLIES	40,208.	0.	0.	40,208.	
POSTAGE	6,570.	0.	0.	6,570.	
CONVENING	171,322.	0.	0.	171,322.	
TELECOMMUNICATIONS	7,842.	0.	0.	7,842.	
LIABILITY INSURANCE	34,015.	0.	0.	34,015.	
COMMUNICATIONS	824.	0.	0.	824.	
PASS-THROUGH NET RENTAL EXPENSES	21,401.	21,401.	0.	0.	
TO FORM 990-PF, PG 1, LN 23	316,074.	21,401.	0.	294,673.	

FORM 990-PF	U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS			STATEMENT	10
DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE	
SEE ATTACHED SCHEDULE - NORTHERN TRUST GOV'T BONDS	X		665,755.	665,755.	
SEE ATTACHED SCHEDULE - NORTHERN TRUST GOV'T MTG BACKED SEC.	X		446,126.	446,126.	
SEE ATTACHED SCHEDULE - NORTHERN TRUST	X		0.	0.	
VANGUARD LONG-TERM TREASURY FUND	X		6,275.	6,275.	
TOTAL U.S. GOVERNMENT OBLIGATIONS			1,118,156.	1,118,156.	
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS					
TOTAL TO FORM 990-PF, PART II, LINE 10A			1,118,156.	1,118,156.	

FORM 990-PF	CORPORATE STOCK	STATEMENT 11
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
LAUDUS MONDRIAN	0.	0.
NYES LEDGE CAPITAL OFFSHORE FUND	3,254,242.	3,254,242.
SEE ATTACHED SCHEDULE - NORTHERN TRUST EQUITIES	11,521,470.	11,521,470.
TIFF ABSOLUTE RETURN POOL II	4,771,913.	4,771,913.
TIFF MULTI-ASSET FUND	51,032,091.	51,032,091.
TOTAL TO FORM 990-PF, PART II, LINE 10B	70,579,716.	70,579,716.

FORM 990-PF	CORPORATE BONDS	STATEMENT 12
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
SEE ATTACHED SCHEDULE - NORTHERN TRUST CORPORATE BONDS	1,192,048.	1,192,048.
SEE ATTACHED SCHEDULE - NORTHERN TRUST	0.	0.
SEE ATTACHED SCHEDULE - NORTHERN TRUST	0.	0.
TOTAL TO FORM 990-PF, PART II, LINE 10C	1,192,048.	1,192,048.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT 13
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
COMMONFUND CAPITAL PEP VI	FMV	742,865.	742,865.
COMMONFUND CAPITAL PEP VII	FMV	710,558.	710,558.
COMMONFUND CAPITAL PEP VIII	FMV	86,826.	86,826.
COMMONFUND NATURAL RESOURCE PARTNERS VII	FMV	1,609,337.	1,609,337.
COMMONFUND NATURAL RESOURCE PARTNERS VIII	FMV	346,684.	346,684.
COMMONFUND NATURAL RESOURCE PARTNERS IX	FMV	160,933.	160,933.
COMMONFUND VENTURE PARTNERS IX	FMV	311,221.	311,221.
COMMONFUND VENTURE PARTNERS VII	FMV	908,261.	908,261.
COMMONFUND VENTURE PARTNERS VIII	FMV	2,522,638.	2,522,638.
COMMONFUND VENTURE PARTNERS X	FMV	58,646.	58,646.
COMMONFUND INTERNATIONAL PARTNERS V	FMV	2,801,888.	2,801,888.
COMMONFUND INTERNATIONAL PARTNERS VI	FMV	2,364,714.	2,364,714.

WILLIAM CASPAR GRAUSTEIN MEMORIAL FUND

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COMMONFUND INTERNATIONAL PARTNERS	FMV		
VII		151,112.	151,112.
POMONA CAPITAL VI	FMV	1,584,773.	1,584,773.
TIFF LIMITED PARTNERSHIP II	FMV	37,822.	37,822.
TIFF LIMITED PARTNERSHIP III	FMV	141,532.	141,532.
TIFF LIMITED PARTNERSHIP IV	FMV	680,364.	680,364.
TIFF PARTNERS V - US	FMV	1,057,419.	1,057,419.
TIFF PEP 2005	FMV	755,843.	755,843.
TIFF PEP 2006	FMV	1,298,693.	1,298,693.
TIFF PEP 2007	FMV	1,350,273.	1,350,273.
TIFF PEP 2008	FMV	736,275.	736,275.
TIFF PEP 2009	FMV	251,060.	251,060.
TIFF PEP 2010	FMV	335,773.	335,773.
TIFF PEP 2011	FMV	181,964.	181,964.
TIFF PEP 2012	FMV	146,026.	146,026.
TIFF PEP 2013	FMV	52,419.	52,419.
TIFF R&R 2008	FMV	657,060.	657,060.
TIFF R&R 2009	FMV	336,349.	336,349.
TIFF REAL ESTATE PARTNERS I	FMV	598,674.	598,674.
TIFF REAL ESTATE PARTNERS II	FMV	1,263,255.	1,263,255.
TIFF REALTY & RESOURCES LIMITED	FMV		
PARTNERSHIP I		320,670.	320,670.
TIFF REALTY & RESOURCES LIMITED	FMV		
PARTNERSHIP II		962,354.	962,354.
TIFF REALTY & RESOURCES LIMITED	FMV		
PARTNERSHIP III		1,192,446.	1,192,446.
TIFF ROF	FMV	577,198.	577,198.
TIFF SECONDARY PARTNERS	FMV	1,659,879.	1,659,879.
TIFF SPECIAL OPPORTUNITY FUND	FMV	140,060.	140,060.
TUCKERBROOK GDF FUND	FMV	1,070,109.	1,070,109.
CROW REALTY VI-A	FMV	143,040.	143,040.
MONDRIAN IEF, LP	FMV	3,780,149.	3,780,149.
LL OPPORTUNISTIC MORTGAGE FUND	FMV	49,612.	49,612.
SEE ATTACHED SCHEDULE - NORTHERN	FMV		
TRUST OTHER FIXED INCOME		115,801.	115,801.
TOTAL TO FORM 990-PF, PART II, LINE 13		34,252,575.	34,252,575.

FORM 990-PF DEPRECIATION OF ASSETS NOT HELD FOR INVESTMENT STATEMENT 14

DESCRIPTION	COST OR OTHER BASIS	ACCUMULATED DEPRECIATION	BOOK VALUE
EQUIPMENT	87,885.	67,611.	20,274.
FURNITURE	178,380.	178,380.	0.
LEASEHOLD IMPROVEMENTS	215,191.	208,180.	7,011.
TOTAL TO FM 990-PF, PART II, LN 14	481,456.	454,171.	27,285.

FORM 990-PF	OTHER ASSETS	STATEMENT	15
DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
SECURITY DEPOSITS	12,999.	12,999.	12,999.
LISC LOAN RECEIVABLE	0.	75,000.	75,000.
TO FORM 990-PF, PART II, LINE 15	12,999.	87,999.	87,999.

FORM 990-PF	PART VIII - LIST OF OFFICERS, DIRECTORS TRUSTEES AND FOUNDATION MANAGERS	STATEMENT	16
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NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
WILLIAM C GRAUSTEIN ONE HAMDEN CENTER, SUITE 2B, 2319 WHITNEY AVENUE HAMDEN, CT 06518	TRUSTEE 15.00	7,245.	0.	0.
BENJAMIN R SHUTE, JR ONE HAMDEN CENTER, SUITE 2B, 2319 WHITNEY AVENUE HAMDEN, CT 06518	TRUSTEE 3.00	3,750.	0.	0.
DAVID C OXMAN ONE HAMDEN CENTER, SUITE 2B, 2319 WHITNEY AVENUE HAMDEN, CT 06518	TRUSTEE 3.00	0.	0.	0.
DAVID M NEE ONE HAMDEN CENTER, SUITE 2B, 2319 WHITNEY AVENUE HAMDEN, CT 06518	EXECUTIVE DIRECTOR 50.00	255,650.	53,522.	0.
LISA GRAUSTEIN ONE HAMDEN CENTER, SUITE 2B, 2319 WHITNEY AVENUE HAMDEN, CT 06518	TRUSTEE 2.00	0.	0.	0.
BARBARA TINNEY ONE HAMDEN CENTER, SUITE 2B, 2319 WHITNEY AVENUE HAMDEN, CT 06518	TRUSTEE 2.00	3,750.	0.	0.

WILLIAM CASPAR GRAUSTEIN MEMORIAL FUND

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JESSICA SAGER ONE HAMDEN CENTER, SUITE 2B, 2319 WHITNEY AVENUE HAMDEN, CT 06518	TRUSTEE 2.00	2,500.	0.	0.
ANGELICA MATOS ONE HAMDEN CENTER, SUITE 2B, 2319 WHITNEY AVENUE HAMDEN, CT 06518	TRUSTEE 2.00	1,250.	0.	0.
LAURA A. BERRY ONE HAMDEN CENTER, SUITE 2B, 2319 WHITNEY AVENUE HAMDEN, CT 06518	TRUSTEE 2.00	1,875.	0.	0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		276,020.	53,522.	0.

FORM 990-PF	SUMMARY OF DIRECT CHARITABLE ACTIVITIES	STATEMENT	17
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ACTIVITY ONE

CAPACITY BUILDING, TECHNICAL ASSISTANCE AND STRATEGIC SUPPORT

THE MEMORIAL FUND PROVIDES SUPPORT, BEYOND GRANT DOLLARS, TO MANY OF ITS GRANTEES AND OTHER PARTNERS. THESE SUPPORTS HELP TO BUILD SKILLS AROUND FACILITATION, LEADERSHIP, RESULTS-BASED ACCOUNTABILITY, DATA, IMPROVING POLICIES AND PRACTICES, COMMUNITY-BASED DECISION-MAKING, AND OTHER MEANS OF ADVANCING THEIR WORK TOWARD SOCIAL GOALS.

EXPENSES

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

634,718.

FORM 990-PF	SUMMARY OF DIRECT CHARITABLE ACTIVITIES	STATEMENT	18
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ACTIVITY TWO

COMMUNITY LEADERSHIP PROGRAMS

THE COMMUNITY LEADERSHIP PROGRAMS OFFER NONPROFIT STAFF, VOLUNTEERS, BOARD MEMBERS AND MEMBERS OF THE GREATER NEW HAVEN COMMUNITY OPPORTUNITIES TO LEARN ABOUT AND DISCUSS IMPORTANT ISSUES. THROUGH MEETINGS, FULL DAY SEMINARS, AND YEAR-LONG LEADERSHIP TRAINING, PARTICIPANTS BUILD SKILLS AND

DEVELOP A NETWORK OF LEADERS WITHIN THE COMMUNITY, WORKING
ON CRITICAL SOCIAL ISSUES.

EXPENSES

TO FORM 990-PF, PART IX-A, LINE 2

254,597.

FORM 990-PF

SUMMARY OF DIRECT CHARITABLE ACTIVITIES

STATEMENT 19

ACTIVITY THREE

STONE SOUP CONFERENCE

EACH YEAR THE MEMORIAL FUND BRINGS TOGETHER ITS MANY
PARTNERS AND GRANTEEES FOR A DAY OF WORKSHOPS, PEER-TO-PEER
EXCHANGES, AND DEEPER LEARNING ABOUT A PARTICULAR ISSUE. IN
2013, THE STONE SOUP CONFERENCE FOCUSED ON LEARNING MORE
ABOUT THE IMPACT ON YOUNG CHILDREN OF RACIAL AND ECONOMIC
INEQUITIES. A NATIONAL SPEAKER PROVIDED THE KEYNOTE; MANY
LOCAL, STATE AND REGIONAL PRESENTERS ENGAGED THE
PARTICIPANTS IN A WIDE VARIETY OF LEARNING OPPORTUNITIES.

EXPENSES

TO FORM 990-PF, PART IX-A, LINE 3

72,336.

FORM 990-PF

SUMMARY OF DIRECT CHARITABLE ACTIVITIES

STATEMENT 20

ACTIVITY FOUR

NO-COST MEETING SPACE FOR CONNECTICUT NONPROFITS

THE MEMORIAL FUND PROVIDES MEETING SPACE FOR NONPROFIT
ORGANIZATIONS, AT NO OR LOW COST TO THEM, IN ORDER TO BRING
PEOPLE TOGETHER FOR TRAINING, CONSULTATION, PLANNING,
PROGRAM OVERSIGHT, EVALUATION AND OTHER ACTIVITIES THAT
IMPROVE THE STATUS OF CHILDREN AND FAMILIES IN CONNECTICUT.

EXPENSES

TO FORM 990-PF, PART IX-A, LINE 4

36,451.

FORM 990-PF

GRANT APPLICATION SUBMISSION INFORMATION
PART XV, LINES 2A THROUGH 2D

STATEMENT 21

NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTED

R. DAVID ADAMS, EXECUTIVE DIRECTOR, WILLIAM CASPAR GRAUSTEIN MEMORIAL FUND
1 HAMDEN CENTER, SUITE 2B, 2319 WHITNEY AVE
HAMDEN, CT 06518

TELEPHONE NUMBER

203-230-3330

FORM AND CONTENT OF APPLICATIONS

A BRIEF LETTER SHOULD INCLUDE A PROBLEM AND OPPORTUNITY STATEMENT, THE METHODS FOR ADDRESSING THE PROBLEM, AND ITS PROPOSED SOLUTION. ENCLOSE A CURRENT COPY OF IRS 501(C)(3) DETERMINATION LETTER. AFTER THE LETTER IS REVIEWED, AN APPLICATION FORM IS PROVIDED, WHEN APPROPRIATE, FOR COMPLETION BY THE APPLICANT.

ANY SUBMISSION DEADLINES

NO ESTABLISHED DEADLINE.

RESTRICTIONS AND LIMITATIONS ON AWARDS

THE MEMORIAL FUND WILL WORK WITH COMMUNITIES AND NONPROFIT ORGANIZATIONS THAT BENEFIT CONNECTICUT'S CHILDREN THROUGH EDUCATIONAL CHANGE IN SCHOOLS, POLICY RESEARCH AND ADVOCACY, AND INCREASED LEVELS OF COMMUNITY ENGAGEMENT AND PARENTAL INVOLVEMENT. GRANTS ARE NOT MADE TO ORGANIZATIONS THAT ARE NOT RECOGNIZED AS 501(C)(3), INDIVIDUALS, RELIGIOUS ORGANIZATIONS FOR SECTARIAN PURPOSES, CAPITAL CAMPAIGNS, POLITICAL CAUSES AND ACTIVITIES, AND SCHOLARSHIPS.

990-066

990-066

(D) - Asset disposed

* ITC, Salvage, Bonus, Commercial Revitalization Deduction, GO Zone

◆ Asset Summary

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Country	Accrued income/expense	Market value	Cost	Market	Unrealized gain/loss Translation	Total	Market value incl. accruals	%
<i>Adjustments To Cash</i>								
<i>Pending trade sales</i>								
Total adjustments to cash	0.00	- 20,553.85	- 20,553.85	0.00	0.00	0.00	-20,553.85	- 0.138%
Total Unrealized Gains						5,487,949.85		
Total Unrealized Losses						- 76,073.39		
Total	40,307.28	4,880,208.23	8,458,330.02	5,421,878.26	0.00	5,421,878.26	4,929,573.56	100.000%

Total Cost incl. Accruals

9,488,637.30

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Description Asset ID	Original Acquisition Date	Shares/PAR Local market price	Local cost/share	Accrued income/expense	Market value	Cost	Market	Unrealized gain/loss	
								Translation	Total
Common stock									
Canada - USD									
CANADIAN PAC RY LTD COM CANADIAN PACIFICRAILWAY LTD SEDOL: 2793104		1,584,000 151,320	.	525.90	239,690.88	133,504.59	106,186.29	0.00	108,186.29
8 Aug 12		533,000	84.24		80,653.56	44,900.93	35,752.63	0.00	35,752.63
7 Aug 12		482,000	84.40		72,936.24	40,879.69	32,256.55	0.00	32,256.55
10 Aug 12		200,000	84.52		30,264.00	16,904.22	13,359.78	0.00	13,359.78
13 Aug 12		146,000	84.55		22,092.72	12,345.00	9,747.72	0.00	9,747.72
9 Aug 12		103,000	84.43		15,585.96	8,695.83	6,890.13	0.00	6,890.13
6 Aug 12		100,000	82.88		15,132.00	8,287.79	6,844.21	0.00	6,844.21
14 Aug 12		20,000	84.56		3,026.40	1,691.13	1,335.27	0.00	1,335.27
CDN NAT RES LTD COM CDN NAT RES COM STK SEDOL: 2125202									
21 Dec 12		5,789,000 33,840	28.81	1,090.03	186,238.16	103,463.74	92,774.42	0.00	92,774.42
21 Dec 12		2,522,000	29.09		85,344.48	72,918.33	12,426.15	0.00	12,426.15
5 Feb 3		708,000	3.89		23,891.04	20,536.91	3,354.13	0.00	3,354.13
29 Jan 3		917,000	3.89		31,031.28	3,569.74	27,461.54	0.00	27,461.54
6 Feb 3		861,000	3.89		28,136.24	3,351.74	25,784.50	0.00	25,784.50
22 Jan 3		321,000	3.89		10,862.64	1,249.60	9,613.04	0.00	9,613.04
23 Jan 3		320,000	3.89		10,828.80	1,245.71	9,583.09	0.00	9,583.09
MEG ENERGY CORP COM STK SEDOL: B5SDK61		152,000	3.89		5,143.68	591.71	4,551.97	0.00	4,551.97
14 Jun 13		3,398,000 28,750	32.07	0.00	97,692.50	105,326.79	- 7,634.29	0.00	- 7,634.29
11 Jun 13		956,000	30.02		27,485.00	30,657.49	- 3,172.49	0.00	- 3,172.49
12 Jun 13		929,000	30.47		26,708.75	27,893.13	- 1,184.38	0.00	- 1,184.38
		848,000			24,380.00	25,840.25	- 1,460.25	0.00	- 1,460.25

Generated by Northern Trust from periodic data on 10 Jan 14



◆ Asset Detail - Taxable

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Cost Method: HIGH COST

Equities

Description Asset ID	Original Acquisition Date	Shares/PAR Local market price	Local cost/share	Accrued income/expense	Market value	Cost	Unrealized gain/loss		Total
							Market	Translation	
Common stock									
13 Jun 13		685 000	31 48		19,118 75	20,935 92	- 1,817 17	0 00	- 1,817 17
Total USD				1,615.93	533,621.54	342,295.12	191,326.42	0.00	191,326.42
Total Canada				1,615.93	533,621.54	342,295.12	191,326.42	0.00	191,326.42
France - USD									
ADR DANONE SPONSORED ADR SEDOL 2068932		12,828 000 14 520		0.00	186,262 58	195,478 74	- 9,216 18	0 00	- 9,216 18
28 Oct 13		3,763 000	15 37		54,838 76	57,839 64	- 3,200 88	0 00	- 3,200 88
29 Oct 13		3,675 000	15 48		53,381 00	56,807 40	- 3,448 40	0 00	- 3,446 40
25 Oct 13		1,955 000	15 38		28,388 60	30,021 71	- 1,635 11	0 00	- 1,635 11
27 Dec 13		1,589 000	14 41		22,781 88	22,615 90	165 98	0 00	165 98
30 Oct 13		1,345 000	15 36		18,529 40	20,658 25	- 1,128 85	0 00	- 1,128 85
30 Dec 13		521 000	14 46		7,564 92	7,535 84	29 08	0 00	29 08
Total USD				0.00	186,262.56	195,478.74	- 9,216.18	0.00	- 9,216.18
Total France				0.00	186,262.56	195,478.74	- 9,216.18	0.00	- 9,216 18
Switzerland - USD									
ADR NESTLE S A SPONSORED ADR REPSTG REG SH SEDOL B014JG9		5,330 000 73 590		0 00	392,234 70	113,380 85	278,853 85	0 00	278,853 85
18 Nov 2		4,079 000	21 27		300,173 61	88,769 32	213,404 29	0 00	213,404 29
19 Nov 2		1,216 500	21 27		89,522 24	25,877 64	63,644 60	0 00	63,644 60
15 Nov 2		34 500	21 27		2,538 85	733 89	1,804 96	0 00	1,804 96
ADR NOVARTIS AG SEDOL 2820105		2,687 000 80 380		0 00	214,373 48	121,857 86	92,515 60	0 00	92,515 60

** - Lot Level Information Not Verified

Northern Trust

Generated by Northern Trust from periodic data on 10 Jan 14

◆ Asset Detail - Taxable

Cost Method: HIGH COST

Equities

Description	Asset ID	Acquisition Date	Original Acquisition Date	Shares/PAR		Local cost/share	Accrued Income/expense	Market value	Cost	Unrealized gain/loss		Total
				Local market price	Market					Market	Translation	
Common stock												
8 Feb 5				1,900,000		47 59		152,722 00	80,411.50	62,310 50	0 00	62,310 50
21 Apr 9				417,000		35 70		33,518 46	14,884.94	18,633 52	0 00	18,633 52
6 Nov 8				283,000		47 22		22,747 54	13,362.75	9,384 79	0 00	9,384 79
7 Feb 5				67 000		47 74		5,385 46	3,198 67	2,186 78	0 00	2,186 79
ADR ROCHE HLDG LTD SPONSORED ADR ISIN #US771195104 SEDOL B014JB1				3,884,000 70 200			0.00	272,856 80	161,032 78	111,624 02	0 00	111,624 02
21 Jun 11				1,687 000		41 43		118,427 40	69,900 00	48,527 40	0 00	48,527 40
27 Jun 11				1,353 000		41 50		94,980 60	56,153 98	38,826 64	0 00	38,826 64
28 Jun 11				502,000		41.72		35,240 40	20,943 14	14,297 26	0 00	14,297 26
24 Jun 11				342,000		41 04		24,008 40	14,035 68	9,972.72	0 00	9,972 72

United States - USD

ADOBE SYS INC COM SEDOL 2008154			4,023,000 59,880			0.00	240,897.24	113,449.21	127,448.03	0.00	127,448.03
23 Nov 10			4,000,000		28.20		239,520.00	112,790.40	126,729.60	0.00	126,729.60
24 Nov 10			23,000		28.64		1,377.24	658.81	718.43	0.00	718.43
AIR PROD & CHEM INC COM SEDOL 2011602			2,775,000 111,780			1,970.25	310,189.50	181,138.00	149,051.50	0.00	149,051.50
13 Sep 5			1,000,000		56.03		111,780.00	56,027.00	55,753.00	0.00	55,753.00
12 Sep 5			700,000		55.76		78,246.00	39,035.08	39,210.92	0.00	39,210.92
18 Sep 5			600,000		56.03		67,068.00	33,620.82	33,447.18	0.00	33,447.18
26 Sep 12			216,000		83.04		24,144.48	17,937.01	6,207.47	0.00	6,207.47

*** - Lot Level Information Not Verified

◆ Asset Detail - Taxable

Cost Method: HIGH COST

Equities

Description Asset ID	Original Acquisition Date	Shares/PAR Local market price	Local cost/share	Accrued income/expense	Market value	Cost	Unrealized gain/loss		Total
							Market	Translation	
Common stock									
14 Sep 5		259.000	56.05		28,951.02	14,518.09	14,432.93	0.00	14,432.93
ALTERA CORP COM SEDOL 2021690									
4 Dec 12		5,971.000 32.530		0.00	194,236.63	191,144.50	3,092.13	0.00	3,092.13
5 Dec 12		3,255.000	32.15		105,885.15	104,634.59	1,250.56	0.00	1,250.56
2 Dec 13		988.000	31.38		31,489.04	30,378.94	1,110.10	0.00	1,110.10
3 Dec 13		948.000	32.08		30,773.38	30,347.87	425.51	0.00	425.51
		802.000	32.15		26,089.06	25,783.10	305.96	0.00	305.96
AMAZON COM INC COM SEDOL 2000019									
2 Mar 11		617.000 398.790		0.00	246,053.43	105,694.14	140,359.29	0.00	140,359.29
		617.000	171.30		246,053.43	105,694.14	140,359.29	0.00	140,359.29
AMERICAN EXPRESS CO SEDOL 2026082									
16 Nov 93		3,544.000 90.730		0.00	321,547.12	72,731.98	248,815.14	0.00	248,815.14
9 Nov 1		1,589.000	20.77		142,355.37	32,592.39	109,762.98	0.00	109,762.98
8 Jul 94		878.000	20.77		78,660.84	18,238.44	61,422.50	0.00	61,422.50
21 Apr 9		578.000	20.77		52,532.67	12,027.40	40,505.27	0.00	40,505.27
		518.000	19.08		46,998.14	9,873.75	37,124.39	0.00	37,124.39
ANALOG DEVICES INC COM SEDOL 2032067									
19 Dec 6		5,795.000 50.830		0.00	292,083.55	165,818.76	126,264.79	0.00	126,264.79
11 Feb 10		2,200.000	32.60		112,046.00	71,719.34	40,326.66	0.00	40,326.66
18 Dec 6		1,285.000	27.58		65,445.05	35,416.01	30,029.04	0.00	30,029.04
21 Apr 9		886.000	32.85		45,123.98	29,105.63	16,018.35	0.00	16,018.35
29 Sep 8		589.000	20.35		29,997.77	11,986.15	18,011.62	0.00	18,011.62
6 Nov 8		374.000	25.20		19,047.82	9,426.03	9,621.79	0.00	9,621.79
		401.000	20.36		20,422.93	8,165.60	12,257.33	0.00	12,257.33

** - Lot Level Information Not Verified

◆ Asset Detail - Taxable

Cost Method: HIGH COST

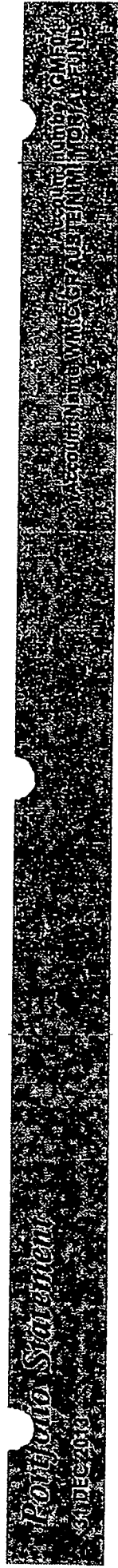
Equities

Description		Original Acquisition Date	Shares/PAR		Accrued income/expense	Market value	Cost	Unrealized gain/loss		
Asset ID	Acquisition Date		Local market price	Local cost/share				Market	Translation	Total
Common stock										
APPLE INC COM STK SEDOL 2048251			464 000		0 00	260,355 04	184,692 18	95,662 86	0 00	95,662 86
	15 Feb 11		561 110							
			280.000	358 93		157,110 80	100,500 03	56,610 77	0.00	56,610 77
1 Jun 11			184.000	348 87		103,244 24	64,192 15	39,052 09	0 00	39,052 09
BAKER HUGHES INC COM SEDOL 2072085			4,029 000		0 00	222,642.54	145,346 77	77,295 77	0 00	77,295 77
	8 Jul 9		55 260							
			1,660 000	33 71		91,731 60	55,965 57	35,766 03	0 00	35,766 03
	2 Jan 13		1,198 000	41 91		66,201 48	50,209 38	15,992 10	0 00	15,992 10
	7 Jul 9		1,171.000	33 45		64,709 46	39,171.82	25,537 64	0 00	25,537 64
BECTON DICKINSON & CO COM SEDOL 2087807			2,228,000		0.00	246,171 72	49,491 55	196,680 17	0 00	196,680 17
	20 Dec 93		110 490							
			548.000	22 21		60,327.54	12,128 54	48,199 00	0 00	48,199 00
	17 Dec 93		514 000	22 21		56,791.86	11,417 71	45,374 15	0 00	45,374 15
	27 Jul 99		450 000	22 21	-	49,720.50	9,996 05	39,724 45	0 00	39,724 45
	16 Dec 83		427 000	22 21		47,179 23	9,485 14	37,694 09	0 00	37,694 09
	22 Dec 99		291.000	22.21		32,152.59	6,464 11	25,688.48	0.00	25,688 48
CARBO CERAMICS INC COM SEDOL 2238821			914 000		0.00	106,508.42	87,892.35	38,616.07	0.00	38,616 07
	28 Jun 12		116.530							
			394.000	75 04		45,912 82	29,564 42	16,348 40	0 00	16,348 40
	27 Jun 12		190.000	74.75		22,140.70	14,201 66	7,939 04	0 00	7,939 04
	26 Jun 12		180 000	73 15		20,975.40	13,167 36	7,808 04	0 00	7,808 04
25 Jun 12		150.000	73 06		17,479.50	10,958 91	6,520 59	0 00	6,520 59	
CATERPILLAR INC COM SEDOL 2180201			2,169,000		0.00	196,966.89	103,721.77	93,245.12	0 00	93,245 12
			90,810							

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◆ Asset Detail - Taxable

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Cost Method: HIGH COST

Equities

Description		Original		Shares/PAR		Local cost/share	Accrued Income/expense	Market value	Cost	Unrealized gain/loss		Total
Asset ID	Acquisition Date	Acquisition Date		Local market price	Market					Translation		
Common stock												
CISCO SYSTEMS INC												
SEDOL 2198163				12,451,000			0 00	279,524 95	221,327 47	58,197 48	0 00	58,197 48
	26 May 9			22 450								
	10 Jan 6			7,232 000		19 01		182,358 40	137,469 47	24,888 93	0 00	24,888 93
	23 Aug 11			3,353 000		15 34		75,274 85	51,434 35	23,840 50	0 00	23,840 50
	21 Apr 9			1,111 000		17 65		24,941 95	19,609 71	5,332 24	0 00	5,332 24
	6 Nov 8			755 000		16 97		16,949 75	12,813 94	4,135 81	0 00	4,135 81
COCA COLA CO COM												
SEDOL 2206657				5,361 000			0 00	221,462 91	132,858 13	88,604 78	0 00	88,604 78
				41 310								
	26 Jun 7			3,070 000		26 02		128,821 70	79,875 26	48,946 44	0 00	46,946 44
	21 Apr 9			930 000		21 68		38,418 30	20,163 80	18,254 50	0 00	18,254 50
	29 Sep 8			590 000		25 87		24,372 90	15,264 75	9,108 15	0 00	9,108 15
	6 Nov 8			632 000		22 02		26,107 82	13,918 98	12,188 94	0 00	12,188 94
	27 Jun 7			139 000		26 15		5,742 09	3,635 34	2,106 75	0 00	2,106 75
COMCAST CORP NEW-CL A												
SEDOL 2044545				5,141 000			1,002.50	267,152 07	78,535 08	188,616 99	0 00	188,616 99
				51 985								
	9 Nov 9			3,514 000		15 09		182,605 01	53,018 88	129,586 13	0 00	129,586 13
	21 Apr 9			828 000		14 20		43,027 02	11,761 24	31,265 78	0 00	31,265 78
	6 Nov 8			563 000		16 72		29,256 30	9,412 68	19,843 62	0 00	19,843 62
	29 Sep 8			238 000		18 40		12,283 74	4,342 28	7,921 46	0 00	7,921 46

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◆ Asset Detail - Taxable

Cost Method: HIGH COST

Equities

Description		Shares/PAR			Accrued		Unrealized gain/loss		
Asset ID	Original Acquisition Date	Local market price	Local cost/share	Income/expense	Market value	Cost	Market	Translation	Total
Common stock									
COSTCO WHOLESale CORP NEW COM									
SEDOL_2701271		1,778 000		0 00	211,599.78	71,048 40	140,553 38	0 00	140,553 38
8 Jun 4		119,010							
EBAY INC COM USD0 001									
SEDOL_2293819		4,532 000		0 00	248,761.48	199,136 87	49,624 61	0 00	49,624 61
10 May 12		54 890							
17 Dec 13		3,458,000	41 20		189,899 84	142,391 00	47,308 84	0 00	47,308 84
		1,076,000	52.74		59,061 64	56,745 87	2,315 77	0 00	2,315 77
EMERSON ELECTRIC CO COM									
SEDOL_2313405		2,495 000		0.00	175,099 10	77,697 23	97,401 87	0 00	97,401 87
18 Feb 9		70 180							
21 Apr 9		1,608 000	29 91		112,849 44	48,090 62	64,758 82	0 00	64,758 82
6 Oct 8		426 000	32 50		29,896 68	13,846 83	16,049 85	0 00	16,049 85
8 Nov 8		239 000	36.33		16,773 02	8,684, 02	8,089 00	0 00	8,089 00
		222 000	31 87		15,579 96	7,075 76	8,504.20	0 00	8,504 20
FACEBOOK INC CL A CL A									
SEDOL_B7TL820		2,712,000		0 00	148,237.92	98,762 63	49,475 29	0 00	49,475 29
17 May 12		54,660							
25 May 12		1,808 000	38 00		98,825 28	68,704 00	30,121.28	0 00	30,121 28
18 May 12		758,000	32.05		41,432.28	24,297.24	17,135 04	0 00	17,135 04
		146,000	39.46		7,980.36	5,761.39	2,218 97	0 00	2,218 97
FEDEX CORP COM									
SEDOL_2142784		2,401,000		400.20	345,191.77	67,923 80	277,267 97	0 00	277,267 97
13 Oct 98		143 770							
20 Oct 98		895,000	28.29		128,674 15	25,319 37	103,354 78	0 00	103,354 78
26 Mar 1		729 000	28 29		104,808 33	20,623 26	84,185 07	0 00	84,185 07
12 Oct 98		483 000	28 29		69,440 91	13,663 97	55,776 94	0 00	55,776 94
		294 000	28.29		42,268 38	8,317 20	33,951 18	0 00	33,951 18

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◆ Asset Detail - Taxable

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Cost Method: HIGH COST

Equities

Description	Asset ID	Original Acquisition Date	Shares/PAR	Local market price	Local cost/share	Accrued income/expense	Market value	Cost	Market	Unrealized gain/loss	Total
Common stock											
GOOGLE INC CL A CL A											
SEDOL	B020QX2		314 000	1,120.710		0 00	351,902 84	119,639 52	232,263 42	0 00	232,263 42
8 Nov 8			176 000		331 23						
27 Jun 11			82 000		486.01		197,244 96	58,286 41	138,948 55	0 00	138,948 55
21 Apr 9			38 000		379 02		91,898 22	39,853 01	52,045 21	0 00	52,045 21
29 Sep 8			18 000		393 75		42,586 88	14,402 66	28,184 32	0 00	28,184 32
							20,172 78	7,087 44	13,085 34	0 00	13,085 34
GRAINGER W W INC COM											
SEDOL	2380863		988 000	255 420		0 00	252,354 96	27,949 78	224,405 18	0 00	224,405 18
12 Nov 93			988 000		28 29		252,354 96	27,949 78	224,405 18	0 00	224,405 18
INTERNATIONAL BUSINESS MACHS CORP COM											
SEDOL	2005973		1,121 000	187.570		0 00	210,265.97	62,600 53	147,665 44	0 00	147,665 44
8 Apr 98			1,121 000		55.84		210,265.97	62,600 53	147,665 44	0 00	147,665 44
JOHNSON & JOHNSON COM USD1											
SEDOL	2475833		3,843 000	91.590		0 00	351,980.37	85,186.76	266,783 61	0 00	266,783 61
16 Nov 93			1,530 000		24.16		140,132 70	36,968 92	103,163 78	0 00	103,163 78
8 Jul 94			961 000		24 16		88,017 99	23,220 35	64,797 64 *	0 00	64,797 64
4 Feb 94			888 000		24.16		81,331 92	21,456.47	59,875.45	0 00	59,875 45
27 May 93			464 000		7 65		42,497 76	3,551 02	38,946 74	0 00	38,946 74
MCGRAW HILL FINANCIAL INC											
SEDOL	2551443		2,377 000	78.200		0 00	185,881 40	157,692 64	28,188 76	0 00	28,188 76
8 Oct 13			1,040 000		65.88		81,328 00	68,490 45	12,837 55	0 00	12,837 55
9 Oct 13			615 000		65 72		48,093 00	40,416 57	7,676 43	0 00	7,676 43
11 Oct 13			391 000		67 52		30,576.20	26,399 23	4,176 97	0 00	4,176 97
10 Oct 13			331 000		67.63		25,884 20	22,386 39	3,497 81	0 00	3,497 81

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Northern Trust

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◆ Asset Detail - Taxable

Cost Method: HIGH COST

Equities

Description Asset ID	Original Acquisition Date	Shares/PAR		Local cost/share	Accrued income/expense	Market value	Cost	Unrealized gain/loss		Total
		Local market price	Market					Translation	Market	
Common stock										
MICROSOFT CORP COM SEDOL 2588173		8,647 000 37,430			0.00	323,857 21	193,383 09	130,274 12	0 00	130,274 12
21 Jun 6		5,327 000	22 88			199,389 61	122,403 81	76,985 80	0 00	76,985 80
31 May 6		1,573,000	23 06			58,877 39	36,274 17	22,603 22	0 00	22,603 22
21 Apr 9		1,040 000	18.85			38,927 20	19,608.68	19,318 52	0 00	19,318 52
6 Nov 8		707,000	21.35			26,463.01	15,096 43	11,366 58	0 00	11,366 58
MONSANTO CO NEW COM SEDOL 2654320		2,685,000 116,550			0.00	312,936 75	187,330 43	125,608 32	0 00	125,608 32
12 Nov 13		542,000	108 06			63,170 10	58,570 90	4,599 20	0 00	4,599 20
25 May 10		900 000	53 85			104,895 00	48,468 33	56,426 67	0 00	56,426 67
27 Jun 7		629,000	65 47			73,309 95	41,183.52	32,128 43	0 00	32,126 43
28 Jun 7		327 000	67 80			38,111 85	22,171 72	15,940 13	0 00	15,940 13
16 Nov 10		287 000	59 01			33,449.85	16,935 96	16,513 89	0 00	16,513 89
OCCIDENTAL PETROLEUM CORP SEDOL 2655408		2,188 000 95 100			1,399 04	207,888.60	119,258 23	88,630.37	0 00	88,630 37
8 Jul 9		1,399,000	59 20			133,044 90	82,814.22	50,230 68	0 00	50,230 68
9 Jul 9		537 000	61 07			51,088.70	32,786 09	18,272 61	0 00	18,272 61
6 Feb 3		250 000	14.59			23,775 00	3,647.92	20,127 08	0 00	20,127 08
PEPSICO INC COM SEDOL 2681511		2,484,000 82 940			1,409.87	206,022.96	129,780.20	76,232 76	0 00	76,232 76
17 Apr 7		635 000	65.00			52,666 90	41,275 06	11,391 84	0 00	11,391 84
10 Feb 10		584,000	60.36			48,436 96	35,248 43	13,188 53	0.00	13,188 53
21 Apr 9		358 000	49 21			29,692 52	17,618 33	12,074 19	0 00	12,074 19
16 Nov 10		264,000	64 08			21,896.16	16,917 09	4,979 07	0 00	4,979 07

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◆ Asset Detail - Taxable

Cost Method: HIGH COST

Equities

Description Asset ID	Acquisition Date	Original Acquisition Date	Shares/PA Local market price	Local cost/share	Accrued income/expense	Market value	Cost	Unrealized gain/loss	
								Market	Translation
Common stock									
8 Nov 8	12 Jul 81		243.000	54.83		20,154.42	13,322.89	6,831.43	0.00
			400.000	13.52		33,176.00	5,408.30	27,767.70	0.00
PROCTER & GAMBLE COM NPV SEDOL 2704407									
26 Jun 7			3,222.000		0.00	262,303.02	209,718.50	52,584.52	0.00
			81.410						
12 Nov 13			1,432.000	61.36		116,579.12	87,870.86	28,708.16	0.00
27 Jun 7			709.000	82.89		57,719.69	58,766.32	- 1,046.63	0.00
21 Apr 8			758.000	61.27		81,708.78	46,443.72	15,265.06	0.00
			323.000	51.51		26,295.43	18,637.50	9,657.93	0.00
PROGRESSIVE CORP OH COM SEDOL 2705024									
21 Jul			8,658.000		0.00	236,103.68	48,220.62	187,883.04	0.00
			27.270						
			8,658.000	5.57		236,103.68	48,220.62	187,883.04	0.00
QUALCOMM INC COM SEDOL 2714923									
12 Dec 8			2,445.000		0.00	181,541.25	81,704.81	99,836.44	0.00
			74.250						
			2,445.000	33.42		181,541.25	81,704.81	99,836.44	0.00
SOUTHWESTERN ENERGY CO COM SEDOL 2828619									
27 Apr 11			5,301.000		0.00	208,488.33	202,215.82	6,272.51	0.00
			39.330						
16 Feb 12			1,785.000	41.55		70,204.05	74,169.43	- 3,965.38	0.00
26 Apr 11			1,618.000	35.33		63,557.28	57,091.34	6,465.94	0.00
24 Aug 12			1,200.000	40.80		47,196.00	49,080.12	- 1,884.12	0.00
			700.000	31.25		27,531.00	21,874.93	5,656.07	0.00
TEXAS INSTRUMENTS INC COM SEDOL 2885409									
29 Jun 10			6,343.000		0.00	278,521.13	158,727.47	119,793.66	0.00
			43.910						
13 Sep 12			4,929.000	23.93		216,432.39	117,953.93	98,478.46	0.00
			1,414.000	28.84		62,088.74	40,773.54	21,315.20	0.00

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◆ Asset Detail - Taxable

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Cost Method: HIGH COST

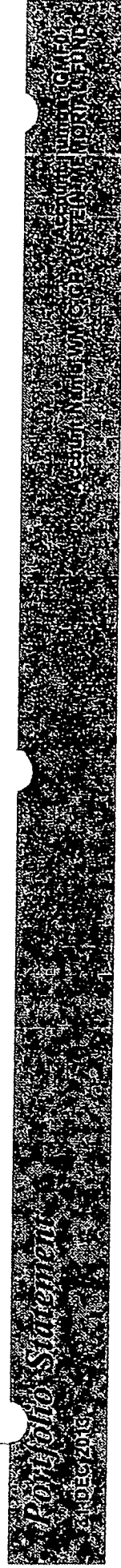
Equities

Description Asset ID	Original Acquisition Date	Shares/PAR Local market price	Local cost/share	Accrued Income/expense	Market value	Cost	Market	Unrealized gain/loss	Total
Common stock									
TIFFANY & CO COM SEDOL 2892090		1,980,000 92 780		873.20	183,704.40	62,864.94	120,839.46	0.00	120,839.46
8 Mar 6		802,000	38.29		83,887.56	32,737.28	50,950.28	0.00	50,950.28
21 Apr 9		468,000	27.19		43,235.48	12,872.54	30,562.94	0.00	30,562.94
29 Sep 8		295,000	34.51		27,370.10	10,180.13	17,189.97	0.00	17,189.97
6 Nov 8		317,000	22.85		29,411.26	7,274.99	22,136.27	0.00	22,136.27
UNION PAC CORP COM SEDOL 2914734		1,647,000 168,000		1,301.13	276,898.00	114,250.84	162,445.38	0.00	162,445.38
12 Nov 13		375,000	156.56		63,000.00	58,710.15	4,289.85	0.00	4,289.85
3 Feb 9		631,000	44.23		106,008.00	27,807.30	78,100.70	0.00	78,100.70
2 Feb 9		641,000	43.11		107,888.00	27,633.19	80,054.81	0.00	80,054.81
US BANCORP SEDOL 2736035		5,084,000 40,400		1,169.32	205,393.60	123,941.51	81,452.09	0.00	81,452.09
27 Jun 11		2,504,000	24.57		101,161.60	61,512.76	39,648.84	0.00	39,648.84
24 Jun 11		2,050,000	24.05		82,820.00	49,296.35	33,523.65	0.00	33,523.65
28 Jun 11		530,000	24.78		21,412.00	13,132.40	8,279.60	0.00	8,279.60
UTL WORLDWIDE INC ORD NPV SEDOL 2676388		6,240,000 17,560		0.00	109,574.40	117,394.99	- 7,820.59	0.00	- 7,820.59
30 Mar 7		1,028,000	24.58		18,016.56	25,223.38	- 7,206.82	0.00	- 7,206.82
2 Apr 7		976,000	24.45		17,138.58	23,866.32	- 6,727.76	0.00	- 6,727.76
29 Mar 7		771,000	24.06		13,538.76	18,553.58	- 5,014.82	0.00	- 5,014.82
17 Oct 12		866,000	13.59		15,206.96	11,768.25	3,438.71	0.00	3,438.71
18 Oct 12		782,000	13.80		13,731.92	10,788.39	2,943.53	0.00	2,943.53
16 Nov 10		461,000	19.04		8,095.16	8,778.41	- 683.25	0.00	- 683.25

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◆ Asset Detail - Taxable

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Cost Method: HIGH COST

Equities

Description Asset ID	Acquisition Date	Original Acquisition Date	Shares/PAR Local market price	Local cost/share	Accrued Income/expense	Market value	Cost	Unrealized gain/loss		Total
								Market	Translation	
Common stock										
21 Apr 9			587,000	12.73		10,307.72	7,475.33	2,832.39	0.00	2,832.39
29 Sep 8			372,000	15.98		6,532.32	5,945.01	587.31	0.00	587.31
6 Nov 8			399,000	12.52		7,008.44	4,986.32	2,010.12	0.00	2,010.12
WALT DISNEY CO SEDOL: 2270728										
			3,575,000 76,400		3,074.50	273,130.00	108,486.97	168,683.03	0.00	168,683.03
30 Aug 11			2,098,000	33.66		180,134.40	70,541.09	89,593.31	0.00	89,593.31
31 Aug 11			879,000	34.03		87,155.60	29,813.69	37,241.91	0.00	37,241.91
17 Oct 89			600,000	10.02		45,840.00	6,012.19	39,827.81	0.00	39,827.81
WELLS FARGO & CO NEW COM STK SEDOL: 2649100										
			5,490,000 45,400		0.00	249,248.00	109,954.82	139,291.18	0.00	139,291.18
1 May 9			5,490,000	20.03		249,248.00	109,954.82	139,291.18	0.00	139,291.18
YUM BRANDS INC COM SEDOL: 2098876										
			2,157,000 75,610		0.00	163,090.77	160,450.54	2,640.23	0.00	2,640.23
2 Aug 13			1,114,000	74.25		84,229.54	82,709.49	1,520.05	0.00	1,520.05
5 Aug 13			1,043,000	74.54		78,881.23	77,741.05	1,120.18	0.00	1,120.18
3M CO COM SEDOL: 2595708										
			1,488,000 140,250		0.00	205,887.00	124,808.15	80,878.85	0.00	80,878.85
16 Nov 10			978,000	84.73		137,184.50	82,881.34	54,303.16	0.00	54,303.16
17 Sep 10			490,000	85.81		68,722.50	42,046.81	28,675.69	0.00	28,675.69
Total USD					12,399.81	9,771,252.78	4,992,069.78	4,779,183.00	0.00	4,779,183.00
Total United States					12,399.81	9,771,252.78	4,992,069.78	4,779,183.00	0.00	4,779,183.00
Total common stock					14,015.74	11,370,401.84	5,928,115.13	5,444,286.71	0.00	5,444,286.71

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◆ Asset Detail - Taxable

Cost Method: HIGH COST

Equities

Description	Asset ID	Acquisition Date	Original Acquisition Date	Shares/PAR	Local market price	Local cost/share	Accrued income/expense	Market value	Cost	Market	Unrealized gain/loss	Total
Preferred stock												
United States - USD												
WELLS FARGO & CO NEW DEP SHS SER J				5,403,000			0.00	151,067.88	155,992.62	-4,924.74	0.00	-4,924.74
SEDOL: B3KRSV8				27,960								
14 Jun 11				3,036,000		27.95		84,888.56	84,856.20	30.36	0.00	30.36
9 Oct 12				898,000		30.60		25,108.08	27,478.80	-2,370.72	0.00	-2,370.72
10 Oct 12				500,000		30.85		13,980.00	15,425.00	-1,445.00	0.00	-1,445.00
21 Oct 11				415,000		28.63		11,603.40	11,879.38	-275.98	0.00	-275.98
5 Oct 12				288,000		30.59		7,998.56	8,748.74	-752.18	0.00	-752.18
20 Oct 11				268,000		28.38		7,493.28	7,604.50	-111.22	0.00	-111.22
Total USD							0.00	151,067.88	155,992.62	-4,924.74	0.00	-4,924.74
Total United States							0.00	151,067.88	155,992.62	-4,924.74	0.00	-4,924.74
Total preferred stock							0.00	151,067.88	155,992.62	-4,924.74	0.00	-4,924.74
Total equities							14,015.74	11,521,469.72	6,082,107.75	5,439,361.97	0.00	5,439,361.97

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Northern Trust

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◆ Asset Detail - Taxable

Cost Method: HIGH COST

Fixed Income

Description Asset ID	Original Acquisition Date	Local market price	Shares/PAR	Local cost/share	Accrued income/expense	Market value	Cost	Market	Unrealized gain/loss	Total
Government bonds										
UNITED STATES TREAS NTS DTD 02/28/2013										
75% DUE 02-28-2018 REG		105,000 000	87 367		267.58	102,235 56	104,835 94	- 2,600 38	0 00	- 2,600 38
SEDOL B9CJS47										
Issue Date 28 Feb 13 Rate: 0 75% Yield to Maturity. 1 403% Maturity Date 28 Feb 18										
20 Mar 13		105,000 000	89 84			102,235 56	104,835 94	- 2,600 38	0 00	- 2,600 38
UNITED STATES TREAS NTS DTD 10/31/2013										
1 75% DUE 10-31-2020 REG		100,000 000	85 938		288.08	95,937 50	98,062 50	- 2,125 00	0 00	- 2,125 00
SEDOL BG4KTN3										
Issue Date 31 Oct 13 Rate: 1 75% Yield to Maturity. 2.398% Maturity Date 31 Oct 20										
27 Nov 13		100,000 000	98 06			95,937 50	98,062 50	- 2,125 00	0 00	- 2,125 00
UNITED STATES TREAS NTS NT 4 25 DUE										
08-15-2015 REG		75,000 000	108 387		1,203.97	79,790 03	80,167 97	- 377 94	0 00	- 377 94
SEDOL B0HIP22										
Issue Date 15 Aug 05 Rate: 4.25% Yield to Maturity. 0 307% Maturity Date. 15 Aug 15										
27 Nov 13		75,000 000	106 89			79,790 03	80,167 97	- 377 85	0 01	- 377 94
Total USD					3,314.24	665,755.30	658,396.10	7,359.20	0.00	7,359.20
Total United States					3,314.24	665,755.30	658,396.10	7,359.20	0.00	7,359.20
Total government bonds					3,314.24	665,755.30	658,396.10	7,359.20	0.00	7,359.20

*** - Lot Level Information Not Verified

◆ Asset Detail - Taxable

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Cost Method: HIGH COST

Fixed Income

Description	Asset ID	Original Acquisition Date	Shares/PAK	Local market price	Local cost/share	Accrued income/expense	Market value	Cost	Market	Unrealized gain/loss	Total
Corporate bonds											
Brazil - USD											
PETROBRAS INTL FIN 2 875 DUE 02-06-2015	SEDOL BFNXXV07		85,000 000			984.29	86,275.17	86,795.50	- 520.33	0.00	- 520.33
Issue Date 6 Feb 12 Rate 2 875% Call Date 6 Feb 15 Call Price 100.00 Yield to Maturity 1 466% Maturity Date 6 Feb 15											
14 May 13			55,000 000		102.43		55,825.11	56,336.50	- 511.39	0.00	- 511.39
24 Jun 13			30,000 000		101.53		30,450.06	30,459.00	- 8.94	0.00	- 8.94
Total USD						984.29	86,275.17	86,795.50	- 520.33	0.00	- 520.33
Total Brazil						984.29	86,275.17	86,795.50	- 520.33	0.00	- 520.33
United Kingdom - USD											
WPP FIN UK 8% DUE 08-15-2014	SEDOL BSMQPL8		100,000 000			2,355.56	104,976.10	111,306.50	- 6,330.40	0.00	- 6,330.40
Issue Date: 10 Jun 09 Rate 8% Yield to Maturity, 0.983% Maturity Date, 15 Sep 14											
3 Nov 11			50,000 000		114.83		52,488.05	57,415.00	- 4,926.95	0.00	- 4,926.95
17 Jul 13			50,000 000		107.78		52,488.05	53,891.50	- 1,403.45	0.00	- 1,403.45
Total USD						2,355.56	104,976.10	111,306.50	- 6,330.40	0.00	- 6,330.40
Total United Kingdom						2,355.56	104,976.10	111,306.50	- 6,330.40	0.00	- 6,330.40
United States - USD											
AVNET INC SR NT 6.625% DUE 09-15-2018/09-12-2008	SEDOL B1DYPG8		80,000 000			1,580.56	89,642.40	90,180.00	- 537.60	0.00	- 537.60
Issue Date 12 Sep 08 Rate 6.625% Yield to Maturity, 2.023% Maturity Date 15 Sep 16											
21 Nov 12			40,000 000		113.55		44,821.20	45,420.00	- 598.80	0.00	- 598.80

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Northern Trust

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◆ Asset Detail - Taxable

Cost Method: HIGH COST

Fixed Income

Description Asset ID	Original Acquisition Date	Shares/PAR Local market price	Local cost/share	Accrued income/expense	Market value	Cost	Unrealized gain/loss		Total
							Market	Translation	
Corporate bonds									
20 Oct 11		40,000 000	111 90		44,821.20	44,760 00	61 20	0 00	61 20
BERKSHIRE HATHAWAY 1 9 DUE 01-31-2017									
SEDOL 88DS5F6		80,000 000 102 302		637 56	81,841 28	81,526 40	314 88	0 00	314 88
Issue Date 31 Jan 12 Rate 1 9% Yield to Maturity 1 138% Maturity Date 31 Jan 17									
30 Jan 12		80,000 000	101 91		81,841 28	81,526 40	314 88	0 00	314 88
BORG WARNER AUTOMOTIVE INC SR NT 8 DUE									
10-01-2019 BEO SEDOL 2851165		80,000 000 123 307		1,600 00	98,645 60	103,248 20	- 4,602 60	0 00	- 4,602 60
Issue Date 28 Sep 99 Rate 8% Yield to Maturity, 3 49% Maturity Date, 1 Oct 19									
12 Mar 13		60,000 000	130 30		73,884 20	78,180 00	- 4,195 80	0 00	- 4,195 80
1 Dec 13		20,000 000	125 34		24,661.40	25,068 20	- 406 80	0 00	- 406 80
CMO CONTINENTAL AIRLIS PASS THRU TRS SER									
2000-1 CTF CL A-1 8 048 5-1-22BEO SEDOL 2737278		61,585.200 114 370		826 06	70,434 99	66,658 36	3,776 63	0 00	3,776 63
Issue Date 15 Mar 00 Rate 8 048% Yield to Maturity: 3 745% Maturity Date: 1 May 22									
31 Oct 12		34,764 840	115 75		39,760 55	40,240 30	- 479 75	0 00	- 479 75
23 Sep 9		26,674.070	98 50		30,507 13	26,273 96	4,233 17	0 00	4,233 17
28 Sep 9		146.290	98.50		167.31	144 10	23 21	0 00	23 21
CONSTELLATION 7 25% DUE 09-01-2016									
SEDOL BG493Q1		80,000 000 113.500		1,933 33	90,800.00	92,000.00	- 1,200.00	0 00	- 1,200.00
Issue Date 15 Aug 06 Rate: 7 25% Yield to Maturity, 2 023% Maturity Date 1 Sep 16									
7 Jun 13		80,000 000	115 00		80,800 00	92,000 00	- 1,200 00	0 00	- 1,200 00

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◆ Asset Detail - Taxable

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Cost Method: HIGH COST

Fixed Income

Description		Original Acquisition Date	Shares/PAR Local market price	Local cost/share	Accrued income/expense	Market value	Cost	Unrealized gain/loss		Total
Asset ID								Market	Translation	
Corporate bonds										
CONTL AIRLS SER 1987-4A 6 9 PASS THRU CTFS DUE 07-02-2019 SEDOL 2527488										
Issue Date 23 Oct 97 Rate 6 9% Yield to Maturity 2 976% Maturity Date 2 Jul 19			21,193 930 106 000		727.13	22,465 57	23,154 37	- 688 80	0 00	- 688 80
21 Aug 12			21,193 930	109 25		22,465 57	23,154 37	- 688 80	0 00	- 688 80
EATON CORP 5 3% DUE 03-15-2017 SEDOL B1VKGCG9										
Issue Date 16 Mar 07 Rate 5.3% Yield to Maturity: 1 642% Maturity Date 15 Mar 17			40,000 000 111 375		624 22	44,550 00	45,713 20	- 1,163 20	0 00	- 1,163 20
19 Oct 11			40,000 000	114 28		44,550 00	45,713 20	- 1,163 20	0 00	- 1,163 20
FORD MTR CR CO LLC NT 8 DUE 06-01-2014 SEDOL B557CMB6										
Issue Date 2 Jun 09 Rate 8% Yield to Maturity 0.649% Maturity Date: 1 Jun 14			75,000 000 103.053		500 00	77,289 60	83,625 00	- 6,335 40	0 00	- 6,335 40
14 Jun 11			75,000 000	111 50		77,289 60	83,625 00	- 6,335 40	0 00	- 6,335 40
HOME DEPOT INC 5 4 DUE 03-01-2016 SEDOL BFN0JN7										
Issue Date 24 Mar 06 Rate 5 4% Yield to Maturity 0.875% Maturity Date 1 Mar 16			50,000 000 109 689		900 00	54,844 35	56,855 00	- 2,010 65	0 00	- 2,010 65
19 Mar 13			50,000 000	113 71		54,844 35	56,855 00	- 2,010 65	0 00	- 2,010 65
J P MORGAN CHASE & CO MEDIUM TERM SR NTSTRANCHE # SR 00208 1.1 DUE 10-15-2015 SEDOL BFZDDN2										
Issue Date 18 Oct 12 Rate 1.1% Yield to Maturity 0.885% Maturity Date 15 Oct 15			75,000 000 100 381		174.17	75,286 05	75,361 50	- 75 45	0 00	- 75 45
3 Dec 13			75,000 000	100 48		75,286 05	75,361 50	- 75 45	0 00	- 75 45

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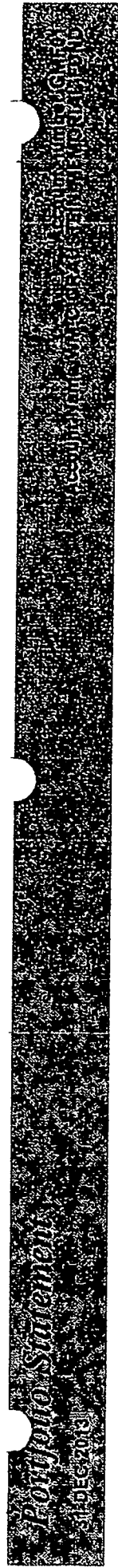
◆ Asset Detail - Taxable

Cost Method: HIGH COST

Fixed Income

Description Asset ID	Original Acquisition Date	Local market price	Shares/PAR	Local cost/share	Accrued Income/expense	Market value	Cost	Market	Unrealized gain/loss	Total
Corporate bonds										
KELLOGG CO 4 15% DUE 11-15-2019 SEDOL B433N26		50,000 000 107 052			265.14	53,526 10	56,765 50	- 3,239 40	0 00	- 3,239 40
Issue Date 19 Nov 09 Rate 4.15% Yield to Maturity 2 837% Maturity Date 15 Nov 19										
23 Jan 13		50,000 000		113 53		53,526 10	56,765 50	- 3,239 40	0 00	- 3,239 40
KRAFT FOODS INC 4 125% DUE 02-09-2016 CUSIP 50075NBB9		75,000 000 106 016			1,220 31	79,511 85	80,190 00	- 678 15	0 00	- 678 15
Issue Date 8 Feb 10 Rate 4 125% Yield to Maturity 1 222% Maturity Date 9 Feb 16										
3 Dec 13		75,000 000		106 92		79,511 85	80,190 00	- 678 15	0 00	- 678 15
STAPLES INC 9 75% DUE 01-15-2014 CUSIP 855030AJ1		100,000 000 100 312			4,495.83	100,312 00	103,125 00	- 2,813 00	0 00	- 2,813 00
Issue Date 15 Jan 09 Rate 9.75% Yield to Maturity 1 648% Maturity Date 15 Jan 14										
13 Jan 9		100,000 000		103 13		100,312 00	103,125 00	- 2,813 00	0 00	- 2,813 00
TIME WARNER CABLE 3 5% DUE 02-01-2015 SEDOL B4ZT010		60,000 000 102 745			875.00	61,647 00	61,956 00	- 309 00	0 00	- 309 00
Issue Date 11 Dec 09 Rate 3 5% Yield to Maturity 0 947% Maturity Date 1 Feb 15										
8 Aug 13		60,000 000		103 28		61,647 00	61,956 00	- 309 00	0 00	- 309 00
Total USD					16,339.31	1,000,796.79	1,020,358.53	- 19,561.74	0.00	- 19,561.74
Total United States					16,339.31	1,000,796.79	1,020,358.53	- 19,561.74	0.00	- 19,561.74
Total corporate bonds					19,679.16	1,192,048.06	1,218,460.53	- 26,412.47	0.00	- 26,412.47

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◆ Asset Detail - Taxable

Cost Method: HIGH COST

Fixed Income

Description	Asset ID	Original Acquisition Date	Local market price	Shares/IPAR	Local cost/share	Accrued income/expense	Market value	Cost	Market	Translation	Unrealized gain/loss	Total
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Government mortgage backed securities

United States - USD

FNMA POOL #AB9890 4% 07-01-2043 BEO
CUSIP 31417G7C4

Issue Date 1 Jun 13 Rate 4% Yield to Maturity 3 417% Maturity Date 1 Jul 43

16 Jul 13 74,573 440 104 19 74,573 440 248 58 76,928 54 77,696 21 - 867 67 0 00 - 867 67

FNMA REMIC TR SER 97-11 CL E 7 GTD MTG
PASS THRU CTF DUE 03-18-2027 REG
CUSIP 31359NTJ0

Issue Date 1 Feb 97 Rate 7% Yield to Maturity 2.246% Maturity Date 18 Mar 27

17 Apr 97 11,782 880 92 67 11,782 880 68 73 13,360 86 10,919 20 2,441 66 2,441 66

GNMA POOL #338250 SER 2022 7% DUE
11-15-2022 REG
CUSIP 36224TWK2

Issue Date 1 Nov 92 Rate 7% Yield to Maturity 3.784% Maturity Date 15 Nov 22

6 Dec 93 2,453 200 102 03 2,453 200 7 63 2,678 70 2,503 04 175 66 175 66

GNMA POOL #339676 SER 2022 7% DUE
11-15-2022 REG
CUSIP 36224JV8

Issue Date 1 Nov 92 Rate 7% Maturity Date 15 Nov 22

6 Dec 93 8,623 420 102 03 8,623 420 50 30 8,652 05 8,798 59 - 146 54 0 00 - 146 54

GNMA POOL #351408 SER 2024 8 5% DUE
01-15-2024 REG
CUSIP 36203KKV5

Issue Date 1 Jan 94 Rate 6 5% Yield to Maturity 3 241% Maturity Date 15 Jan 24

111 825 11 29 2,330 80 1,842 69 488 11 0 00 488 11

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Northern Trust

◆ Asset Detail - Taxable

Cost Method: HIGH COST

Fixed Income

Description	Asset ID	Original Acquisition Date	Local market price	Shares/PAIR	Local cost/share	Accrued income/expense	Market value	Cost	Market	Unrealized gain/loss	Total
Government mortgage backed securities											
8 Jul 94			2,084.330		88 41		2,330 80	1,842 69	488 11	0 00	488 11
GNMA POOL #354751 SER 2024 6% DUE			2,798 380			13 99	3,117 40	2,709 63	407 77	0 00	407 77
02-15-2024 REG			111 400								
CUSIP 36203PBU6											
Issue Date 1 Feb 94 Rate: 6% Yield to Maturity 2 715% Maturity Date 15 Feb 24											
24 Dec 97			2,798 380		96 83		3,117 40	2,709 63	407 77	0 00	407 77
GNMA POOL #368719 SER 2024 6% DUE			2,477 250			12 38	2,760 85	2,397 14	363 71	0 00	363 71
02-15-2024 REG			111 448								
CUSIP 36204DXB1											
Issue Date 1 Mar 94 Rate: 6% Yield to Maturity 2 909% Maturity Date 15 Feb 24											
22 Dec 97			2,477 250		96 77		2,760 85	2,397 14	363 71	0 00	363 71
GNMA POOL #368813 SER 2023 7% DUE			1,135.190			6 62	1,252 39	1,062 85	189 54	0 00	189 54
10-15-2023 REG			110.324								
CUSIP 36204FVE1											
Issue Date 1 Nov 93 Rate: 7% Maturity Date 15 Oct 23											
18 Jul 94			1,135.190		93.63		1,252.39	1,062.85	189 54	0 00	189 54
GNMA POOL #370975 SER 2023 6.5% DUE			7,178.890			20.74	8,009 24	7,120 69	888 55	0 00	888 55
12-15-2023 REG			111.565								
CUSIP 36204JCL8											
Issue Date 1 Dec 93 Rate: 6 5% Yield to Maturity 3 307% Maturity Date 15 Dec 23											
12 Nov 93			7,178 990		99 19		8,009.24	7,120 69	888.55	0 00	888 55
GNMA POOL #371000 SER 2024 6% DUE			11,177 830			55 89	12,450 76	10,584 04	1,866 72	0 00	1,866 72
01-15-2024 REG			111.388								
CUSIP 36204JDD5											
Issue Date 1 Jan 94 Rate: 6% Yield to Maturity 2 693% Maturity Date 15 Jan 24											

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◆ Asset Detail - Taxable

Cost Method: HIGH COST

Fixed Income

Description	Asset ID	Original Acquisition Date	Local market price	Shares/PAR	Local cost/share	Accrued Income/expense	Market value	Cost	Market	Unrealized gain/loss	Total
										Translation	
Government mortgage backed securities											
5 Oct 95			11,177.830		84.69		12,450.76	10,584.04	1,866.72	0.00	1,866.72
GNMA POOL #698223 4% 08-15-2038 BEO			77,725.390			259.09	80,867.83	84,793.55	- 3,925.72	0.00	- 3,925.72
CUSIP 36296QVQ9			104.043								
Issue Date 1 Jun 09 Rate 4% Yield to Maturity 3.197% Maturity Date 15 Jun 39											
20 Mar 13			77,725.390		109.09		80,867.83	84,793.55	- 3,925.72	0.00	- 3,925.72
GNMA POOL #736558 5% 02-15-2040 BEO			55,391.190			230.80	60,280.02	57,589.53	2,690.49	0.00	2,690.49
CUSIP 3620AQJB0			108.826								
Issue Date 1 Feb 10 Rate 5% Yield to Maturity 3.007% Maturity Date 15 Feb 40											
15 Apr 10			55,391.190		103.87		60,280.02	57,589.53	2,690.49	0.00	2,690.49
GNMA POOL #738546 4% 07-15-2041 BEO			44,244.160			147.48	46,033.84	46,988.68	- 954.84	0.00	- 954.84
CUSIP 3820ASP78			104.045								
Issue Date 1 Jul 11 Rate 4% Yield to Maturity 3.224% Maturity Date 15 Jul 41											
20 Oct 11			44,244.160		108.20		46,033.84	46,988.68	- 954.84	0.00	- 954.84
GNMA POOL #772641 SER 2041 4% DUE			48,795.650			162.65	50,768.46	51,982.63	- 1,214.17	0.00	- 1,214.17
09-15-2041 REG			104.043								
CUSIP 38176QEN0											
Issue Date 1 Sep 11 Rate 4% Yield to Maturity 3.21% Maturity Date 15 Sep 41											
28 Sep 11			48,795.650		108.53		50,768.46	51,982.63	- 1,214.17	0.00	- 1,214.17
GNMA POOL #790501 4 DUE			72,902.920			243.01	75,850.39	76,541.52	- 2,691.13	0.00	- 2,691.13
01-15-2042			104.043								
CUSIP 36177JRX8											
Issue Date 1 Jan 12 Rate 4% Yield to Maturity 3.256% Maturity Date 15 Jan 42											
17 Feb 12			72,902.920		107.73		75,850.39	76,541.52	- 2,691.13	0.00	- 2,691.13

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◆ Asset Detail - Taxable

Cost Method: HIGH COST

Fixed Income

Description	Asset ID	Original Acquisition Date	Local market price	Shares/PAR	Local cost/share	Accrued income/expense	Market value	Cost	Market	Unrealized gain/loss	Total
Government mortgage backed securities											

GNMA 5% DUE 10-20-2036
CUSIP 38375L6T2
881.980
100.193
883.68
891.91
3.68
883.68
891.91
- 8 23
0.00
- 8 23

Issue Date 1 Dec 07 Rate 5% Yield to Maturity 1 871% Maturity Date 20 Oct 38

7 Jan 8
881.980
101.13
883.68
891.91
- 8 23
0.00
- 8 23

Total USD
1,542.87
446,125.81
446,421.90
- 296.09
0.00
- 296.09

Total United States
1,542.87
446,125.81
446,421.90
- 296.09
0.00
- 296.09

Total government mortgage backed securities
1,542.87
446,125.81
446,421.90
- 296.09
0.00
- 296.09

Asset backed securities

United States - USD

AMERICREDIT 2 85% DUE 08-08-2016
CUSIP 03064MAE8
70,000,000
101.686
71,180.20
72,242.19
127.46
71,180.20
- 1,061.99
0.00
- 1,061.99

Issue Date 2 Feb 11 Rate 2 85% Yield to Maturity 0 687% Maturity Date 8 Aug 16

2 Aug 12
70,000,000
103.20
71,180.20
72,242.19
- 1,061.99
0.00
- 1,061.99

CG & U FAC LN TR II SEQUENTIAL PAY CL D
4 00 BD DUE 6-1-2018 REG
CUSIP 193906AD6
26,118.850
82.000
21,417.46
19,434.07
87.06
21,417.46
1,983.39
0.00
1,983.39

Issue Date 9 May 88 Rate 4% Maturity Date 1 Jun 18

30 Nov 93
26,118.850
74.41
21,417.46
19,434.07
- 1,983.39
0.00
1,983.39

CONTINENTAL AIRLS PASS THRU TRS CTF
1988-1 CL A 6 648 3-15-2019 BEO
SEDOL 2150992
7,404.660
105.120
7,783.78
7,108.48
144.94
7,783.78
675.30
0.00
675.30

Issue Date 20 Feb 98 Rate 6 648% Yield to Maturity 2.439% Maturity Date 15 Mar 19

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◆ Asset Detail - Taxable

Cost Method: HIGH COST

Fixed Income

[illegible]

United States - USD

CMO CITIMORTGAGE ALTERNATIVE LN TR SER	15,183,930	66.43	15,420.02	15,153.07	266.95	0.00	266.95
2008-2006-A1 CL IIA-1 5 25 03-01-21 REG	101,555						
CUSIP: 17309AAH2							
Issue Date 1 Apr 06 Rate 5 25% Yield to Maturity: 4 301% Maturity Date 25 Mar 21							
31 Jan 8	15,183,930	99.80	15,420.02	15,153.07	266.95	0.00	266.95
Total USD		66.43	15,420.02	15,153.07	266.95	0.00	266.95
Total United States		66.43	15,420.02	15,153.07	266.95	0.00	266.95
Total non-government backed c.m.o.s		66.43	15,420.02	15,153.07	266.95	0.00	266.95
Total fixed income	24,982.16		2,419,730.63	2,437,216.34	- 17,485.71	0.00	- 17,485.71

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◆ Asset Detail - Taxable

Cost Method: HIGH COST

All Other

Description	Asset ID	Acquisition Date	Original Acquisition Date	Shares/PAR	Local market price	Local cost/share	Income/expense	Accrued income/expense	Market value	Cost	Market	Unrealized gain/loss	Total
Recoverable taxes													
USD - United States dollar						1.0000		1,321.53	0.00	0.00	0.00	0.00	0.00
Total recoverable taxes - all currencies								1,321.53	0.00	0.00	0.00	0.00	0.00
Total recoverable taxes - all countries								1,321.53	0.00	0.00	0.00	0.00	0.00
Total recoverable taxes								1,321.53	0.00	0.00	0.00	0.00	0.00
Total all other								1,321.53	0.00	0.00	0.00	0.00	0.00

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◆ Asset Detail - Taxable

Cost Method: HIGH COST

Cash and Cash Equivalents

Description Asset ID	Original Acquisition Date	Shares/PAR Local market price	Exchange rate	Accrued income/expense	Market value	Cost	Market	Unrealized gain/loss Translation	Total
Invested cash									
USD - United States dollar			1.0000	7.85	959,559.78	859,559.78	0.00	0.00	0.00
Total Invested cash - all currencies				7.85	959,559.78	959,559.78	0.00	0.00	0.00
Total Invested cash - all countries				7.85	959,559.78	959,559.78	0.00	0.00	0.00
Total Invested cash				7.85	959,559.78	959,559.78	0.00	0.00	0.00
Total cash and cash equivalents				7.85	959,559.78	959,559.78	0.00	0.00	0.00

** - Lot Level Information Not Verified

◆ Asset Detail - Taxable

Cost Method: HIGH COST

Adjustments To Cash

Description	Asset ID	Original Acquisition Date	Shares/PAR	Local market price	Exchange rate	Accrued income/expense	Market value	Cost	Market	Unrealized gain/loss	Total
Pending trade purchases											
USD - United States dollar			1.0000			0.00	- 30,151.74	- 30,151.74	0.00	0.00	0.00
Total pending trade purchases - all currencies						0.00	- 30,151.74	- 30,151.74	0.00	0.00	0.00
Total pending trade purchases - all countries						0.00	- 30,151.74	- 30,151.74	0.00	0.00	0.00
Total pending trade purchases						0.00	- 30,151.74	- 30,151.74	0.00	0.00	0.00
Pending trade sales											
USD - United States dollar			1.0000			0.00	9,597.89	9,597.89	0.00	0.00	0.00
Total pending trade sales - all currencies						0.00	9,597.89	9,597.89	0.00	0.00	0.00
Total pending trade sales - all countries						0.00	9,597.89	9,597.89	0.00	0.00	0.00
Total pending trade sales						0.00	9,597.89	9,597.89	0.00	0.00	0.00
Total adjustments to cash						0.00	- 20,553.85	- 20,553.85	0.00	0.00	0.00
Total unrealized gain for lotted securities										5,520,732.79	
Total unrealized loss for lotted securities										- 98,858.53	
Total unrealized gain for non-lotted securities										0.00	
Total unrealized loss for non-lotted securities										0.00	
Grand Total by Lots						40,307.28	14,880,206.28	9,458,330.02	5,421,876.24	0.02	5,421,876.26
Grand Total							14,880,206.28	9,458,330.02	5,421,876.26	0.00	5,421,876.26

*** - Lot Level Information Not Verified

Northern Trust

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