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Return of Private Foundation

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

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Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf.

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning

, and ending

Name of foundation DAVE RICKEY & DAUGHTERS FOUNDATION		A Employer identification number 11-6574096
Number and street (or P.O. box number if mail is not delivered to street address) 15629 BOULDER MOUNTAIN ROAD	Room/suite	B Telephone number (615) 377-4600
City or town, state or province, country, and ZIP or foreign postal code POWAY, CA 92064		C If exemption application is pending, check here ☐
G Check all that apply: ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change		D 1. Foreign organizations, check here ☐ 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 foundation		E 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 (from Part II, col. (c), line 16) \$ 12,703,542.	J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

Part I Analysis of Revenue and Expenses

(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a).)

	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received			N/A	
2 Check ☒ if the foundation is not required to attach Sch. B				
3 Interest on savings and temporary cash investments	5,085.	5,085.		STATEMENT 1
4 Dividends and interest from securities	257,162.	257,162.		STATEMENT 2
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	628,196.			
b Gross sales price for all assets on line 6a	5,185,425.			
7 Capital gain net income (from Part IV, line 2)		628,196.		
8 Net short-term capital gain				
9 Income modifications				
10a Gross sales less returns and allowances				
b Less: Cost of goods sold				
11 Other income	<8,327.>	<8,327.>		STATEMENT 3
12 Total. Add lines 1 through 11	882,116.	882,116.		
13 Compensation of officers, directors, trustees, etc.	34,008.	0.		34,008.
14 Other employee salaries and wages				
15 Pension plans, employee benefits				
16a Legal fees STMT 4	5,913.	0.		5,913.
b Accounting fees STMT 5	23,750.	17,812.		5,938.
c Other professional fees STMT 6	119,823.	119,823.		0.
17 Interest				
18 Taxes STMT 7	25,418.	9,133.		85.
19 Depreciation and depletion				
20 Occupancy				
21 Travel, conferences, and meetings				
22 Printing and publications				
23 Other expenses STMT 8	8.	0.		8.
24 Total operating and administrative expenses. Add lines 13 through 23	208,920.	146,768.		45,952.
25 Contributions, gifts, grants paid	600,000.			600,000.
26 Total expenses and disbursements. Add lines 24 and 25	808,920.	146,768.		645,952.
27 Subtract line 26 from line 12:				
a Excess of revenue over expenses and disbursements	73,196.			
b Net investment income (if negative, enter -0-)		735,348.		
c Adjusted net income (if negative, enter -0-)			N/A	

Part II Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	326,933.	559,576.	559,576.
	3 Accounts receivable ▶ Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶ Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶ Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock			
	c Investments - corporate bonds			
	11 Investments - land, buildings, and equipment basis ▶ Less: accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other STMT 9	9,707,990.	9,612,799.	12,143,966.
	14 Land, buildings, and equipment basis ▶ Less: accumulated depreciation ▶			
15 Other assets (describe ▶ <u>ARTWORK</u>)	56,375.	0.	0.	
16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item 1)	10,091,298.	10,172,375.	12,703,542.	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
22 Other liabilities (describe ▶)				
23 Total liabilities (add lines 17 through 22)	0.	0.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	0.	0.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
29 Retained earnings, accumulated income, endowment, or other funds	10,091,298.	10,172,375.		
30 Total net assets or fund balances	10,091,298.	10,172,375.		
31 Total liabilities and net assets/fund balances	10,091,298.	10,172,375.		

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	10,091,298.
2 Enter amount from Part I, line 27a	2	73,196.
3 Other increases not included in line 2 (itemize) ▶ <u>UNREALIZED GAINS/(LOSSES)</u>	3	7,881.
4 Add lines 1, 2, and 3	4	10,172,375.
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	10,172,375.

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 5,185,425.		4,557,229.	628,196.

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			628,196.

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	628,196.
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	831,145.	11,499,227.	.072278
2011	696,317.	12,104,115.	.057527
2010	938,919.	11,781,677.	.079693
2009	1,787,119.	11,345,103.	.157523
2008	3,778,477.	16,329,856.	.231385

2 Total of line 1, column (d)	2	.598406
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	.119681
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	12,075,385.
5 Multiply line 4 by line 3	5	1,445,194.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	7,353.
7 Add lines 5 and 6	7	1,452,547.
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.	8	645,952.

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b	1	14,707.
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	0.
3	Add lines 1 and 2	3	14,707.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0.
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	14,707.
6	Credits/Payments:		
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	9,841.
b	Exempt foreign organizations - tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d	7	9,841.
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 SEE STATEMENT 10	9	4,866.
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	
11	Enter the amount of line 10 to be: Credited to 2014 estimated tax ☐ Refunded ☐	11	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? 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?		
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) ☐ 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

N/A

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 ► N/A	13	X	
14	The books are in care of ► LATTIMORE, BLACK, MORGAN, & CAIN PC Telephone no. ► (615) 377-4600 Located at ► PO BOX 1869 5250 VIRGINIA WAY, BRENTWOOD, TN ZIP+4 ► 37024-1869			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year ► 15 N/A			
16	At any time during calendar year 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	N/A	1b
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 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? If "Yes," list the years ►	☐ Yes ☒ No	
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.)	N/A	2b
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ►		
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.)	N/A	3b
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?		4b X

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

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

6b

X

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

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

☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

7b

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
DAVID M. RICKEY 15629 BOULDER MOUNTAIN ROAD POWAY, CA 92064	PRESIDENT/DIRECTOR 5.00	19,032.	0.	0.
BRENDA SJODIN RICKEY 15629 BOULDER MOUNTAIN ROAD POWAY, CA 92064	DIRECTOR 5.00	14,976.	0.	0.

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

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

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

0

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors *(continued)***3** Five highest-paid independent contractors for professional services. If none, enter "NONE."

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

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

0

Part IX-A Summary of Direct Charitable Activities

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

	Expenses
1 N/A	
2	
3	
4	

Part IX-B Summary of Program-Related Investments

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.

	Amount
1 N/A	
2	
All other program-related investments. See instructions.	
3	

Total. Add lines 1 through 3

0.

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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	11,591,747.
b	Average of monthly cash balances	1b	667,527.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	12,259,274.
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	12,259,274.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	183,889.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	12,075,385.
6	Minimum investment return. Enter 5% of line 5	6	603,769.

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	603,769.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	14,707.
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	14,707.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	589,062.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	589,062.
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	589,062.

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	645,952.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	645,952.
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	645,952.

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				589,062.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2013:				
a From 2008	2,970,656.			
b From 2009	1,224,742.			
c From 2010	366,028.			
d From 2011	101,000.			
e From 2012	262,427.			
f Total of lines 3a through e	4,924,853.			
4 Qualifying distributions for 2013 from Part XII, line 4: ▶ \$	645,952.			
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				589,062.
e Remaining amount distributed out of corpus	56,890.			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	4,981,743.			
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	2,970,656.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	2,011,087.			
10 Analysis of line 9:				
a Excess from 2009	1,224,742.			
b Excess from 2010	366,028.			
c Excess from 2011	101,000.			
d Excess from 2012	262,427.			
e Excess from 2013	56,890.			

N/A

☐ 4942(j)(3) or ☐ 4942(j)(5)

(4) Gross investment income

[illegible]

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

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a <i>Paid during the year</i>				
BRENDA AND DAVE RICKEY FOUNDATION 15629 BOULDER MOUNTAIN ROAD POWAY, CA 920642145	NONE	501(C)(3)	FUNDS FOR DISCRETIONARY USE	500,000.
DIOCESE OF SAN DIEGO 3888 PADUCAH DRIVE SAN DIEGO, CA 92117	NONE	CHURCH	FUNDS FOR DISCRETIONARY USE	100,000.
Total			▶ 3a	600,000.
b <i>Approved for future payment</i>				
NONE				
Total			▶ 3b	0.

Enter gross amounts unless otherwise indicated.

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

[illegible]

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 FROM ENERGY TRANSFER PARTNERS	P	VARIOUS	12/31/13
b FROM ENERGY TRANSFER EQUITY, L.P	P	VARIOUS	12/31/13
c SEE ATTACHED MERRILL LYNCH (6YJ-04330)	P	VARIOUS	12/31/13
d SEE ATTACHED MERRILL LYNCH (6YJ-04330)	P	VARIOUS	12/31/13
e 73.000 SHS ABBOTT LABS	P	10/17/08	01/15/13
f 73.000 SHS ABBVIE INC	P	01/08/13	02/26/13
g PTP - 148.000 SHS KINDER MORGAN ENERGY	P	10/23/08	04/23/13
h PTP - 276.000 SHS ENTERPRISE PRDTS PRTN LP	P	10/20/08	04/23/13
i PTP - 799.000 SHS LINN ENERGY LLC	P	12/31/12	12/17/13
j SEE ATTACHED MERRILL LYNCH (6YJ-04323)	P	VARIOUS	12/31/13
k SEE ATTACHED MERRILL LYNCH (6YJ-04324)	P	VARIOUS	12/31/13
l SEE ATTACHED MERRILL LYNCH (6YJ-04324) WASH ADJ.	P	VARIOUS	12/31/13
m SEE ATTACHED MERRILL LYNCH (6YJ-04324)	P	VARIOUS	12/31/13
n SEE ATTACHED MERRILL LYNCH (6YJ-04324) WASH ADJ.	P	VARIOUS	12/31/13
o SEE ATTACHED MERRILL LYNCH (6YJ-04327)	P	VARIOUS	12/31/13

(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 2,291.			2,291.
b		268.	<268.>
c 311,699.		315,863.	<4,164.>
d 614,674.		474,226.	140,448.
e 2,421.		4,035.	<1,614.>
f 2,704.		2,482.	222.
g 13,648.		7,562.	6,086.
h 17,003.		6,294.	10,709.
i 23,330.		24,442.	<1,112.>
j 28,711.		35,042.	<6,331.>
k 1,472,545.		1,482,024.	<9,479.>
l 3,308.			3,308.
m 1,290,637.		1,191,209.	99,428.
n 11,088.			11,088.
o 248,768.		265,694.	<16,926.>

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			2,291.
b			<268.>
c			<4,164.>
d			140,448.
e			<1,614.>
f			222.
g			6,086.
h			10,709.
i			<1,112.>
j			<6,331.>
k			<9,479.>
l			3,308.
m			99,428.
n			11,088.
o			<16,926.>

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

DAVE RICKEY & DAUGHTERS FOUNDATION

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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	SEE ATTACHED MERRILL LYNCH (6YJ-04327) WASH ADJ.	P	VARIOUS	12/31/13
b	SEE ATTACHED MERRILL LYNCH (6YJ-04327)	P	VARIOUS	12/31/13
c	SEE ATTACHED MERRILL LYNCH (6YJ-04327) WASH ADJ.	P	VARIOUS	12/31/13
d	SEE ATTACHED MERRILL LYNCH (6YJ-04328)	P	VARIOUS	12/31/13
e	1,718.000 SHS PEREGRINE SEMICONDUCTOR	P	VARIOUS	11/27/13
f	ECOATM INC	P	VARIOUS	07/29/13
g	ARTWORK	P	VARIOUS	08/31/13
h	FROM FRANCISCO III CAYMAN	P	VARIOUS	12/31/13
i	FROM ADVANCED EQUITIES - SOLOFOCUS K-1	P	VARIOUS	12/31/13
j	SELECTINVEST ARV LTD. (ML 6YJ-04328)	P	VARIOUS	03/01/13
k	SELECTINVEST ARV LTD. (ML 6YJ-04328)	P	VARIOUS	12/01/13
l	FROM ADVANCED EQUITIES - SOLOFOCUS K-1-SYNDICATIO	P	VARIOUS	12/31/13
m	CAPITAL GAINS DIVIDENDS			
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 42.			42.
b 280,589.		341,183.	<60,594.>
c 114.			114.
d 72,463.		67,151.	5,312.
e 15,109.		18,743.	<3,634.>
f 476,499.		80,002.	396,497.
g 81,000.		56,375.	24,625.
h 2,991.			2,991.
i		19,804.	<19,804.>
j 158,081.		128,436.	29,645.
k 45,768.		35,205.	10,563.
l		1,189.	<1,189.>
m 9,942.			9,942.
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			42.
b			<60,594.>
c			114.
d			5,312.
e			<3,634.>
f			396,497.
g			24,625.
h			2,991.
i			<19,804.>
j			29,645.
k			10,563.
l			<1,189.>
m			9,942.
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	628,196.
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



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2013 ANNUAL STATEMENT SUMMARY

The following sections are provided to facilitate your review and the preparation of your tax return.

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In calculating gain (loss), unless otherwise noted, it was assumed that the oldest position was liquidated first, and that you have made an election to amortize the premium paid on the purchase of taxable bonds. Under the Cost Basis Reporting Regulations, brokers need not track wash sale activity for substantially identical securities, transactions across accounts, or between covered and non-covered securities. However, you as a taxpayer still have to track and report wash sales as you have in the past which would include all of the aforementioned transaction types. Securities distributed from a retirement account reflect the tax basis on the date of distribution. Other methods for calculating gain (loss) are available. The cost basis for most Original Issue Discount ("OID") obligations includes the accretion of OID. For purposes of allocating original purchase price to the components of an equity unit consisting of a purchase contract and a debt security subject to a remarketing event, we assumed that the fair market value of the debt security on purchase date was equal to its adjusted issue price. The difference between your original cost and the amount allocable to the debt component was allocated to the purchase contract. In making adjustments to the cost basis of the purchase contract, it was assumed that the unit holder included contract adjustment payments in income when received.

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2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
SHORT TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.								
COVERED TRANSACTIONS - 1099-B Line 6b. (cost basis reported to the IRS)								
ABB LTD 1454 0000	SPON ADR Sale	04/25/13	05/13/13	32,205.51	33,349.07	0.00	(1,143.56)	
CISCO SYSTEMS INC 3151 0000	COM Sale	05/16/13	12/17/13	66,102.48	75,129.55	0.00	(9,027.07)	
DIGITAL RLTY TR INC 680 0000	TR Sale	09/23/13	12/17/13	31,426.08	37,639.46	0.00	(6,213.38)	
L BRANDS INC 176 0000 559 0000	INC Sale Sale	04/25/13 04/25/13	08/26/13 09/04/13	10,392.96 32,522.54	8,896.71 28,257.18	0.00 0.00	1,496.25 4,265.36	
	Security Subtotal			42,915.50	37,153.89	0.00	5,761.61	
POTASH CORP SASKATCHEWAN 2157,0000	Sale	11/04/13	73755L107 12/17/13	67,600.19	70,077.03	0.00	(2,476.84)	

DAVE RICKEY & DAUGHTERS

2013 ANNUAL STATEMENT SUMMARY 2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
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STAPLES INC			CUSIP Number 855030102					
2498 0000	Sale	02/22/13	12/13/13	38,611.67	33,503.43	0.00	5,108.24	
2163 0000	Sale	02/22/13	12/17/13	32,837.45	29,010.37	0.00	3,827.08	
	Security Subtotal			71,449.12	62,513.80	0.00	8,935.32	

Covered Short Term Capital Gains and Losses Subtotal

(4,163.92)

NET SHORT TERM CAPITAL GAINS AND LOSSES

(4,163.92)

LONG TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.

COVERED TRANSACTIONS - 1099-B Line 6b. (cost basis reported to the IRS)

ABBOTT LABS			CUSIP Number 002824100					
613.0000	Sale	02/15/11	01/15/13	20,332.28	13,627.62	0.00	6,704.66	
ABBVIE INC SHS			CUSIP Number 00287Y109					
613.0000	Sale	02/15/11	02/26/13	22,708.15	14,777.99	0.00	7,930.16	
INTL PAPER CO			CUSIP Number 460146103					
532.0000	Sale	06/09/11	11/19/13	24,084.64	15,561.32	0.00	8,523.32	
VALLEY NATL BANCORP N J			CUSIP Number 919794107					
620.0000	Sale	04/29/11	05/14/13	5,680.58	7,856.44	0.00	(2,175.86)	
760.0000	Sale	05/02/11	05/14/13	6,963.29	9,889.93	0.00	(2,926.64)	
1535.0000	Sale	05/04/11	05/14/13	14,064.04	19,662.77	0.00	(5,598.73)	
	Security Subtotal			26,707.91	37,409.14	0.00	(10,701.23)	

Covered Long Term Capital Gains and Losses Subtotal

12,456.91

NONCOVERED TRANSACTIONS - 1099-B Line 6a. (cost basis not reported to the IRS)

ABBOTT LABS			CUSIP Number 002824100					
290.0000	Sale	04/23/08	01/15/13	9,618.85	7,061.85	0.00	2,557.00	
497.0000	Sale	04/23/08	01/15/13	16,484.72	12,079.08	0.00	4,405.64	
68.0000	Sale	08/11/08	01/15/13	2,255.45	1,912.69	0.00	342.76	



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2013 ANNUAL STATEMENT SUMMARY
2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
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NONCOVERED TRANSACTIONS - 1099-B Line 6a. (cost basis not reported to the IRS)

ABBOTT LABS
CUSIP Number 002824100

80.0000	Sale	10/02/08	01/15/13	2,653.47	2,268.64	0.00	384.83	
512.0000	Sale	05/21/10	01/15/13	16,982.26	11,426.08	0.00	5,556.18	
	Security Subtotal			47,994.75	34,748.34	0.00	13,246.41	

ABBVIE INC SHS

CUSIP Number 00287Y109

290.0000	Sale	04/23/08	02/26/13	10,742.83	7,657.97	0.00	3,084.86	
497.0000	Sale	04/23/08	02/26/13	18,411.00	13,098.73	0.00	5,312.27	
68.0000	Sale	08/11/08	02/26/13	2,519.01	2,074.14	0.00	444.87	
80.0000	Sale	10/02/08	02/26/13	2,963.54	2,460.15	0.00	503.39	
512.0000	Sale	05/21/10	02/26/13	18,986.67	12,390.61	0.00	6,576.06	
	Security Subtotal			53,603.05	37,681.60	0.00	15,921.45	

AMERICAN WTR WKS CO INC

CUSIP Number 030420103

60.0000	Sale	03/13/09	04/23/13	2,467.68	1,086.62	0.00	1,381.06	
493.0000	Sale	06/04/09	04/23/13	20,276.15	8,811.19	0.00	11,464.96	
	Security Subtotal			22,743.83	9,897.81	0.00	12,846.02	

CINN FINCL CRP OHIO

CUSIP Number 172062101

755.0000	Sale	10/01/09	05/17/13	37,503.24	19,405.84	0.00	18,097.40	
775.0000	Sale	10/21/09	05/17/13	38,496.71	20,169.92	0.00	18,326.79	
	Security Subtotal			75,999.95	39,575.76	0.00	36,424.19	

DIGITAL RLTY TR INC

CUSIP Number 253868103

430.0000	Sale	01/14/10	12/17/13	19,872.37	21,595.86	0.00	(1,723.49)	
424.0000	Sale	01/15/10	12/17/13	19,595.08	21,352.65	0.00	(1,757.57)	
	Security Subtotal			39,467.45	42,948.51	0.00	(3,481.06)	

R R DONNELLEY SONS

CUSIP Number 257867101

320.0000	Sale	02/29/08	11/06/13	5,865.19	10,313.60	0.00	(4,448.41)	
10.0000	Sale	03/04/08	11/06/13	183.28	301.90	0.00	(118.62)	
450.0000	Sale	04/23/08	11/06/13	8,247.92	13,252.50	0.00	(5,004.58)	
645.0000	Sale	10/23/08	11/06/13	11,822.03	10,091.93	0.00	1,730.10	
1180.0000	Sale	04/23/10	11/06/13	21,627.90	26,406.87	0.00	(4,778.97)	
	Security Subtotal			47,746.32	60,366.80	0.00	(12,620.48)	



Merrill Lynch
Bank of America Corporation

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2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e Quantity	Transaction Description	1b. Date of Acquisition	1a Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
HEINZ H J CO PV 25CT 939.0000	Sale	CUSIP Number 06/28/10	423074103 04/17/13	67,916.35	41,817.52	0.00	26,098.83	
ELI LILLY & CO 616.0000	Sale	CUSIP Number 11/19/09	532457108 09/23/13	32,678.69	22,167.38	0.00	10,511.31	
149.0000	Sale	11/19/09	10/11/13	7,262.37	5,361.91	0.00	1,900.46	
465.0000	Sale	11/30/09	10/11/13	22,664.47	17,032.25	0.00	5,632.22	
20.0000	Sale	12/01/09	10/11/13	974.82	739.64	0.00	235.18	
	Security Subtotal			63,580.35	45,301.18	0.00	18,279.17	
NISOURCE INC 890.0000	Sale	CUSIP Number 02/29/08	65473P105 04/23/13	27,618.30	15,402.96	0.00	12,215.34	
213.0000	Sale	04/23/08	04/23/13	6,609.78	3,940.50	0.00	2,669.28	
	Security Subtotal			34,228.08	19,343.46	0.00	14,884.62	
STATOIL ASA SHS 2832.0000	Sale	CUSIP Number 05/19/10	85771P102 05/14/13	67,560.41	61,168.65	0.00	6,391.76	
	Noncovered Long Term Capital Gains and Losses Subtotal			520,840.54	392,849.63	0.00	127,990.91	
	NET LONG TERM CAPITAL GAINS AND LOSSES			614,673.52	474,225.70	0.00	140,447.82	



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DAVE RICKEY & DAUGHTERS

2013 ANNUAL STATEMENT SUMMARY

The following sections are provided to facilitate your review and the preparation of your tax return.

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1099-B

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
LONG TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c:								
COVERED TRANSACTIONS - 1099-B Line 6b. (cost basis reported to the IRS)								
BROADCOM CORP CALIF CL A CUSIP Number 111320107								
500 0000	Sale	02/08/12	12/19/13	14,355.55	18,588.15	0.00	(4,232.60)	
500 0000	Sale	12/13/12	12/19/13	14,355.55	16,453.75	0.00	(2,098.20)	
	Security Subtotal			28,711.10	35,041.90	0.00	(6,330.80)	
Covered Long Term Capital Gains and Losses Subtotal				28,711.10	35,041.90	0.00	(6,330.80)	
NET LONG TERM CAPITAL GAINS AND LOSSES				28,711.10	35,041.90	0.00	(6,330.80)	
TOTAL SALES PROCEEDS FOR CAPITAL GAINS AND LOSSES				28,711.10				
TOTAL REPORTED SALES PROCEEDS				28,711.10				



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1099-B

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
SHORT TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.								
COVERED TRANSACTIONS - 1099-B Line 6b. (cost basis reported to the IRS)								
ISHARES MSCI AUSTRALIA		CUSIP Number	464286103					
10 0000 Sale		04/02/13	12/12/13	234.53	272.00	0.00	(37.47)	
3470 0000 Sale		05/08/13	12/12/13	81,383.09	96,049.60	0.00	(14,666.51)	
	Security Subtotal			81,617.62	96,321.60	0.00	(14,703.98)	
ISHARES MSCI CDA ETF		CUSIP Number	464286509					
380 0000 Sale		01/31/13	07/11/13	10,314.92	10,993.36	0.00	(678.44)	
ISHARES MSCI SWITZERLAND		CUSIP Number	464286749					
CAPPED INDEX FUND		11/28/12	04/02/13	9,192.41	7,937.52	0.00	1,254.89	
310 0000 Sale		05/08/13	12/12/13	32,577.16	32,399.95	0.00	177.21	
1040 0000 Sale				41,769.57	40,337.47	0.00	1,432.10	
	Security Subtotal							
ISHARES MSCI SWEDEN		CUSIP Number	464286756					
INDEX FUND		11/28/12	04/02/13	1,974.56	1,674.00	0.00	300.56	
60 0000 Sale		05/08/13	12/12/13	10,791.07	11,147.40	0.00	(356.33)	
330 0000 Sale				12,765.63	12,821.40	0.00	(55.77)	
	Security Subtotal							



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
ISHARES MSCI GERMANY								
390.0000	Sale	05/08/13	12/12/13	11,573.01	10,292.10	0.00	1,280.91	
Security Subtotal								
				48,477.96	49,256.51	100.72	(677.83)	
ISHARES MSCI HONG KONG INDEX FUND								
40.0000	Sale	05/08/13	06/03/13	790.79	831.91	0.00	(41.12)	
40.0000	Sale	05/08/13	07/08/13	731.19	831.91	100.72 (W)	0.00	
1960.0000	Sale	05/08/13	12/12/13	39,669.71	40,763.49	0.00	(1,093.78)	
360.0000	Sale	07/11/13	12/12/13	7,286.27	6,829.20	0.00	457.07	
Security Subtotal								
				48,477.96	49,256.51	100.72	(677.83)	
ISHARES MSCI ITALY CAPPED INDEX FUND								
320.0000	Sale	11/28/12	05/08/13	4,317.92	3,913.60	0.00	404.32	
ISHARES MSCI JAPAN INDEX FUND								
1000.0000	Sale	01/31/13	04/02/13	10,449.77	9,979.80	0.00	469.97	
190.0000	Sale	01/31/13	05/08/13	2,242.00	1,896.16	0.00	345.84	
Security Subtotal								
				12,691.77	11,875.96	0.00	815.81	
ISHARES MSCI FRANCE INDEX FUND								
550.0000	Sale	04/02/13	05/08/13	13,879.82	12,996.50	0.00	883.32	
ISHARES MSCI TAIWAN								
270.0000	Sale	04/02/13	07/11/13	3,766.43	3,633.69	0.00	132.74	
740.0000	Sale	05/08/13	07/11/13	10,322.82	10,618.78	0.00	(295.96)	
Security Subtotal								
				14,089.25	14,252.47	0.00	(163.22)	
ISHARES MSCI UNITED KINGDOM INDEX FUND								
440.0000	Sale	01/31/13	05/08/13	8,478.83	8,124.34	0.00	354.49	
590.0000	Sale	04/02/13	05/08/13	11,369.35	10,855.65	0.00	513.70	
Security Subtotal								
				19,848.18	18,979.99	0.00	868.19	

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1099-B 2013 ANNUAL STATEMENT SUMMARY 2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3 Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
ISHARES MSCI MEXICO CAPPED INVESTABLE MARKET INDEX FUND								
		CUSIP Number	464286822					
10 0000	Sale	05/08/13	06/03/13	672.39	741.60	0.00	(69.21)	
10 0000	Sale	05/08/13	07/08/13	653.49	741.60	0.00	(88.11)	
110 0000	Sale	05/08/13	07/11/13	7,204.31	8,157.59	0.00	(953.28)	
330 0000	Sale	05/08/13	12/18/13	21,794.31	24,472.76	2,678.45 (W)	0.00	
Security Subtotal				30,324.50	34,113.55	2,678.45	(1,110.60)	
ISHARES MSCI SOUTH KOREA CAPPED								
		CUSIP Number	464286772					
180 0000	Sale	01/31/13	07/11/13	9,869.34	10,724.35	0.00	(855.01)	
110 0000	Sale	04/02/13	07/11/13	6,031.27	6,432.80	0.00	(401.53)	
Security Subtotal				15,900.61	17,157.15	0.00	(1,256.54)	
ISHARES TRUST SHS ISHARE MSCI EMERGING								
		CUSIP Number	464286533					
50 0000	Sale	11/28/12	01/04/13	3,038.43	2,868.50	0.00	169.93	
30 0000	Sale	11/28/12	04/02/13	1,827.86	1,721.10	0.00	106.76	
50 0000	Sale	11/28/12	05/03/13	3,145.93	2,868.50	0.00	277.43	
50 0000	Sale	11/28/12	06/03/13	2,998.95	2,868.50	0.00	130.45	
50 0000	Sale	11/28/12	07/08/13	2,815.45	2,868.50	0.00	(53.05)	
Security Subtotal				13,826.62	13,195.10	0.00	631.52	
ISHARES MSCI SOUTH AFRICA								
		CUSIP Number	464286780					
220 0000	Sale	11/28/12	07/11/13	12,874.47	14,206.57	0.00	(1,332.10)	
70 0000	Sale	01/31/13	07/11/13	4,096.42	4,647.99	0.00	(551.57)	
Security Subtotal				16,970.89	18,854.56	0.00	(1,883.67)	
EATON VANCE TAX DIV INC DIVIDEND INCOME FUND								
		CUSIP Number	27828G107					
210 0000	Sale	07/10/12	04/02/13	3,926.24	3,402.90	0.00	523.34	
1023 0000	Sale	07/10/12	05/08/13	20,060.58	16,577.00	0.00	3,483.58	
1277 0000	Sale	07/11/12	05/08/13	25,041.41	20,618.31	0.00	4,423.10	
Security Subtotal				49,028.23	40,598.21	0.00	8,430.02	

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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
VANGUARD FINANCIALS ETF								
40 0000	Sale	05/08/13	12/12/13	1,720.37	1,604.80	0.00	115.57	
310 0000	Sale	07/11/13	12/12/13	13,332.90	12,799.90	0.00	533.00	
	Security Subtotal			15,053.27	14,404.70	0.00	648.57	
VANGUARD CONSUMER STAPLES ETF								
40 0000	Sale	01/31/13	04/02/13	4,061.51	3,720.66	0.00	340.85	
140 0000	Sale	05/08/13	12/12/13	15,391.26	14,611.00	0.00	780.26	
	Security Subtotal			19,452.77	18,331.66	0.00	1,121.11	
VANGUARD CONSUMER DISCRETIONARY ETF								
40 0000	Sale	04/02/13	05/08/13	3,603.91	3,393.58	0.00	210.33	
VANGUARD INFORMATION TECH ETF								
20 0000	Sale	01/31/13	04/02/13	1,451.37	1,416.10	0.00	35.27	
VANGUARD HEALTH CARE ETF								
60 0000	Sale	11/28/12	04/02/13	5,039.55	4,280.93	0.00	758.62	
190 0000	Sale	11/28/12	05/08/13	16,297.85	13,556.29	0.00	2,741.56	
270 0000	Sale	11/28/12	09/04/13	24,698.20	19,264.21	0.00	5,433.99	
	Security Subtotal			46,035.60	37,101.43	0.00	8,934.17	
ISHARES TRUST SHS ISHARE EAFE MINIMUM V								
120 0000	Sale	11/28/12	01/04/13	6,574.65	6,523.20	0.00	51.45	
10 0000	Sale	11/28/12	04/02/13	596.09	543.60	0.00	52.49	
110 0000	Sale	11/28/12	05/03/13	6,859.46	5,979.60	0.00	879.86	
120 0000	Sale	11/28/12	06/03/13	6,963.49	6,523.20	0.00	440.29	
120 0000	Sale	11/28/12	07/08/13	6,922.82	6,523.20	0.00	399.62	
	Security Subtotal			27,916.51	26,092.80	0.00	1,823.71	
VANGUARD TELECOMM SRVCS ETF								
130 0000	Sale	11/28/12	05/08/13	10,488.14	9,010.30	0.00	1,477.84	
10 0000	Sale	04/02/13	05/08/13	806.78	748.50	0.00	58.28	
	Security Subtotal			11,294.92	9,758.80	0.00	1,536.12	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
	VANGUARD ENERGY ETF	CUSIP Number	92204A306					
	FDS							
140 0000	Sale	11/28/12	05/08/13	16,122.08	14,102.90	0.00	2,019.18	
50 0000	Sale	04/02/13	05/08/13	5,757.89	5,656.28	0.00	101.61	
	Security Subtotal			21,879.97	19,759.18	0.00	2,120.79	
	VANGUARD REIT ETF	CUSIP Number	922908553					
70 0000	Sale	04/04/12	04/02/13	4,979.69	4,366.30	0.00	613.39	
	MORGAN STANLEY EMERGING MARK	CUSIP Number	617477104					
140 0000	Sale	06/14/13	07/08/13	1,972.58	2,147.00	174.42 (W)	0.00	
994 0000	Sale	06/14/13	09/04/13	13,271.36	15,243.69	0.00	(1,972.33)	
748 0000	Sale	06/17/13	09/04/13	9,986.90	11,497.51	0.00	(1,510.61)	
290 0000	Sale	06/18/13	09/04/13	3,871.92	4,419.02	0.00	(547.10)	
108 0000	Sale	07/11/13	09/04/13	1,441.95	1,533.57	0.00	(91.62)	
1 0000	Sale	06/14/13	09/05/13	13.34	15.34	0.00	(2.00)	
1 0000	Sale	06/17/13	09/05/13	13.34	15.37	0.00	(2.03)	
1 0000	Sale	06/18/13	09/05/13	13.34	15.24	0.00	(1.90)	
2402 0000	Sale	06/14/13	09/06/13	31,943.64	36,836.34	0.00	(4,892.70)	
140 0000	Sale	06/14/13	09/06/13	1,861.82	2,326.36	0.00 (Y)	(464.54)	
1670 0000	Sale	06/17/13	09/06/13	22,208.94	25,669.57	0.00	(3,460.63)	
703 0000	Sale	06/18/13	09/06/13	9,349.04	10,712.31	0.00	(1,363.27)	
262 0000	Sale	07/11/13	09/06/13	3,484.28	3,720.32	0.00	(236.04)	
	Security Subtotal			99,432.45	114,151.64	174.42	(14,544.77)	
	MARKET VECTORS RUSSIA	CUSIP Number	57060U506					
300 0000	Sale	11/28/12	07/11/13	7,842.07	8,076.00	0.00	(233.93)	
200 0000	Sale	04/02/13	07/11/13	5,228.05	5,498.00	0.00	(269.95)	
	Security Subtotal			13,070.12	13,574.00	0.00	(503.88)	
	ISHARES FTSE NAREIT RESIDENTIAL PLUS CAP IND FD	CUSIP Number	464288562					
90 0000	Sale	04/04/12	04/02/13	4,697.07	4,151.60	0.00	545.47	
	SPDR S P CHINA	CUSIP Number	78463X400					
110 0000	Sale	05/08/13	07/11/13	7,217.20	8,019.17	0.00	(801.97)	



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
WISDOMTREE INDIA EARNINGS								
		CUSIP Number	97717W422					
280 0000	Sale	04/02/13	12/18/13	4,732.91	5,087.04	354.13 (W)	0.00	
ISHARES MSCI BRAZIL CAPPED INDEX FUND								
		CUSIP Number	464286400					
66 0000	Sale	04/02/13	05/08/13	3,696.59	3,563.13	0.00	133.46	
166 0000	Sale	10/04/12	07/11/13	7,040.36	8,946.89	0.00	(1,906.53)	
94 0000	Sale	04/02/13	07/11/13	3,986.71	5,074.77	0.00	(1,088.06)	
Security Subtotal				14,723.66	17,584.79	0.00	(2,861.13)	
PIMCO COMMODITY REAL RETURN STRATEGY FD CL P								
		CUSIP Number	72201M842					
1148 0000	Sale	07/11/13	11/21/13	6,359.92	6,566.56	0.00	(206.64)	
1 0000	Sale	09/06/13	11/21/13	5.54	5.86	0.00	(0.32)	
0610	Sale	09/06/13	11/21/13	0.34	0.35	0.00	(0.01)	
6640 0000	Sale	09/06/13	11/21/13	36,785.63	38,047.20	0.00	(1,261.57)	
Security Subtotal				43,151.43	44,619.97	0.00	(1,468.54)	
PRUDENTIAL JENNISON NATURAL RESOURCES INC Z								
		CUSIP Number	74441K503					
40 0000	Sale	01/20/12	01/04/13	1,911.20	2,014.40	0.00	(103.20)	
1 0000	Sale	06/12/12	04/19/13	43.90	48.20	0.00	(4.30)	
308 0000	Sale	06/12/12	04/19/13	13,521.21	13,043.80	0.00	477.41	
.4800	Sale	06/12/12	05/17/13	22.60	20.33	0.00	2.27	
40 0000	Sale	07/03/13	07/08/13	1,842.80	1,823.20	0.00	19.60	
Security Subtotal				17,341.71	16,949.93	0.00	391.78	
DOUBLELINE EMERGING MARKETS FI FUND CL I								
		CUSIP Number	258620509					
.6130	Sale	04/02/13	06/14/13	6.52	6.63	0.00	(0.11)	
5435 0000	Sale	04/02/13	06/14/13	57,828.41	60,002.39	0.00	(2,173.98)	
Security Subtotal				57,834.93	60,009.02	0.00	(2,174.09)	
DOUBLELINE TOTAL RETURN BOND FUND CL I								
		CUSIP Number	258620103					
1 0000	Sale	04/04/12	04/02/13	11.34	11.17	0.00	0.17	
469 0000	Sale	04/04/12	04/02/13	5,323.15	5,238.73	0.00	84.42	
2128 0000	Sale	10/04/12	04/02/13	24,152.83	24,280.48	0.00	(127.65)	
2729 0000	Sale	10/04/12	04/02/13	30,974.14	31,137.89	0.00	(163.75)	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
DOUBLELINE TOTAL RETURN								
BOND FUND CL I								
	5074 0000 Sale	10/09/12	04/02/13	57,589.91	57,843.60	0.00	(253.69)	
	260 0000 Sale	10/09/12	05/03/13	2,961.40	2,964.00	0.00	(2.60)	
	4380 0000 Sale	10/09/12	05/08/13	49,932.00	49,932.00	0.00	0.00	
	190 0000 Sale	10/09/12	06/03/13	2,143.20	2,166.00	0.00	(22.80)	
	190 0000 Sale	10/09/12	07/08/13	2,082.40	2,166.00	0.00	(83.60)	
	8090 Sale	10/09/12	07/31/13	8.87	9.21	0.00	(0.34)	
	9416 0000 Sale	10/09/12	07/31/13	103,199.36	107,342.40	0.00	(4,143.04)	
	Security Subtotal			278,378.60	283,091.48	0.00	(4,712.88)	
BLACKROCK FLOATING RATE INCOME PORTFOLIO CL INST								
	480 0000 Sale	10/04/12	01/04/13	5,001.60	4,977.60	0.00	24.00	
	8754 0000 Sale	10/04/12	04/02/13	92,004.54	90,778.98	0.00	1,225.56	
	1 0000 Sale	10/04/12	04/02/13	10.50	10.56	0.00	(0.06)	
	455 0000 Sale	10/04/12	04/02/13	4,782.06	4,808.34	0.00	(26.28)	
	280 0000 Sale	10/04/12	05/03/13	2,951.20	2,958.98	0.00	(7.78)	
	4 0000 Sale	10/04/12	05/08/13	42.23	42.28	0.00	(0.05)	
	4730 Sale	10/09/12	05/08/13	5.00	4.91	0.00	0.09	
	15314 0000 Sale	10/09/12	05/08/13	161,715.84	158,959.32	0.00	2,756.52	
	Security Subtotal			266,512.97	262,540.97	0.00	3,972.00	
GOLDMAN SACHS SMALL/MID CAP GROWTH FUND INSTL CL								
	170 0000 Sale	04/02/13	05/03/13	3,049.80	2,971.60	0.00	78.20	
	170 0000 Sale	04/02/13	06/03/13	3,121.20	2,971.60	0.00	149.60	
	180 0000 Sale	04/02/13	07/08/13	3,411.00	3,146.40	0.00	264.60	
	640 0000 Sale	04/02/13	07/11/13	12,345.60	11,187.20	0.00	1,158.40	
	Security Subtotal			21,927.60	20,276.80	0.00	1,650.80	
IVV GLOBAL NATURAL RESOURCES FD CL I								
	100 0000 Sale	04/19/13	05/03/13	1,773.00	1,655.00	0.00	118.00	
	100 0000 Sale	04/19/13	06/03/13	1,792.00	1,655.00	0.00	137.00	
	6920 Sale	04/19/13	07/03/13	11.82	11.45	0.00	0.37	
	5321 0000 Sale	04/19/13	07/03/13	90,882.68	88,062.55	0.00	2,820.13	
	Security Subtotal			94,459.50	91,384.00	0.00	3,075.50	



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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3 Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
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Covered Short Term Capital Gains and Losses Subtotal				1,472,544.66	1,482,024.49	3,307.72	(6,172.11)	
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NET SHORT TERM CAPITAL GAINS AND LOSSES				1,472,544.66	1,482,024.49	3,307.72	(6,172.11)	
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LONG TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.

COVERED TRANSACTIONS - 1099-B Line 6b. (cost basis reported to the IRS)

ISHARES MSCI AUSTRALIA	CUSIP Number	464286103						
350,000 Sale	11/28/12	12/12/13		8,208.67	8,574.90	0.00	(366.23)	
140,000 Sale	11/01/09	12/18/13		3,242.36	3,303.36	0.00 (Y)	(61.00)	
790,000 Sale	11/28/12	12/18/13		18,296.16	19,354.76	0.00	(1,058.60)	
Security Subtotal				29,747.19	31,233.02	0.00	(1,485.83)	

ISHARES MSCI NETHERLANDS INDEX FUND	CUSIP Number	464286814						
24,000 Sale	12/17/10	01/04/13		491.99	502.61	0.00 (Y)	(10.62)	
16,000 Sale	12/17/10	05/03/13		344.79	335.08	0.00 (Y)	9.71	
Security Subtotal				836.78	837.69	0.00	(0.91)	

ISHARES MSCI ITALY CAPPED INDEX FUND	CUSIP Number	464286855						
690,000 Sale	04/04/12	05/08/13		9,310.51	8,528.34	0.00	782.17	

ISHARES MSCI JAPAN INDEX FUND	CUSIP Number	464286848						
470,000 Sale	04/12/11	05/08/13		5,546.03	4,659.39	0.00 (Y)	886.64	
1890,000 Sale	04/04/12	05/08/13		22,302.07	18,483.82	0.00	3,818.25	
270,000 Sale	04/12/11	06/03/13		2,862.59	2,676.68	0.00 (Y)	185.91	
30,000 Sale	04/20/11	06/03/13		318.07	297.76	0.00 (Y)	20.31	
310,000 Sale	04/20/11	07/08/13		3,574.27	3,076.93	0.00 (Y)	497.34	
Security Subtotal				34,603.03	29,194.58	0.00	5,408.45	

ISHARES MSCI SPAIN CAPPED INDEX FUND	CUSIP Number	464286764						
50,000 Sale	01/20/11	05/03/13		1,571.96	1,853.33	0.00 (Y)	(281.37)	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
ISHARES MSCI UNITED KINGDOM INDEX FUND								
	3420 0000 Sale	04/04/12	05/08/13	65,903.63	58,208.40	0.00	7,695.23	
	40 0000 Sale	04/04/12	07/08/13	722.00	680.80	0.00	41.20	
	Security Subtotal			66,625.63	58,889.20	0.00	7,736.43	
VANGUARD REIT ETF								
	1030 0000 Sale	01/17/12	09/04/13	66,519.54	59,815.61	0.00	6,703.93	
	390 0000 Sale	04/04/12	09/04/13	25,187.01	24,252.85	0.00	934.16	
	Security Subtotal			91,706.55	84,068.46	0.00	7,638.09	
WISDOMTREE INDIA EARNINGS								
	40 0000 Sale	06/23/11	12/18/13	676.12	925.87	249.75 (WY)	0.00	
	360 0000 Sale	11/28/12	12/18/13	6,085.16	6,403.21	318.05 (W)	0.00	
	Security Subtotal			6,761.28	7,329.08	567.80	0.00	
ISHARES MSCI BRAZIL CAPPED								
	200 0000 Sale	06/12/12	12/18/13	8,798.55	10,069.83	1,271.28 (W)	0.00	
	10 0000 Sale	11/28/12	12/18/13	439.93	510.76	70.83 (W)	0.00	
	430 0000 Sale	11/28/12	12/18/13	18,916.88	21,962.64	3,045.76 (W)	0.00	
	Security Subtotal			28,155.36	32,543.23	4,387.87	0.00	
PIMCO COMMODITY REAL RETURN STRATEGY FD CL P								
	290 0000 Sale	12/12/10	11/21/13	1,606.59	2,615.80	0.00 (Y)	(1,009.21)	
	2588 0000 Sale	01/24/12	11/21/13	14,226.72	17,282.64	0.00	(3,055.92)	
	1 0000 Sale	04/04/12	11/21/13	5.53	6.75	0.00	(1.22)	
	852 0000 Sale	04/04/12	11/21/13	4,720.08	5,640.24	0.00	(920.16)	
	Security Subtotal			20,558.92	25,545.43	0.00	(4,986.51)	
PRUDENTIAL JENNISON NATURAL RESOURCES INC Z								
	40 0000 Sale	01/20/12	04/02/13	1,899.60	2,014.40	0.00	(114.80)	
	425 0000 Sale	01/20/12	04/19/13	18,657.49	21,403.00	0.00	(2,745.51)	
	1089 0000 Sale	02/15/12	04/19/13	47,807.10	57,727.89	0.00	(9,920.79)	
	225 0000 Sale	04/04/12	04/19/13	9,877.50	11,094.75	0.00	(1,217.25)	
	Security Subtotal			78,241.69	92,240.04	0.00	(13,998.35)	



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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
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NEUBERGER BERMAN EQUITY INCOME FUND CL INSTL CUSIP Number 641224498

2620	Sale	04/18/12	08/01/13	3.24	2.91	0.00	0.33	
5631	0000 Sale	04/18/12	08/01/13	69,711.79	63,461.37	0.00	6,250.42	
Security Subtotal				69,715.03	63,464.28	0.00	6,250.75	

Covered Long Term Capital Gains and Losses Subtotal

437,833.93 435,726.68 4,955.67 7,062.92

NONCOVERED TRANSACTIONS - 1099-B Line 6a. (cost basis not reported to the IRS)

VANGUARD TOTAL STK MKT ETF CUSIP Number 922908769

120 0000	Sale	10/27/08	01/04/13	9,033.40	5,097.46	0.00	3,935.94	
40 0000	Sale	12/15/10	04/02/13	3,239.29	2,571.06	0.00	668.23	
110 0000	Sale	10/27/08	05/03/13	9,163.26	4,672.67	0.00	4,490.59	
110 0000	Sale	10/27/08	06/03/13	9,227.96	4,672.67	0.00	4,555.29	
120 0000	Sale	10/27/08	07/08/13	10,183.50	5,097.46	0.00	5,086.04	
Security Subtotal				40,847.41	22,111.32	0.00	18,736.09	

ISHARES MSCI AUSTRALIA INDEX FUND CUSIP Number 464286103

70 0000	Sale	10/27/08	01/04/13	1,777.96	914.20	0.00	863.76	
70 0000	Sale	10/27/08	05/03/13	1,957.16	914.20	0.00	1,042.96	
117 0000	Sale	10/27/08	06/03/13	2,911.28	1,528.03	0.00	1,383.25	
13 0000	Sale	10/29/09	06/03/13	323.48	297.31	0.00	26.17	
140 0000	Sale	10/29/09	07/08/13	3,171.64	3,201.80	30.16 (W)	0.00	
520 0000	Sale	12/15/10	12/12/13	12,195.74	13,249.60	0.00	(1,053.86)	
80 0000	Sale	01/12/11	12/12/13	1,876.27	1,978.19	0.00	(101.92)	
440 0000	Sale	07/22/11	12/12/13	10,319.47	11,463.32	0.00	(1,143.85)	
190 0000	Sale	04/18/11	12/18/13	4,400.34	4,908.51	0.00 (Y)	(508.17)	
340 0000	Sale	04/18/11	12/18/13	7,874.30	9,436.76	0.00 (Y)	(1,562.46)	
Security Subtotal				46,807.64	47,891.92	30.16	(1,054.12)	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
ISHARES MSCI CDA INDEX FD								
90 0000	Sale	10/27/08	01/04/13	2,583.84	1,478.41	0.00	1,105.43	
90 0000	Sale	10/27/08	05/03/13	2,537.04	1,478.41	0.00	1,058.63	
100 0000	Sale	10/27/08	06/03/13	2,803.75	1,642.68	0.00	1,161.07	
100 0000	Sale	10/27/08	07/08/13	2,624.96	1,642.68	0.00	982.28	
Security Subtotal				10,549.59	6,242.18	0.00	4,307.41	
ISHARES MSCI SWITZERLAND INDEX FUND								
80 0000	Sale	10/27/08	01/04/13	2,167.95	1,325.23	0.00	842.72	
70 0000	Sale	10/27/08	05/03/13	2,139.85	1,159.58	0.00	980.27	
18 0000	Sale	10/27/08	06/03/13	534.59	298.18	0.00	236.41	
10 0000	Sale	12/08/10	06/03/13	296.99	238.60	0.00	58.39	
10 0000	Sale	12/09/10	06/03/13	296.99	239.99	0.00	57.00	
62 0000	Sale	09/30/11	06/03/13	1,841.38	1,360.01	0.00	481.37	
110 0000	Sale	09/30/11	07/08/13	3,175.33	2,412.93	0.00	762.40	
Security Subtotal				10,453.08	7,034.52	0.00	3,418.56	
ISHARES MSCI SWEDEN INDEX FUND								
30 0000	Sale	10/27/08	01/04/13	911.07	383.52	0.00	527.55	
10 0000	Sale	02/19/10	01/04/13	303.70	233.65	0.00	70.05	
30 0000	Sale	02/19/10	05/03/13	997.18	700.93	0.00	296.25	
16 0000	Sale	02/19/10	06/03/13	534.23	373.83	0.00	160.40	
24 0000	Sale	09/30/11	06/03/13	801.35	559.79	0.00	241.56	
50 0000	Sale	09/30/11	07/08/13	1,519.97	1,166.24	0.00	353.73	
Security Subtotal				5,067.50	3,417.96	0.00	1,649.54	
ISHARES MSCI GERMANY INDEX FUND								
110 0000	Sale	09/30/11	01/04/13	2,714.74	2,040.49	0.00	674.25	
110 0000	Sale	09/30/11	05/03/13	2,844.55	2,040.49	0.00	804.06	
140 0000	Sale	09/30/11	06/03/13	3,686.83	2,596.99	0.00	1,089.84	
140 0000	Sale	09/30/11	07/08/13	3,441.59	2,596.99	0.00	844.60	
Security Subtotal				12,687.71	9,274.96	0.00	3,412.75	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a Amount	3 Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
ISHARES MSCI NETHERLANDS INDEX FUND								
		CUSIP Number	464286814					
16.0000	Sale	12/09/10	01/04/13	327.99	325.44	0.00	2.55	
24.0000	Sale	09/30/11	05/03/13	517.19	399.58	0.00	117.61	
50.0000	Sale	09/30/11	06/03/13	1,101.48	832.47	0.00	269.01	
50.0000	Sale	09/30/11	07/08/13	1,074.98	832.47	0.00	242.51	
Security Subtotal				3,021.64	2,389.96	0.00	631.68	
ISHARES MSCI ITALY INDEX FUND								
		CUSIP Number	464286855					
70.0000	Sale	09/30/11	01/04/13	950.58	848.37	0.00	102.21	
80.0000	Sale	09/30/11	05/03/13	1,048.78	969.56	0.00	79.22	
60.0000	Sale	09/30/11	06/03/13	809.99	727.17	0.00	82.82	
70.0000	Sale	09/30/11	07/08/13	844.19	847.76	0.00	(3.57)	
Security Subtotal				3,653.54	3,392.86	0.00	260.68	
ISHARES MSCI JAPAN INDEX FUND								
		CUSIP Number	464286848					
470.0000	Sale	04/12/11	01/04/13	4,625.73	4,667.05	41.32 (W)	0.00	
450.0000	Sale	04/12/11	05/03/13	5,288.37	4,468.45	0.00	819.92	
4972.0000	Sale	04/12/11	05/08/13	58,669.78	49,371.47	0.00	9,298.31	
828.0000	Sale	09/30/11	05/08/13	9,770.43	7,907.32	0.00	1,863.11	
Security Subtotal				78,354.31	66,414.29	41.32	11,981.34	
ISHARES MSCI SPAIN INDEX FUND								
		CUSIP Number	464286764					
50.0000	Sale	01/12/11	01/04/13	1,516.97	1,840.50	0.00	(323.53)	
650.0000	Sale	09/30/11	05/08/13	20,701.00	21,330.73	0.00	(629.73)	
40.0000	Sale	09/30/11	06/03/13	1,221.98	1,312.66	0.00	(90.68)	
40.0000	Sale	09/30/11	07/08/13	1,142.38	1,312.66	0.00	(170.28)	
Security Subtotal				24,582.33	25,796.55	0.00	(1,214.22)	
ISHARES MSCI FRANCE INDEX FUND								
		CUSIP Number	464286707					
160.0000	Sale	09/30/11	01/04/13	3,751.12	3,097.23	0.00	653.89	
160.0000	Sale	09/30/11	05/03/13	3,975.09	3,097.23	0.00	877.86	
160.0000	Sale	09/30/11	06/03/13	4,036.75	3,097.23	0.00	939.52	
160.0000	Sale	09/30/11	07/08/13	3,795.15	3,097.23	0.00	697.92	
Security Subtotal				15,558.11	12,388.92	0.00	3,169.19	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
MORGAN STNLY EMRG MKTS DEBT FUND INC								
		CUSIP Number	61744H105					
90,000	Sale	08/10/11	01/04/13	1,102.48	925.59	0.00	176.89	
2074 0000	Sale	08/10/11	04/02/13	24,457.10	21,329.64	0.00	3,127.46	
1577 0000	Sale	08/19/11	04/02/13	18,596.35	16,715.41	0.00	1,880.94	
250 0000	Sale	08/19/11	04/02/13	2,948.06	2,653.53	0.00 (V)	294.53	
500 0000	Sale	12/06/11	04/02/13	5,896.12	5,224.85	0.00	671.27	
	Security Subtotal			53,000.11	46,849.02	0.00	6,151.09	
ISHARES MSCI TAIWAN INDEX FUND								
		CUSIP Number	464286731					
40 0000	Sale	10/27/08	01/04/13	543.59	299.60	0.00	243.99	
50 0000	Sale	10/27/08	05/03/13	706.48	374.49	0.00	331.99	
60 0000	Sale	10/27/08	06/03/13	826.79	449.39	0.00	377.40	
60 0000	Sale	10/27/08	07/08/13	797.99	449.39	0.00	348.60	
	Security Subtotal			2,874.85	1,572.87	0.00	1,301.98	
ISHARES MSCI UNITED KINGDOM INDEX FUND								
		CUSIP Number	464286699					
180 0000	Sale	09/30/11	01/04/13	3,258.65	2,702.72	0.00	555.93	
180 0000	Sale	09/30/11	05/03/13	3,431.19	2,702.72	0.00	728.47	
110 0000	Sale	09/30/11	06/03/13	2,082.73	1,651.66	0.00	431.07	
70 0000	Sale	09/30/11	07/08/13	1,263.48	1,051.05	0.00	212.43	
	Security Subtotal			10,036.05	8,108.15	0.00	1,927.90	
ISHARES MSCI SOUTH KOREA INDEX FUND								
		CUSIP Number	464286772					
20 0000	Sale	07/21/09	01/04/13	1,270.57	780.00	0.00	490.57	
30 0000	Sale	02/19/10	05/03/13	1,761.26	1,399.80	0.00	361.46	
30 0000	Sale	02/19/10	06/03/13	1,756.77	1,399.80	0.00	356.97	
30 0000	Sale	02/19/10	07/08/13	1,557.29	1,399.80	0.00	157.49	
160 0000	Sale	09/24/10	07/11/13	8,772.75	8,426.78	0.00	345.97	
	Security Subtotal			15,118.64	13,406.18	0.00	1,712.46	
ISHARES MSCI SOUTH AFRICA INDEX FUND								
		CUSIP Number	464286780					
10 0000	Sale	09/18/08	01/04/13	707.68	449.97	0.00	257.71	
10 0000	Sale	09/18/08	05/03/13	655.69	449.98	0.00	205.71	
10 0000	Sale	09/18/08	06/03/13	599.79	449.97	0.00	149.82	



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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
ISHARES MSCI SOUTH AFRICA INDEX FUND								
		CUSIP Number	464286780					
	5 0000 Sale	09/18/08	07/08/13	280.19	224.99	0.00	55.20	
	5 0000 Sale	12/14/11	07/08/13	280.20	297.39	0.00	(17.19)	
	Security Subtotal			2,523.55	1,872.30	0.00	651.25	
CALAMOS CONV & HIGH INC INCOME FUND								
		CUSIP Number	12811P108					
	160.0000 Sale	08/10/11	01/04/13	2,011.15	1,763.39	0.00	247.76	
	150.0000 Sale	08/10/11	05/03/13	1,956.61	1,653.18	0.00	303.43	
	160.0000 Sale	08/10/11	06/03/13	2,053.51	1,763.39	0.00	290.12	
	160.0000 Sale	08/10/11	07/08/13	1,923.36	1,763.39	0.00	159.97	
	Security Subtotal			7,944.63	6,943.35	0.00	1,001.28	
EATON VANCE TAX DIV INC DIVIDEND INCOME FUND								
		CUSIP Number	27828G107					
	170.0000 Sale	08/10/11	01/04/13	2,903.53	2,417.16	0.00	486.37	
	50.0000 Sale	08/10/11	05/03/13	973.74	710.93	0.00	262.81	
	100.0000 Sale	12/06/11	05/03/13	1,947.50	1,488.48	0.00	459.02	
	350.0000 Sale	12/06/11	05/08/13	6,863.35	5,209.68	0.00	1,653.67	
	110.0000 Sale	12/06/11	06/03/13	2,018.46	1,637.33	0.00	381.13	
	110.0000 Sale	12/06/11	07/08/13	2,022.87	1,637.33	0.00	385.54	
	Security Subtotal			16,729.45	13,100.91	0.00	3,628.54	
VANGUARD FINANCIALS ETF								
		CUSIP Number	92204A405					
	30.0000 Sale	09/15/09	01/04/13	1,055.98	883.94	0.00	172.04	
	30.0000 Sale	09/15/09	05/03/13	1,181.41	883.94	0.00	297.47	
	80.0000 Sale	09/15/09	06/03/13	3,217.54	2,357.17	0.00	860.37	
	80.0000 Sale	09/15/09	07/08/13	3,274.34	2,357.17	0.00	917.17	
	Security Subtotal			8,729.27	6,482.22	0.00	2,247.05	
VANGUARD CONSUMER STAPLES ETF								
		CUSIP Number	92204A207					
	10.0000 Sale	12/23/08	01/04/13	901.68	559.46	0.00	342.22	
	10.0000 Sale	12/23/08	05/03/13	1,044.38	559.46	0.00	484.92	
	20.0000 Sale	12/23/08	06/03/13	2,044.36	1,118.93	0.00	925.43	
	20.0000 Sale	12/23/08	07/08/13	2,076.56	1,118.93	0.00	957.63	
	Security Subtotal			6,066.98	3,356.78	0.00	2,710.20	



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VANGUARD CONSUMER DISCRETIONARY ETF								
		CUSIP Number 92204A108						
20 0000	Sale	08/12/09	01/04/13	1,559.97	827.99	0.00	731.98	
20 0000	Sale	08/12/09	05/03/13	1,781.76	827.99	0.00	953.77	
420 0000	Sale	10/12/10	05/08/13	37,841.02	23,238.60	0.00	14,602.42	
10 0000	Sale	08/12/09	06/03/13	897.48	414.00	0.00	483.48	
10 0000	Sale	08/12/09	07/08/13	939.38	414.00	0.00	525.38	
Security Subtotal				43,019.61	25,722.58	0.00	17,297.03	
VANGUARD MATERIALS ETF								
		CUSIP Number 92204A801						
50 0000	Sale	10/06/09	04/02/13	4,374.90	3,177.50	0.00	1,197.40	
VANGUARD INFORMATION TECH ETF								
		CUSIP Number 92204A702						
40 0000	Sale	12/23/08	01/04/13	2,822.34	1,319.57	0.00	1,502.77	
40 0000	Sale	12/23/08	05/03/13	2,981.18	1,319.57	0.00	1,661.61	
60 0000	Sale	12/23/08	06/03/13	4,555.12	1,979.36	0.00	2,575.76	
60 0000	Sale	12/23/08	07/08/13	4,541.92	1,979.36	0.00	2,562.56	
Security Subtotal				14,900.56	6,597.86	0.00	8,302.70	
VANGUARD HEALTH CARE ETF								
		CUSIP Number 92204A504						
40 0000	Sale	12/23/08	01/04/13	2,939.93	1,777.89	0.00	1,162.04	
40 0000	Sale	12/23/08	05/03/13	3,439.98	1,777.89	0.00	1,662.09	
40 0000	Sale	12/23/08	06/03/13	3,465.14	1,777.89	0.00	1,687.25	
40 0000	Sale	12/23/08	07/08/13	3,535.94	1,777.89	0.00	1,758.05	
Security Subtotal				13,380.99	7,111.56	0.00	6,269.43	
VANGUARD TELECOMM SRVCS ETF								
		CUSIP Number 92204A884						
10 0000	Sale	10/29/09	01/04/13	716.18	518.88	0.00	197.30	
10 0000	Sale	10/29/09	05/03/13	799.88	518.89	0.00	280.99	
40 0000	Sale	11/15/11	05/08/13	3,227.12	2,507.60	0.00	719.52	
10 0000	Sale	10/29/09	06/03/13	766.59	518.88	0.00	247.71	
10 0000	Sale	10/29/09	07/08/13	802.39	518.89	0.00	283.50	
220 0000	Sale	11/15/11	09/04/13	17,324.52	13,791.80	0.00	3,532.72	
Security Subtotal				23,636.68	18,374.94	0.00	5,261.74	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
VANGUARD ENERGY ETF								
		CUSIP Number	92204A306					
30 0000	Sale	12/23/08	01/04/13	3,165.23	1,882.50	0.00	1,282.73	
30 0000	Sale	12/23/08	05/03/13	3,410.02	1,882.50	0.00	1,527.52	
20 0000	Sale	12/23/08	06/03/13	2,300.56	1,255.00	0.00	1,045.56	
20 0000	Sale	12/23/08	07/08/13	2,322.56	1,255.00	0.00	1,067.56	
Security Subtotal				11,198.37	6,275.00	0.00	4,923.37	
VANGUARD INDUSTRIAL ETF								
		CUSIP Number	92204A603					
20 0000	Sale	02/11/10	01/04/13	1,467.97	1,017.21	0.00	450.76	
10 0000	Sale	12/15/10	04/02/13	790.88	649.00	0.00	141.88	
20 0000	Sale	02/11/10	05/03/13	1,607.77	1,017.21	0.00	590.56	
20 0000	Sale	02/11/10	06/03/13	1,648.58	1,017.21	0.00	631.37	
20 0000	Sale	02/11/10	07/08/13	1,669.77	1,017.21	0.00	652.56	
Security Subtotal				7,184.97	4,717.84	0.00	2,467.13	
VANGUARD REIT ETF								
		CUSIP Number	922908553					
50 0000	Sale	03/10/10	01/04/13	3,330.43	2,338.86	0.00	991.57	
40 0000	Sale	03/10/10	05/03/13	3,029.93	1,864.69	0.00	1,165.24	
40 0000	Sale	03/10/10	06/03/13	2,845.15	1,864.69	0.00	980.46	
5 0000	Sale	03/10/10	07/08/13	346.59	232.16	0.00	114.43	
35 0000	Sale	09/24/10	07/08/13	2,426.16	1,790.81	0.00	635.35	
25 0000	Sale	09/24/10	08/01/13	1,733.96	1,279.15	0.00	454.81	
360 0000	Sale	12/15/10	08/01/13	24,969.17	18,913.98	0.00	6,055.19	
285 0000	Sale	12/22/11	08/01/13	19,767.26	16,457.06	0.00	3,310.20	
95 0000	Sale	12/22/11	09/04/13	6,135.29	5,485.70	0.00	649.59	
Security Subtotal				64,583.94	50,227.10	0.00	14,356.84	
MARKET VECTORS RUSSIA								
		CUSIP Number	57060U506					
30 0000	Sale	10/27/08	01/04/13	912.88	366.30	0.00	546.58	
30 0000	Sale	10/27/08	05/03/13	818.68	366.30	0.00	452.38	
30 0000	Sale	10/27/08	06/03/13	770.99	366.30	0.00	404.69	
30 0000	Sale	10/27/08	07/08/13	760.49	366.30	0.00	394.19	
Security Subtotal				3,263.04	1,465.20	0.00	1,797.84	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
ISHARES FTSE NAREIT RESIDENTIAL PLUS CAP IND FD								
		CUSIP Number	464288562					
40 0000	Sale	11/29/11	01/04/13	1,958.76	1,607.18	0.00	351.58	
40 0000	Sale	11/29/11	05/03/13	2,193.95	1,607.18	0.00	586.77	
40 0000	Sale	11/29/11	06/03/13	2,078.76	1,607.18	0.00	471.58	
40 0000	Sale	11/29/11	07/08/13	2,045.56	1,607.18	0.00	438.38	
	Security Subtotal			8,277.03	6,428.72	0.00	1,848.31	
SPDR S P CHINA								
		CUSIP Number	78463X400					
20 0000	Sale	06/15/11	01/04/13	1,520.17	1,508.40	0.00	11.77	
20 0000	Sale	06/15/11	05/03/13	1,431.57	1,508.40	76.83 (W)	0.00	
30 0000	Sale	06/15/11	06/03/13	2,115.56	2,262.60	147.04 (W)	0.00	
30 0000	Sale	06/15/11	07/08/13	1,912.47	2,262.60	0.00	(350.13)	
230 0000	Sale	06/15/11	07/11/13	15,090.52	17,346.60	0.00	(2,256.08)	
	Security Subtotal			22,070.29	24,888.60	223.87	(2,594.44)	
WISDOMTREE INDIA EARNINGS								
		CUSIP Number	97717W422					
30 0000	Sale	06/15/11	01/04/13	592.49	692.09	0.00	(99.60)	
30 0000	Sale	06/15/11	05/03/13	570.59	692.09	0.00	(121.50)	
30 0000	Sale	06/15/11	06/03/13	533.09	692.08	0.00	(158.99)	
40 0000	Sale	06/15/11	07/08/13	638.79	922.78	0.00	(283.99)	
520 0000	Sale	12/14/11	12/18/13	8,789.67	8,219.90	0.00	569.77	
160 0000	Sale	06/15/11	12/18/13	2,704.51	3,691.12	986.61 (W)	0.00	
160 0000	Sale	06/15/11	12/18/13	2,704.51	3,834.60	1,130.09 (WY)	0.00	
230 0000	Sale	12/08/11	12/18/13	3,887.74	3,951.38	63.64 (W)	0.00	
	Security Subtotal			20,421.39	22,696.04	2,180.34	(94.31)	
ISHARES MSCI BRAZIL FREE INDEX FUND								
		CUSIP Number	464286400					
30 0000	Sale	10/27/08	01/04/13	1,711.46	856.49	0.00	854.97	
30 0000	Sale	10/27/08	05/03/13	1,664.66	856.49	0.00	808.17	
140 0000	Sale	10/27/08	05/08/13	7,841.24	3,996.95	0.00	3,844.29	
174 0000	Sale	12/14/11	05/08/13	9,745.54	9,686.05	0.00	59.49	
10 0000	Sale	10/27/08	06/03/13	512.38	285.50	0.00	226.88	
20 0000	Sale	12/23/08	06/03/13	1,024.79	639.19	0.00	385.60	
30 0000	Sale	12/23/08	07/08/13	1,252.18	958.79	0.00	293.39	



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2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
ISHARES MSCI BRAZIL FREE INDEX FUND								
		CUSIP Number	464286400					
82 0000	Sale	02/25/10	12/18/13	3,607.40	5,382.03	1,774.63 (WY)	0.00	
48 0000	Sale	07/19/10	12/18/13	2,111.65	3,037.06	925.41 (WY)	0.00	
	Security Subtotal			29,471.30	25,698.55	2,700.04	6,472.79	
VANGUARD GLBL EX-US REAL EST								
		CUSIP Number	922042676					
20 0000	Sale	12/20/10	01/04/13	1,103.58	984.71	0.00	118.87	
120 0000	Sale	12/20/10	04/02/13	6,883.25	5,908.27	0.00	974.98	
20 0000	Sale	07/22/11	04/02/13	1,147.20	1,047.47	0.00	99.73	
20 0000	Sale	12/20/10	05/03/13	1,239.77	984.71	0.00	255.06	
20 0000	Sale	12/20/10	06/03/13	1,099.58	984.71	0.00	114.87	
20 0000	Sale	12/20/10	07/08/13	1,068.58	984.71	0.00	83.87	
	Security Subtotal			12,541.96	10,894.58	0.00	1,647.38	
PIMCO COMMODITY REAL RETURN STRATEGY FD CL P								
		CUSIP Number	72201M842					
290 0000	Sale	12/09/10	01/04/13	1,893.70	2,586.80	0.00	(693.10)	
270 0000	Sale	12/09/10	05/03/13	1,714.50	2,408.40	0.00	(693.90)	
280 0000	Sale	12/09/10	06/03/13	1,713.60	2,497.60	0.00	(784.00)	
290 0000	Sale	12/09/10	07/08/13	1,629.80	2,586.80	957.00 (W)	0.00	
3555 0000	Sale	12/09/10	11/21/13	19,694.69	31,710.60	0.00	(12,015.91)	
6111 0000	Sale	12/15/10	11/21/13	33,854.94	54,510.12	0.00	(20,655.18)	
1105 0000	Sale	07/22/11	11/21/13	6,121.70	10,210.20	0.00	(4,088.50)	
	Security Subtotal			66,622.93	106,510.52	957.00	(38,930.59)	
DOUBLELINE EMERGING MARKETS FI FUND CL I								
		CUSIP Number	258620509					
90 0000	Sale	04/29/11	01/04/13	999.90	957.60	0.00	42.30	
180 0000	Sale	04/29/11	05/03/13	1,994.40	1,915.20	0.00	79.20	
180 0000	Sale	04/29/11	06/03/13	1,940.40	1,915.20	0.00	25.20	
859 0000	Sale	04/29/11	06/14/13	9,139.75	9,139.75	0.00	(0.01)	
1 0000	Sale	07/22/11	06/14/13	10.64	10.67	0.00	(0.03)	
3235 0000	Sale	07/22/11	06/14/13	34,420.40	34,873.30	0.00	(452.90)	
	Security Subtotal			48,505.49	48,811.73	0.00	(306.24)	



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2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e. Quantity	Transaction Description	1b Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
DOUBLELINE TOTAL RETURN								
BOND FUND CL I								
		CUSIP Number	258620103					
530,000	Sale	10/12/10	01/04/13	6,004.90	5,893.60	0.00	111.30	
882,000	Sale	10/12/10	04/02/13	10,010.70	9,807.84	0.00	202.86	
774,000	Sale	11/08/10	04/02/13	8,784.89	8,676.54	0.00	108.35	
423,000	Sale	12/09/10	04/02/13	4,801.05	4,665.69	0.00	135.36	
1,000	Sale	01/12/11	04/02/13	11.34	11.09	0.00	0.25	
39,000	Sale	01/12/11	04/02/13	442.65	430.56	0.00	12.09	
1,000	Sale	07/22/11	04/02/13	11.35	11.04	0.00	0.31	
139,000	Sale	07/22/11	04/02/13	1,577.65	1,542.90	0.00	34.75	
	Security Subtotal			31,644.53	31,039.26	0.00	605.27	
BLACKROCK GLOBAL DIVIDEND INC PRFL INST								
		CUSIP Number	09256H328					
200,000	Sale	02/10/11	01/04/13	2,108.00	1,838.00	0.00	270.00	
290,000	Sale	02/10/11	04/02/13	3,271.20	2,665.10	0.00	606.10	
180,000	Sale	02/10/11	05/03/13	2,062.80	1,654.20	0.00	408.60	
180,000	Sale	02/10/11	06/03/13	2,037.60	1,654.20	0.00	383.40	
190,000	Sale	02/10/11	07/08/13	2,129.90	1,746.10	0.00	383.80	
	Security Subtotal			11,609.50	9,557.60	0.00	2,051.90	
NEUBERGER BERMAN EQUITY INCOME FUND CL INSTL								
		CUSIP Number	641224498					
170,000	Sale	09/15/11	01/04/13	2,014.50	1,885.30	0.00	129.20	
160,000	Sale	09/15/11	05/03/13	2,027.20	1,774.40	0.00	252.80	
160,000	Sale	09/15/11	06/03/13	1,987.20	1,774.40	0.00	212.80	
170,000	Sale	09/15/11	07/08/13	2,058.70	1,885.30	0.00	173.40	
2698,000	Sale	09/15/11	08/01/13	33,401.23	29,920.82	0.00	3,480.41	
	Security Subtotal			41,488.83	37,240.22	0.00	4,248.61	
Noncovered Long Term Capital Gains and Losses Subtotal								
				852,802.70	755,482.62	6,132.73	103,452.81	
NET LONG TERM CAPITAL GAINS AND LOSSES								
				1,290,636.63	1,191,209.30	11,088.40	110,515.73	
TOTAL SALES PROCEEDS FOR CAPITAL GAINS AND LOSSES								
TOTAL REPORTED SALES PROCEEDS								
				2,763,181.29				
				2,763,181.29				



Merrill Lynch
Bank of America Corporation

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The following sections are provided to facilitate your review and the preparation of your tax return.

The 2013 Proceeds from Broker and Barter Exchange Transactions section includes both sales of positions for "covered securities" and "noncovered securities." A covered security includes those with a purchase date within the following timeline: Equities acquired on or after January 1, 2011 and Mutual Funds acquired on or after January 1, 2012. Legislation requires reporting the gross proceeds of the sales of "covered" and "noncovered" securities and the adjusted cost basis for "covered securities." Any sale of a security that is considered a "noncovered security" will still be included in this section with the adjusted cost basis (where available).

In calculating gain (loss), unless otherwise noted, it was assumed that the oldest position was liquidated first, and that you have made an election to amortize the premium paid on the purchase of taxable bonds. Under the Cost Basis Reporting Regulations, brokers need not track wash sale activity for substantially identical securities, transactions across accounts, or between covered and non-covered securities. However, you as a taxpayer still have to track and report wash sales as you have in the past which would include all of the aforementioned transaction types. Securities distributed from a retirement account reflect the tax basis on the date of distribution. Other methods for calculating gain (loss) are available. The cost basis for most Original Issue Discount ("OID") obligations includes the accretion of OID. For purposes of allocating original purchase price to the components of an equity unit consisting of a purchase contract and a debt security subject to a remarketing event, we assumed that the fair market value of the debt security on purchase date was equal to its adjusted issue price. The difference between your original cost and the amount allocable to the debt component was allocated to the purchase contract. In making adjustments to the cost basis of the purchase contract, it was assumed that the unit holder included contract adjustment payments in income when received.

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

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2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
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SHORT TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c:

COVERED TRANSACTIONS - 1099-B Line 6b. (cost basis reported to the IRS)

AK STEEL HOLDING CO 636 0000 Sale	CUSIP Number 02/14/13	001547108 03/18/13	2,286.12	2,727.99	0.00	(441.87)	
AGRIUM INC 14 0000 Sale	CUSIP Number 04/09/13	008916108 08/30/13	1,202.37	1,332.52	0.00	(130.15)	
ANTOFAGASTA PLC SPN ADR 1 0000 Sale	CUSIP Number 01/17/13	037189107 10/11/13	27.34	41.24	0.00	(13.90)	
AURICO GOLD INC COM 186 0000 Sale 205 0000 Sale 355 0000 Sale	CUSIP Number 09/19/12 09/19/12 09/27/12	05155C105 04/10/13 07/09/13 07/09/13	1,138.72 939.09 1,626.23	1,296.32 1,428.75 2,484.72	0.00 0.00 0.00	(157.60) (489.66) (858.49)	
Security Subtotal			3,704.04	5,209.79	0.00	(1,505.75)	
ASHLAND INC NEW 21 0000 Sale	CUSIP Number 03/08/13	044209104 11/04/13	1,950.28	1,675.38	0.00	274.90	
ALON USA ENERGY INC 285 0000 Sale	CUSIP Number 06/17/13	020520102 07/10/13	3,568.31	4,740.03	0.00	(1,171.72)	

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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
BRASKEM S A SP ADR								
1 0000	Sale	01/07/13	10/11/13	16.93	13.50	0.00	3.43	
173 0000	Sale	01/07/13	10/28/13	3,079.77	2,335.38	0.00	744.39	
24 0000	Sale	01/07/13	10/29/13	428.94	323.98	0.00	104.96	
101 0000	Sale	01/09/13	10/29/13	1,805.14	1,341.63	0.00	463.51	
49 0000	Sale	03/19/13	10/29/13	875.77	711.48	0.00	164.29	
Security Subtotal				6,206.55	4,725.97	0.00	1,480.58	
BARRICK GOLD CORPORATION								
36 0000	Sale	01/05/12	06/7901108	1,244.95	1,728.88	0.00	(483.93)	
55 0000	Sale	06/01/12	01/03/13	1,902.01	2,298.43	0.00	(396.42)	
20 0000	Sale	06/11/12	01/03/13	691.65	776.40	0.00	(84.75)	
Security Subtotal				3,838.61	4,803.71	0.00	(965.10)	
BHP BILLITON LTD ADR								
1 0000	Sale	05/03/13	088606108	67.23	67.80	0.57 (W)	0.00	
CEMEX SAB DE CV SPND ADR								
3 0000	Sale	09/24/13	151290889	32.36	34.17	1.81 (W)	0.00	
CNOOC LTD ADR								
26 0000	Sale	03/07/13	126132109	5,299.91	4,973.35	0.00	326.56	
1 0000	Sale	03/13/13	09/27/13	203.85	187.30	0.00	16.55	
13 0000	Sale	03/13/13	09/30/13	2,638.95	2,434.90	0.00	204.05	
11 0000	Sale	08/15/13	09/30/13	2,232.97	2,078.56	0.00	154.41	
Security Subtotal				10,375.68	9,674.11	0.00	701.57	
CF IND S HLDGS INC								
4 0000	Sale	01/18/13	125269100	784.89	869.92	0.00	(85.03)	
CONTINENTAL RESOURCES INC								
25 0000	Sale	07/20/12	212015101	2,264.45	1,898.91	0.00	365.54	
CAMERON INTL CORP								
24 0000	Sale	04/25/13	13342B105	1,416.70	1,441.94	0.00	(25.24)	



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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3 Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
CALPINE CORP								
2 0000	Sale	08/08/13	131347304	39.29	39.39	0.10 (W)	0.00	
118 0000	Sale	08/08/13	12/02/13	2,250.54	2,323.73	0.00	(73.19)	
2 0000	Sale	08/08/13	12/02/13	38.14	39.08	0.00 (Y)	(0.94)	
123 0000	Sale	08/09/13	12/02/13	2,345.90	2,414.28	0.00	(68.38)	
5 0000	Sale	08/21/13	12/02/13	95.37	95.65	0.00	(0.28)	
64 0000	Sale	08/21/13	12/04/13	1,257.45	1,224.32	0.00	33.13	
70 0000	Sale	09/16/13	12/04/13	1,375.34	1,364.30	0.00	11.04	
128 0000	Sale	09/19/13	12/04/13	2,514.92	2,547.20	0.00	(32.28)	
Security Subtotal				9,916.95	10,047.95	0.10	(130.90)	
CLIFFS NATURAL RESOURCES INC								
37 0000	Sale	03/20/12	02/13/13	1,133.22	2,637.87	0.00	(1,504.65)	
18 0000	Sale	03/26/12	02/13/13	551.29	1,259.76	0.00	(708.47)	
22 0000	Sale	03/27/12	02/13/13	673.80	1,568.82	0.00	(895.02)	
22 0000	Sale	03/30/12	02/13/13	673.81	1,540.88	0.00	(867.07)	
18 0000	Sale	04/16/12	02/13/13	551.29	1,243.20	0.00	(691.91)	
31 0000	Sale	08/01/12	02/13/13	949.47	1,264.49	0.00	(315.02)	
Security Subtotal				4,532.88	9,515.02	0.00	(4,982.14)	
COBALT INTL ENERGY INC								
164 0000	Sale	08/08/13	19075F106	4,104.49	4,742.16	0.00	(637.67)	
C&J ENERGY SVCS INC								
90 0000	Sale	02/03/12	12467B304	1,980.99	1,556.04	0.00	424.95	
27 0000	Sale	02/08/12	01/03/13	594.30	499.44	0.00	94.86	
Security Subtotal				2,575.29	2,055.48	0.00	519.81	
CUMMINS INC								
24 0000	Sale	12/14/12	231021106	3,104.73	2,554.32	0.00	550.41	
3 0000	Sale	12/17/12	09/09/13	388.10	319.50	0.00	68.60	
21 0000	Sale	12/17/12	09/12/13	2,787.28	2,236.50	0.00	550.78	
17 0000	Sale	02/28/13	09/12/13	2,256.37	1,973.84	0.00	282.53	
Security Subtotal				8,536.48	7,084.16	0.00	1,452.32	
EASTMAN CHEMICAL CO COM								
1 0000	Sale	09/06/13	277432100	77.68	76.14	0.00	1.54	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
ENI S P A SPONSORED ADR								
		CUSIP Number	26874R108					
38 0000	Sale	03/06/13	08/09/13	1,731.31	1,767.67	0.00	(36.36)	
69 0000	Sale	03/06/13	08/09/13	3,143.71	3,219.14	0.00	(75.43)	
29 0000	Sale	03/13/13	08/09/13	1,321.27	1,354.28	0.00	(33.01)	
	Security Subtotal			6,196.29	6,341.09	0.00	(144.80)	
ENSCO PLC SHS CL A								
		CUSIP Number	G3157S106					
1 0000	Sale	05/15/13	10/11/13	54.96	61.63	6.67 (W)	0.00	
77 0000	Sale	05/15/13	11/06/13	4,668.58	4,745.15	0.00	(76.57)	
1 0000	Sale	05/15/13	11/06/13	60.63	63.37	0.00 (Y)	(2.74)	
11 0000	Sale	07/31/13	11/06/13	666.95	634.15	0.00	32.80	
34 0000	Sale	07/31/13	11/20/13	2,108.07	1,960.09	0.00	147.98	
52 0000	Sale	09/12/13	11/20/13	3,224.13	2,948.39	0.00	275.74	
	Security Subtotal			10,783.32	10,412.78	6.67	377.21	
FST QUANTUM MINERALS COM								
		CUSIP Number	335934105					
276 0000	Sale	02/17/12	01/22/13	5,786.90	6,143.76	0.00	(356.86)	
61 0000	Sale	02/24/12	01/22/13	1,278.99	1,406.59	0.00	(127.60)	
	Security Subtotal			7,065.89	7,550.35	0.00	(484.46)	
FOREST OIL CORP NEW								
		CUSIP Number	346091705					
81 0000	Sale	03/14/13	11/21/13	336.25	496.27	0.00	(160.02)	
FMC TECHS INC COM								
		CUSIP Number	30249U101					
36 0000	Sale	01/15/13	06/27/13	2,028.56	1,651.33	0.00	377.23	
1 0000	Sale	01/15/13	10/11/13	57.41	45.87	0.00	11.54	
79 0000	Sale	01/15/13	12/16/13	4,173.03	3,623.74	0.00	549.29	
	Security Subtotal			6,259.00	5,320.94	0.00	938.06	
FRANCO NEV CORP								
		CUSIP Number	351858105					
99 0000	Sale	12/04/12	05/03/13	4,185.75	5,446.58	0.00	(1,260.83)	
GOLDCORP INC								
		CUSIP Number	380956409					
114 0000	Sale	05/09/12	04/10/13	3,585.51	4,074.36	0.00	(488.85)	
AXIALL CORP								
		CUSIP Number	05463D100					
1 0000	Sale	05/16/13	10/11/13	39.26	50.00	0.00	(10.74)	
47 0000	Sale	05/16/13	11/15/13	2,028.01	2,350.00	0.00	(321.99)	
19 0000	Sale	05/29/13	11/15/13	819.84	849.72	0.00	(29.88)	
41 0000	Sale	05/29/13	11/18/13	1,818.92	1,833.60	0.00	(14.68)	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
AXIALL CORP								
52 0000	Sale	06/07/13	05463D100 11/18/13	2,306.93	2,240.46	0.00	66.47	
7 0000	Sale	06/07/13	12/02/13	344.77	301.60	0.00	43.17	
32 0000	Sale	08/01/13	12/02/13	1,576.10	1,527.24	0.00	48.86	
27 0000	Sale	08/21/13	12/02/13	1,329.84	1,139.73	0.00	190.11	
51 0000	Sale	09/06/13	12/02/13	2,511.93	2,013.44	0.00	498.49	
Security Subtotal				12,775.60	12,305.79	0.00	469.81	
GLENCORE XSTRATA PLC								
3 0000	Sale	08/08/13	37827X100 10/11/13	31.97	26.19	0.00	5.78	
HELIX ENERGY SOLUTIONS								
101 0000	Sale	10/08/13	42330P107 11/14/13	2,347.88	2,508.88	0.00	(161.00)	
105 0000	Sale	10/10/13	11/14/13	2,440.88	2,548.79	0.00	(107.91)	
Security Subtotal				4,788.76	5,057.67	0.00	(268.91)	
HESS CORP								
67 0000	Sale	04/24/13	42809H107 11/15/13	5,536.61	4,666.24	0.00	870.37	
JSC MMC NORILSK NCKL ADR								
65 0000	Sale	09/14/12	46626D108 02/12/13	1,265.52	1,090.99	0.00	174.53	
274 0000	Sale	09/14/12	08/08/13	3,399.65	4,598.92	0.00	(1,199.27)	
Security Subtotal				4,665.17	5,689.91	0.00	(1,024.74)	
KINROSS GOLD CORP								
47 0000	Sale	09/17/12	496902404 06/13/13	277.57	477.89	0.00	(200.32)	
MARATHON OIL CORP								
143 0000	Sale	10/11/13	565849106 11/21/13	5,445.99	5,024.12	0.00	421.87	
NOBLE CORP NAMEN-AKT								
11 0000	Sale	10/11/12	H5833N103 03/13/13	396.02	395.67	0.00	0.35	
OCEAN RIG UDW INC SHS								
1 0000	Sale	02/05/13	Y64354205 10/11/13	18.50	17.64	0.00	0.86	
PPG INDUSTRIES INC SHS								
18 0000	Sale	03/19/13	693506107 10/02/13	2,990.28	2,545.74	0.00	444.54	
14 0000	Sale	04/24/13	10/02/13	2,325.79	2,032.08	0.00	293.71	
Security Subtotal				5,316.07	4,577.82	0.00	738.25	

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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
PETROLEO BRAS SA ADR								
327 0000	Sale	12/19/12	01/30/13	5,957.52	6,536.76	0.00	(579.24)	
PIONEER NATURAL RES CO								
54 0000	Sale	06/15/12	01/31/13	6,327.58	4,793.29	0.00	1,534.29	
PEABODY ENERGY CORP COM								
92 0000	Sale	01/22/13	03/14/13	1,990.37	2,414.08	0.00	(423.71)	
1 0000	Sale	09/19/13	10/11/13	17.48	18.87	1.39 (W)	0.00	
Security Subtotal				2,007.85	2,432.95	1.39	(423.71)	
PACIFIC RUBIALES ENERGY CORP								
Security Subtotal								
102 0000	Sale	07/08/13	12/17/13	1,761.51	1,779.63	0.00	(18.12)	
134 0000	Sale	08/08/13	12/17/13	2,314.15	2,770.56	0.00	(456.41)	
28 0000	Sale	09/19/13	12/17/13	483.56	583.59	0.00	(100.03)	
Security Subtotal				4,559.22	5,133.78	0.00	(574.56)	
PETROFAC LTD.								
3 0000	Sale	01/30/13	10/11/13	32.78	38.35	5.57 (W)	0.00	
416 0000	Sale	01/30/13	11/15/13	4,781.50	5,317.52	0.00	(536.02)	
3 0000	Sale	01/30/13	11/15/13	34.48	39.62	0.00 (Y)	(5.14)	
97 0000	Sale	09/20/13	11/15/13	1,114.92	1,101.01	0.00	13.91	
138 0000	Sale	10/01/13	11/15/13	1,586.18	1,571.68	0.00	14.50	
Security Subtotal				7,549.86	8,068.18	5.57	(512.75)	
PRAXAIR INC								
22 0000	Sale	03/19/13	11/26/13	2,768.39	2,494.80	0.00	273.59	
19 0000	Sale	04/24/13	11/26/13	2,390.89	2,150.80	0.00	240.09	
Security Subtotal				5,159.28	4,645.60	0.00	513.68	
POTASH CORP SASKATCHEWAN								
127 0000	Sale	12/10/12	09/03/13	3,793.62	5,049.52	0.00	(1,255.90)	
65 0000	Sale	01/18/13	09/03/13	1,941.63	2,711.77	0.00	(770.14)	
Security Subtotal				5,735.25	7,761.29	0.00	(2,026.04)	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
	RIO TINTO PLC SPNSRD ADR	CUSIP Number	767204100					
48.0000	Sale	11/30/12	03/19/13	2,271.31	2,382.87	0.00	(111.56)	
1.0000	Sale	11/30/12	10/11/13	49.39	49.64	0.25 (W)	0.00	
	Security Subtotal			2,320.70	2,432.51	0.25	(111.56)	
	ROYAL DUTCH SHELL PLC SPONS ADR A	CUSIP Number	780259206					
38.0000	Sale	03/13/13	08/08/13	2,446.79	2,504.56	0.00	(57.77)	
38.0000	Sale	03/14/13	08/08/13	2,446.79	2,531.17	0.00	(84.38)	
32.0000	Sale	06/17/13	08/08/13	2,060.46	2,112.64	0.00	(52.18)	
	Security Subtotal			6,954.04	7,148.37	0.00	(194.33)	
	SOCIEDAD Q&M CHLE SPDADR	CUSIP Number	833635105					
54.0000	Sale	06/07/13	08/08/13	1,523.20	2,390.82	0.00	(867.62)	
53.0000	Sale	06/13/13	08/08/13	1,495.00	2,327.69	0.00	(832.69)	
	Security Subtotal			3,018.20	4,718.51	0.00	(1,700.31)	
	STEEL DYNAMICS INC COM	CUSIP Number	858119100					
1.0000	Sale	08/20/13	10/11/13	16.97	15.94	0.00	1.03	
	SILVER WHEATON CORP	CUSIP Number	828336107					
52.0000	Sale	03/20/13	12/17/13	1,060.78	1,572.63	0.00	(511.85)	
83.0000	Sale	07/09/13	12/17/13	1,693.17	1,607.69	0.00	85.48	
58.0000	Sale	09/12/13	12/17/13	1,183.18	1,406.50	0.00	(223.32)	
49.0000	Sale	10/01/13	12/17/13	999.59	1,173.55	0.00	(173.96)	
51.0000	Sale	10/16/13	12/17/13	1,040.39	1,120.47	0.00	(80.08)	
	Security Subtotal			5,977.11	6,880.84	0.00	(903.73)	
	SOUTHERN COPPER CORP	CUSIP Number	84265V105					
1.0000	Sale	08/15/13	10/11/13	27.51	29.42	0.00	(1.91)	
	SANDRIDGE ENERGY INC	CUSIP Number	80007P307					
1.0000	Sale	07/17/13	10/11/13	6.20	5.14	0.00	1.06	
	SUBSEA 7 SA SPONSRD ADR	CUSIP Number	864323100					
226.0000	Sale	10/09/12	08/13/13	4,243.98	5,263.77	0.00	(1,019.79)	
53.0000	Sale	01/30/13	08/13/13	995.27	1,285.70	0.00	(290.43)	
	Security Subtotal			5,239.25	6,549.47	0.00	(1,310.22)	



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SILVER STD RES INC								
		CUSIP Number	82823L106					
3 0000	Sale	01/10/13	10/11/13	16.04	41.82	25.78 (W)	0.00	
189 0000	Sale	01/10/13	12/17/13	1,290.73	2,634.66	0.00	(1,343.93)	
3 0000	Sale	01/10/13	12/17/13	20.48	46.13	0.00 (V)	(25.65)	
221 0000	Sale	02/05/13	12/17/13	1,509.27	2,583.73	0.00	(1,074.46)	
233 0000	Sale	06/13/13	12/17/13	1,591.23	1,697.31	0.00	(106.08)	
155 0000	Sale	09/10/13	12/17/13	1,058.54	1,207.54	0.00	(149.00)	
154 0000	Sale	09/16/13	12/17/13	1,051.72	1,044.75	0.00	6.97	
	Security Subtotal			6,538.01	9,255.94	25.78	(2,692.15)	
SOUTHWESTERN ENERGY CO								
		CUSIP Number	845467109					
9 0000	Sale	10/08/13	11/22/13	351.21	323.55	0.00	27.66	
TECK RESOURCES LTD CLS B								
		CUSIP Number	878742204					
48 0000	Sale	10/17/13	12/17/13	1,105.91	1,319.14	0.00	(213.23)	
TOTAL S.A. SP ADR								
		CUSIP Number	89151E109					
50 0000	Sale	03/13/13	08/15/13	2,729.74	2,520.03	0.00	209.71	
50 0000	Sale	03/14/13	08/15/13	2,729.75	2,540.57	0.00	189.18	
19 0000	Sale	08/08/13	08/15/13	1,037.31	1,021.01	0.00	16.30	
	Security Subtotal			6,496.80	6,081.61	0.00	415.19	
TRICAN WELL SVC LTD NPV								
		CUSIP Number	895945103					
82 0000	Sale	08/13/13	12/17/13	953.65	1,137.02	0.00	(183.37)	
72 0000	Sale	09/18/13	12/17/13	837.36	1,023.24	0.00	(185.88)	
	Security Subtotal			1,791.01	2,160.26	0.00	(369.25)	
TECHNIP SP ADR								
		CUSIP Number	878546209					
101 0000	Sale	01/29/13	12/30/13	2,409.34	2,855.09	0.00	(445.75)	
55 0000	Sale	09/19/13	12/30/13	1,312.03	1,672.26	0.00	(360.23)	
	Security Subtotal			3,721.37	4,527.35	0.00	(805.98)	
TRANSOCEAN LTD								
		CUSIP Number	H8817H100					
86 0000	Sale	08/02/12	01/15/13	4,625.84	4,106.36	0.00	519.48	
53 0000	Sale	01/03/13	09/26/13	2,391.23	2,595.94	0.00	(204.71)	
	Security Subtotal			7,017.07	6,702.30	0.00	314.77	



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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
THE MOSAIC COMPANY								
	COMMON SHARES							
18 0000	Sale	01/18/13	07/30/13	721.64	1,060.56	0.00	(338.92)	
TRONOX LTD SHS CL A								
1 0000	Sale	10/02/13	10/11/13	23.99	24.40	0.00	(0.41)	
205.0000	Sale	10/02/13	10/16/13	4,762.01	5,002.10	0.00	(240.09)	
	Security Subtotal			4,786.00	5,026.50	0.00	(240.50)	
UNITED STS STL CORP NEW								
117.0000	Sale	02/14/13	03/18/13	2,355.60	2,742.76	0.00	(387.16)	
1 0000	Sale	08/09/13	10/11/13	22.15	18.53	0.00	3.62	
175 0000	Sale	08/09/13	10/16/13	4,092.69	3,243.36	0.00	849.33	
	Security Subtotal			6,470.44	6,004.65	0.00	465.79	
U S SILICA HLDGS INC								
	COMMON STOCK							
1 0000	Sale	06/17/13	10/11/13	31.14	21.16	0.00	9.98	
VALE SA								
131 0000	Sale	12/11/12	03/19/13	2,244.11	2,432.40	0.00	(188.29)	
2 0000	Sale	12/11/12	10/11/13	31.03	37.14	0.00	(6.11)	
	Security Subtotal			2,275.14	2,469.54	0.00	(194.40)	
WALTER ENERGY INC								
37.0000	Sale	08/01/12	04/19/13	674.32	1,273.13	0.00	(598.81)	
43 0000	Sale	01/22/13	04/19/13	783.68	1,655.93	0.00	(872.25)	
1 0000	Sale	09/26/13	10/11/13	14.67	14.89	0.22 (W)	0.00	
	Security Subtotal			1,472.67	2,943.95	0.22	(1,471.06)	
Covered Short Term Capital Gains and Losses Subtotal				248,767.92	265,694.26	42.36	(16,883.98)	
NET SHORT TERM CAPITAL GAINS AND LOSSES				248,767.92	265,694.26	42.36	(16,883.98)	



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LONG TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.

COVERED TRANSACTIONS - 1099-B Line 6b. (cost basis reported to the IRS)

ALBEMARLE CORP COM		CUSIP Number	012653101					
18 0000	Sale	01/19/11	09/06/13	1,111.39	1,054.30	0.00	57.09	
15 0000	Sale	01/19/11	09/18/13	946.17	878.58	0.00	67.59	
35 0000	Sale	02/16/11	09/18/13	2,207.74	2,049.54	0.00	158.20	
68 0000	Sale	03/08/11	09/18/13	4,289.35	3,898.84	0.00	390.51	
Security Subtotal				8,554.65	7,881.26	0.00	673.39	
AGRIUM INC		CUSIP Number	008916108					
7 0000	Sale	02/10/11	08/30/13	601.18	666.96	0.00	(65.78)	
1 0000	Sale	09/08/11	08/30/13	85.88	89.85	0.00	(3.97)	
Security Subtotal				687.06	756.81	0.00	(69.75)	
ASHLAND INC NEW		CUSIP Number	044209104					
5 0000	Sale	01/10/11	11/04/13	464.34	271.22	0.00	193.12	
36 0000	Sale	01/14/11	11/04/13	3,343.31	1,982.44	0.00	1,360.87	
16 0000	Sale	02/16/11	11/04/13	1,485.92	969.28	0.00	516.64	
17 0000	Sale	04/21/11	11/04/13	1,578.78	971.21	0.00	607.57	
Security Subtotal				6,872.35	4,194.15	0.00	2,678.20	
AGCO CORP COM		CUSIP Number	001084102					
56 0000	Sale	08/14/12	09/19/13	3,368.94	2,500.86	0.00	868.08	
20 0000	Sale	08/29/12	09/19/13	1,203.20	844.16	0.00	359.04	
43 0000	Sale	08/29/12	09/24/13	2,634.96	1,814.94	0.00	820.02	
Security Subtotal				7,207.10	5,159.96	0.00	2,047.14	
ANADARKO PETE CORP		CUSIP Number	032511107					
35 0000	Sale	05/18/12	12/16/13	2,781.05	2,235.94	0.00	545.11	
APACHE CORP		CUSIP Number	037411105					
6 0000	Sale	02/25/11	04/24/13	426.58	724.80	0.00	(298.22)	
5 0000	Sale	10/18/11	04/24/13	355.48	451.95	0.00	(96.47)	
25 0000	Sale	02/16/12	04/24/13	1,777.42	2,646.76	0.00	(869.34)	
Security Subtotal				2,559.48	3,823.51	0.00	(1,264.03)	



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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3 Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
BARRICK GOLD CORPORATION								
134.0000	Sale	11/23/11	067901108	4,633.97	6,389.56	0.00	(1,755.59)	
54.0000	Sale	12/01/11	01/03/13	1,867.42	2,845.26	0.00	(977.84)	
33.0000	Sale	12/02/11	01/03/13	1,141.20	1,686.96	0.00	(545.76)	
Security Subtotal				7,642.59	10,921.78	0.00	(3,279.19)	
CALFRAC WELL SVCS LTD								
1.0000	Sale	02/23/12	129584108	29.87	29.06	0.00	0.81	
53.0000	Sale	02/23/12	10/11/13	1,611.64	1,540.00	0.00	71.64	
36.0000	Sale	03/13/12	11/14/13	1,094.70	1,188.24	0.00	(93.54)	
7.0000	Sale	03/14/12	11/14/13	212.87	225.37	0.00	(12.50)	
22.0000	Sale	03/14/12	11/21/13	667.25	708.32	0.00	(41.07)	
15.0000	Sale	03/15/12	11/21/13	454.95	478.05	0.00	(23.10)	
60.0000	Sale	06/06/12	11/21/13	1,819.79	1,448.54	0.00	371.25	
5.0000	Sale	06/11/12	11/21/13	151.66	118.25	0.00	33.41	
17.0000	Sale	06/11/12	11/21/13	519.08	402.05	0.00	117.03	
41.0000	Sale	08/20/12	11/21/13	1,251.91	1,067.49	0.00	184.42	
28.0000	Sale	08/21/12	11/21/13	854.96	729.33	0.00	125.63	
46.0000	Sale	08/22/12	11/21/13	1,404.58	1,194.95	0.00	209.63	
35.0000	Sale	08/23/12	11/21/13	1,068.71	909.18	0.00	159.53	
Security Subtotal				11,141.97	10,038.83	0.00	1,103.14	
CELANESE CORP DEL SER A								
1.0000	Sale	01/14/11	150870103	52.94	43.41	0.00	9.53	
CF INDS HLDGS INC								
45.0000	Sale	06/05/12	125269100	8,830.01	7,475.29	0.00	1,354.72	
CONTINENTAL RESOURCES INC								
1.0000	Sale	07/20/12	212015101	111.99	75.96	0.00	36.03	
CAMERON INTL CORP								
20.0000	Sale	02/01/11	13342B105	1,151.54	1,075.80	0.00	75.74	
59.0000	Sale	02/25/11	12/16/13	3,397.07	3,420.77	0.00	(23.70)	
40.0000	Sale	03/18/11	12/16/13	2,303.10	2,387.49	0.00	(84.39)	
16.0000	Sale	03/18/11	12/31/13	944.46	955.00	0.00	(10.54)	
46.0000	Sale	03/29/11	12/31/13	2,715.33	2,642.00	0.00	73.33	
Security Subtotal				10,511.50	10,481.06	0.00	30.44	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
C&J ENERGY SVCS INC								
		CUSIP Number	12467B304					
42 0000	Sale	02/08/12	06/19/13	799.00	776.90	0.00	22.10	
7 0000	Sale	02/08/12	07/17/13	133.63	129.48	0.00	4.15	
85 0000	Sale	02/10/12	07/17/13	1,622.71	1,538.50	0.00	84.21	
57 0000	Sale	02/14/12	07/17/13	1,088.18	1,114.35	0.00	(26.17)	
101 0000	Sale	03/16/12	07/17/13	1,928.18	1,802.85	0.00	125.33	
Security Subtotal				5,571.70	5,362.08	0.00	209.62	
DEVON ENERGY CORP NEW								
		CUSIP Number	25179M103					
70 0000	Sale	10/18/11	09/25/13	4,200.63	4,300.05	0.00	(99.42)	
22 0000	Sale	10/18/11	09/26/13	1,310.23	1,351.45	0.00	(41.22)	
62 0000	Sale	10/28/11	09/26/13	3,692.50	4,166.40	0.00	(473.90)	
Security Subtotal				9,203.36	9,817.90	0.00	(614.54)	
FREEMPT-MCMRAN CPR & GLD								
		CUSIP Number	35671D857					
2 0000	Sale	05/25/11	10/11/13	66.99	99.88	32.89 (W)	0.00	
FOREST OIL CORP NEW								
		CUSIP Number	346091705					
4 0000	Sale	02/06/12	10/11/13	21.83	54.32	0.00	(32.49)	
453 0000	Sale	02/06/12	11/15/13	1,970.65	6,151.65	0.00	(4,181.00)	
107 0000	Sale	02/13/12	11/15/13	465.47	1,445.25	0.00	(979.78)	
95 0000	Sale	02/14/12	11/15/13	413.27	1,292.95	0.00	(879.68)	
101 0000	Sale	02/22/12	11/15/13	439.37	1,339.26	0.00	(899.89)	
10 0000	Sale	09/12/12	11/15/13	43.51	83.28	0.00	(39.77)	
183 0000	Sale	09/12/12	11/21/13	759.65	1,524.04	0.00	(764.39)	
Security Subtotal				4,113.75	11,890.75	0.00	(7,777.00)	
FOSTER WHEELER AG								
		CUSIP Number	H27178104					
7 0000	Sale	01/04/11	06/17/13	168.73	239.47	0.00	(70.74)	
1 0000	Sale	01/04/11	10/11/13	26.85	34.21	0.00	(7.36)	
Security Subtotal				195.58	273.68	0.00	(78.10)	
GOLDCORP INC								
		CUSIP Number	380956409					
62 0000	Sale	01/06/12	02/05/13	2,221.41	2,744.74	0.00	(523.33)	
12 0000	Sale	01/11/12	02/05/13	429.96	539.26	0.00	(109.30)	
50 0000	Sale	01/11/12	04/10/13	1,572.58	2,246.90	0.00	(674.32)	
Security Subtotal				4,223.95	5,530.90	0.00	(1,306.95)	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
HUNTSMAN CORP								
		CUSIP Number	447011107					
35 0000	Sale	02/02/12	03/08/13	677.23	469.00	0.00	208.23	
37 0000	Sale	02/03/12	03/08/13	715.94	510.47	0.00	205.47	
2 0000	Sale	02/03/12	10/11/13	43.29	27.59	0.00	15.70	
Security Subtotal				1,436.46	1,007.06	0.00	429.40	
JOY GLOBAL INC DEL COM								
		CUSIP Number	481165108					
6 0000	Sale	08/24/11	06/17/13	315.92	444.78	0.00	(128.86)	
24 0000	Sale	03/16/12	06/17/13	1,263.68	1,912.93	0.00	(649.25)	
Security Subtotal				1,579.60	2,357.71	0.00	(778.11)	
KINROSS GOLD CORP								
		CUSIP Number	496902404					
360 0000	Sale	08/11/11	01/17/13	3,443.61	5,523.12	0.00	(2,079.51)	
8 0000	Sale	08/11/11	02/27/13	62.77	122.74	0.00	(59.97)	
97 0000	Sale	10/05/11	02/27/13	761.10	1,333.74	0.00	(572.64)	
143 0000	Sale	10/27/11	02/27/13	1,122.04	2,100.64	0.00	(978.60)	
92 0000	Sale	11/03/11	02/27/13	721.87	1,340.48	0.00	(618.61)	
121 0000	Sale	11/14/11	02/27/13	949.42	1,715.21	0.00	(765.79)	
37 0000	Sale	11/17/11	02/27/13	290.32	499.13	0.00	(208.81)	
72 0000	Sale	11/17/11	06/13/13	425.20	971.28	0.00	(546.08)	
86 0000	Sale	11/22/11	06/13/13	507.89	1,099.92	0.00	(592.03)	
286 0000	Sale	05/23/12	06/13/13	1,689.03	2,358.81	0.00	(669.78)	
277 0000	Sale	06/01/12	06/13/13	1,635.88	2,364.80	0.00	(728.92)	
Security Subtotal				11,609.13	19,429.87	0.00	(7,820.74)	
MCDERMOTT INTL INC								
		CUSIP Number	580037109					
172 0000	Sale	02/23/11	06/17/13	1,545.71	3,784.00	0.00	(2,238.29)	
158 0000	Sale	04/27/11	06/17/13	1,419.90	3,693.46	0.00	(2,273.56)	
167 0000	Sale	08/04/11	06/17/13	1,500.79	2,498.22	0.00	(997.43)	
99 0000	Sale	08/04/11	06/17/13	889.69	1,453.66	0.00	(563.97)	
42 0000	Sale	08/17/11	06/17/13	377.44	603.54	0.00	(226.10)	
209 0000	Sale	08/29/11	06/17/13	1,878.24	2,859.79	0.00	(981.55)	
Security Subtotal				7,611.77	14,892.67	0.00	(7,280.90)	
NEWFIELD EXPL CO COM								
		CUSIP Number	651290108					
2 0000	Sale	02/06/12	10/11/13	58.75	76.92	0.00	(18.17)	
159 0000	Sale	02/06/12	12/17/13	3,672.83	6,115.00	0.00	(2,442.17)	
37 0000	Sale	02/13/12	12/17/13	854.68	1,420.67	0.00	(565.99)	



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NEWFIELD EXPL CO COM								
32 0000	Sale	02/14/12	12/17/13	739.19	1,256.64	0.00	(517.45)	
40 0000	Sale	02/22/12	12/17/13	923.99	1,487.48	0.00	(563.49)	
				6,249.44	10,356.71	0.00	(4,107.27)	
Security Subtotal								
NEW GOLD INC CDA								
7 0000	Sale	08/11/11	10/11/13	38.50	81.17	0.00	(42.67)	
376 0000	Sale	08/11/11	11/27/13	1,897.60	4,359.94	0.00	(2,462.34)	
92 0000	Sale	10/05/11	11/27/13	464.30	1,000.04	0.00	(535.74)	
121 0000	Sale	11/17/11	11/27/13	610.66	1,331.88	0.00	(721.22)	
246 0000	Sale	11/23/11	11/27/13	1,241.52	2,399.51	0.00	(1,157.99)	
83 0000	Sale	12/02/11	11/27/13	418.88	887.32	0.00	(468.44)	
106 0000	Sale	01/05/12	11/27/13	534.96	1,141.62	0.00	(606.66)	
134 0000	Sale	05/09/12	11/27/13	676.29	1,164.98	0.00	(488.69)	
				5,882.71	12,366.46	0.00	(6,483.75)	
Security Subtotal								
NOBLE CORP NAMED-AKT								
74 0000	Sale	02/25/11	03/13/13	2,664.09	3,211.59	0.00	(547.50)	
27 0000	Sale	03/23/11	03/13/13	972.03	1,208.84	0.00	(236.81)	
				3,636.12	4,420.43	0.00	(784.31)	
Security Subtotal								
OCCIDENTAL PETE CORP CAL								
8 0000	Sale	10/18/11	06/17/13	744.02	683.96	0.00	60.06	
3 0000	Sale	10/18/11	09/12/13	273.64	256.48	0.00	17.16	
48 0000	Sale	02/10/12	09/12/13	4,378.38	4,913.28	0.00	(534.90)	
				5,396.04	5,853.72	0.00	(457.68)	
Security Subtotal								
PEABODY ENERGY CORP COM								
143 0000	Sale	10/10/11	03/14/13	3,093.70	5,236.80	0.00	(2,143.10)	
42 0000	Sale	10/25/11	03/14/13	908.64	1,576.23	0.00	(667.59)	
28 0000	Sale	10/25/11	03/14/13	605.76	1,139.60	0.00	(533.84)	
6 0000	Sale	11/08/11	03/14/13	129.80	263.94	0.00	(134.14)	
				4,737.90	8,216.57	0.00	(3,478.67)	
Security Subtotal								
PACIFIC RUBIALES ENERGY CORP								
1 0000	Sale	07/30/12	10/11/13	21.82	23.11	1.29 (W)	0.00	
105 0000	Sale	07/30/12	12/17/13	1,813.31	2,426.35	0.00	(613.04)	
1 0000	Sale	07/30/12	12/17/13	17.26	22.13	0.00 (Y)	(4.87)	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
PACIFIC RUBIALES ENERGY CORP								
		CUSIP Number	69480U206					
	56.0000 Sale	08/01/12	12/17/13	967.10	1,245.85	0.00	(278.75)	
	64.0000 Sale	08/09/12	12/17/13	1,105.26	1,440.42	0.00	(335.16)	
	Security Subtotal			3,924.75	5,157.86	1.29	(1,231.82)	
SILVER WHEATON CORP								
		CUSIP Number	828336107					
	2.0000 Sale	05/12/11	10/11/13	43.93	67.58	23.65 (W)	0.00	
	103.0000 Sale	05/12/11	12/17/13	2,101.16	3,480.41	0.00	(1,379.25)	
	2.0000 Sale	05/12/11	12/17/13	40.79	72.15	0.00 (Y)	(31.36)	
	93.0000 Sale	05/27/11	12/17/13	1,897.17	3,409.41	0.00	(1,512.24)	
	56.0000 Sale	06/05/12	12/17/13	1,142.38	1,544.44	0.00	(402.06)	
	25.0000 Sale	12/04/12	12/17/13	509.99	891.00	0.00	(381.01)	
	Security Subtotal			5,735.42	9,464.99	23.65	(3,705.92)	
SEADRILL LTD								
		CUSIP Number	G7945E105					
	56.0000 Sale	06/05/12	10/10/13	2,535.08	1,813.17	0.00	721.91	
	88.0000 Sale	06/05/12	10/11/13	4,004.67	2,849.26	0.00	1,155.41	
	Security Subtotal			6,539.75	4,662.43	0.00	1,877.32	
SOUTHWESTERN ENERGY CO								
		CUSIP Number	845467109					
	1.0000 Sale	02/01/10	11/08/13	36.19	44.95	0.00 (Y)	(8.76)	
	21.0000 Sale	01/11/12	11/22/13	819.47	634.06	0.00	185.41	
	29.0000 Sale	02/14/12	11/22/13	1,131.65	986.00	0.00	145.65	
	Security Subtotal			1,987.31	1,665.01	0.00	322.30	
TECK RESOURCES LTD CLS B								
		CUSIP Number	878742204					
	3.0000 Sale	03/08/10	12/17/13	69.11	121.36	0.00 (Y)	(52.25)	
	41.0000 Sale	10/18/12	12/17/13	944.63	1,329.63	0.00	(385.00)	
	Security Subtotal			1,013.74	1,450.99	0.00	(437.25)	
TRICAN WELL SVC LTD NPV								
		CUSIP Number	895945103					
	2.0000 Sale	02/23/12	10/11/13	26.93	34.95	8.02 (W)	0.00	
	48.0000 Sale	02/23/12	12/12/13	567.47	838.84	0.00	(271.37)	
	39.0000 Sale	02/23/12	12/17/13	453.56	681.55	0.00	(227.99)	
	2.0000 Sale	02/23/12	12/17/13	23.25	36.44	0.00 (Y)	(13.19)	
	81.0000 Sale	03/13/12	12/17/13	942.01	1,390.53	0.00	(448.52)	
	94.0000 Sale	03/14/12	12/17/13	1,093.20	1,536.27	0.00	(443.07)	
	114.0000 Sale	07/30/12	12/17/13	1,325.80	1,481.25	0.00	(155.45)	



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TRICAN WELL SVC LTD NPV								
141 0000	Sale	08/20/12	12/17/13	1,639.80	1,799.77	0.00	(159.97)	
10 0000	Sale	09/17/12	12/17/13	116.29	130.10	0.00	(13.81)	
	Security Subtotal			6,188.31	7,929.70	8.02	(1,733.37)	
TECHNIP SP ADR								
2 0000	Sale	10/09/12	10/11/13	58.63	57.39	0.00	1.24	
116 0000	Sale	10/09/12	12/27/13	2,682.04	3,328.39	0.00	(646.35)	
64 0000	Sale	10/09/12	12/30/13	1,526.71	1,836.36	0.00	(309.65)	
	Security Subtotal			4,267.38	5,222.14	0.00	(954.76)	
TRANSOCEAN LTD								
31 0000	Sale	08/02/12	09/24/13	1,394.67	1,480.20	0.00	(85.53)	
2 0000	Sale	08/02/12	09/26/13	90.23	95.50	0.00	(5.27)	
44 0000	Sale	08/16/12	09/26/13	1,985.16	2,195.16	0.00	(210.00)	
63 0000	Sale	09/10/12	09/26/13	2,842.38	2,930.73	0.00	(88.35)	
5 0000	Sale	09/21/12	09/26/13	225.58	235.60	0.00	(10.02)	
	Security Subtotal			6,538.02	6,937.19	0.00	(399.17)	
THE MOSAIC COMPANY COMMON SHARES								
37 0000	Sale	06/06/11	03/18/13	2,293.58	2,552.96	0.00	(259.38)	
5 0000	Sale	06/06/11	07/30/13	200.45	344.99	0.00	(144.54)	
58 0000	Sale	06/08/11	07/30/13	2,325.25	3,829.77	0.00	(1,504.52)	
	Security Subtotal			4,819.28	6,727.72	0.00	(1,908.44)	
WALTER ENERGY INC								
8 0000	Sale	03/14/11	04/19/13	145.79	936.80	0.00	(791.01)	
8 0000	Sale	05/18/11	04/19/13	145.79	986.64	0.00	(840.85)	
15 0000	Sale	07/13/11	04/19/13	273.37	1,709.25	0.00	(1,435.88)	
18 0000	Sale	08/11/11	04/19/13	328.04	1,433.24	0.00	(1,105.20)	
15 0000	Sale	01/31/12	04/19/13	273.37	1,017.70	0.00	(744.33)	
6 0000	Sale	04/16/12	04/19/13	109.34	391.20	0.00	(281.86)	
	Security Subtotal			1,275.70	6,474.83	0.00	(5,199.13)	
YAMANA GOLD INC								
5 0000	Sale	10/06/11	10/11/13	45.74	68.51	0.00	(22.77)	
174 0000	Sale	10/06/11	12/04/13	1,474.60	2,384.00	0.00	(909.40)	
32 0000	Sale	10/11/11	12/04/13	271.20	461.65	0.00	(190.45)	



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1e Quantity	Transaction Description	1b Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
YAMANA GOLD INC								
119 0000	Sale	10/11/11	12/06/13	1,012.83	1,716.74	0.00	(703.91)	
206 0000	Sale	10/26/11	12/06/13	1,753.32	3,027.62	0.00	(1,274.30)	
95 0000	Sale	11/17/11	12/06/13	808.57	1,502.90	0.00	(694.33)	
57 0000	Sale	11/23/11	12/06/13	485.14	851.58	0.00	(366.44)	
33 0000	Sale	01/05/12	12/06/13	280.87	503.91	0.00	(223.04)	
80 0000	Sale	05/09/12	12/06/13	680.91	1,108.00	0.00	(427.09)	
Security Subtotal				6,813.18	11,624.91	0.00	(4,811.73)	
Covered Long Term Capital Gains and Losses Subtotal				187,570.03	242,282.12	65.85	(54,646.24)	

NONCOVERED TRANSACTIONS - 1099-B Line 6a. (cost basis not reported to the IRS)

ALBEMARLE CORP COM								
30 0000	Sale	12/20/10	09/06/13	1,852.30	1,696.47	0.00	155.83	
65 0000	Sale	12/29/10	09/06/13	4,013.31	3,658.51	0.00	354.80	
Security Subtotal				5,865.61	5,354.98	0.00	510.63	
AGRIUM INC								
14 0000	Sale	02/16/10	08/23/13	1,211.96	918.82	0.00	293.14	
38 0000	Sale	08/10/10	08/23/13	3,289.64	2,480.58	0.00	809.06	
6 0000	Sale	08/10/10	08/30/13	515.29	391.67	0.00	123.62	
28 0000	Sale	11/16/10	08/30/13	2,404.72	2,172.82	0.00	231.90	
Security Subtotal				7,421.61	5,963.89	0.00	1,457.72	
APACHE CORP								
37 0000	Sale	09/14/10	03/19/13	2,770.49	3,532.39	0.00	(761.90)	
11 0000	Sale	10/01/10	03/19/13	823.67	1,089.88	0.00	(266.21)	
15 0000	Sale	10/01/10	04/24/13	1,066.44	1,486.20	0.00	(419.76)	
7 0000	Sale	10/05/10	04/24/13	497.67	687.96	0.00	(190.29)	
9 0000	Sale	12/22/10	04/24/13	639.86	1,062.00	0.00	(422.14)	
Security Subtotal				5,798.13	7,858.43	0.00	(2,060.30)	
CONSOL ENERGY INC COM								
2 0000	Sale	11/19/10	20854P109	75.57	85.00	0.00	(9.43)	
61 0000	Sale	11/19/10	12/31/13	2,313.33	2,592.48	0.00	(279.15)	
Security Subtotal				2,388.90	2,677.48	0.00	(288.58)	



Merrill Lynch
Bank of America Corporation

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2013 ANNUAL STATEMENT SUMMARY
2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
CATERPILLAR INC DEL								
		CUSIP Number	149123101					
46,000	Sale	05/07/10	07/18/13	3,972.49	2,894.78	0.00	1,077.71	
31,000	Sale	05/07/10	08/14/13	2,662.85	1,950.83	0.00	712.02	
7,000	Sale	05/07/10	08/15/13	601.22	440.51	0.00	160.71	
21,000	Sale	08/12/10	08/15/13	1,803.69	1,423.17	0.00	380.52	
51,000	Sale	08/12/10	08/26/13	4,311.97	3,456.27	0.00	855.70	
	Security Subtotal			13,352.22	10,165.56	0.00	3,186.66	
CLIFFS NATURAL RESOURCES INC								
		CUSIP Number	18683K101					
23,000	Sale	01/08/09	01/07/13	878.12	655.22	0.00	222.90	
47,000	Sale	03/04/09	01/07/13	1,794.42	661.87	0.00	1,132.55	
21,000	Sale	03/04/09	02/13/13	643.17	295.73	0.00	347.44	
50,000	Sale	01/12/10	02/13/13	1,531.37	2,492.44	0.00	(961.07)	
55,000	Sale	05/06/10	02/13/13	1,684.50	3,037.47	0.00	(1,352.97)	
46,000	Sale	05/25/10	02/13/13	1,408.86	2,231.87	0.00	(823.01)	
8,000	Sale	08/26/10	02/13/13	245.02	468.80	0.00	(223.78)	
21,000	Sale	09/22/10	02/13/13	643.17	1,301.37	0.00	(658.20)	
	Security Subtotal			8,828.63	11,144.77	0.00	(2,316.14)	
FOSTER WHEELER AG								
		CUSIP Number	H27178104					
18,000	Sale	12/08/10	06/17/13	433.87	557.82	0.00	(123.95)	
45,000	Sale	12/29/10	06/17/13	1,084.69	1,552.49	0.00	(467.80)	
	Security Subtotal			1,518.56	2,110.31	0.00	(591.75)	
JOY GLOBAL INC DEL COM								
		CUSIP Number	481165108					
53,000	Sale	03/01/10	05/29/13	2,949.80	2,739.35	0.00	210.45	
40,000	Sale	03/01/10	06/07/13	2,149.56	2,067.43	0.00	82.13	
38,000	Sale	03/01/10	06/17/13	2,000.81	1,964.06	0.00	36.75	
22,000	Sale	10/22/10	06/17/13	1,158.37	1,535.81	0.00	(377.44)	
	Security Subtotal			8,258.54	8,306.65	0.00	(48.11)	
LYONDELLBASELL INDUSTRIE								
		CUSIP Number	N53745100					
21,000	Sale	11/18/10	07/08/13	1,431.97	562.72	0.00	869.25	
41,000	Sale	11/18/10	08/21/13	2,795.74	1,098.65	0.00	1,697.09	
1,000	Sale	11/18/10	10/11/13	75.95	26.80	0.00	49.15	
	Security Subtotal			4,303.66	1,688.17	0.00	2,615.49	



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1099-B 2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
NATIONAL-OILWELL VARCO INC								
		CUSIP Number	637071101					
39 0000	Sale	11/21/08	09/19/13	3,104.35	733.21	0.00	2,371.14	
NOBLE CORP NAMEN-AKT								
		CUSIP Number	H5833N103					
20 0000	Sale	12/13/10	01/25/13	762.18	703.65	0.00	58.53	
47 0000	Sale	12/15/10	01/25/13	1,791.13	1,668.48	0.00	122.65	
11 0000	Sale	12/30/10	01/25/13	419.21	388.41	0.00	30.80	
81 0000	Sale	12/30/10	02/05/13	3,289.32	2,860.09	0.00	429.23	
18 0000	Sale	12/30/10	03/13/13	648.02	635.57	0.00	12.45	
Security Subtotal				6,909.86	6,256.20	0.00	653.66	
OCCIDENTAL PETE CORP CAL								
		CUSIP Number	674599105					
30 0000	Sale	11/10/10	06/17/13	2,790.04	2,504.70	0.00	285.34	
SOUTHWESTERN ENERGY CO								
		CUSIP Number	845467109					
5 0000	Sale	09/03/09	03/07/13	186.96	180.93	0.00	6.03	
60 0000	Sale	12/15/09	03/07/13	2,243.61	2,652.71	0.00	(409.10)	
20 0000	Sale	02/01/10	03/07/13	747.88	896.17	0.00	(148.29)	
1 0000	Sale	02/01/10	10/11/13	35.81	44.81	0.00	9.00	(W)
32 0000	Sale	02/01/10	11/08/13	1,158.38	1,433.88	0.00	(275.50)	
31 0000	Sale	04/22/10	11/08/13	1,122.19	1,293.32	0.00	(171.13)	
11 0000	Sale	04/22/10	11/21/13	426.86	458.92	0.00	(32.06)	
72 0000	Sale	05/21/10	11/21/13	2,794.01	2,601.56	0.00	192.45	
4 0000	Sale	05/21/10	11/22/13	156.08	144.53	0.00	11.55	
67 0000	Sale	08/31/10	11/22/13	2,614.49	2,190.90	0.00	423.59	
Security Subtotal				11,486.27	11,897.73	9.00	(402.46)	
TECK RESOURCES LTD CLS B								
		CUSIP Number	878742204					
3 0000	Sale	03/02/10	10/11/13	77.84	116.75	38.91	0.00	(W)
57 0000	Sale	03/02/10	12/17/13	1,313.25	2,218.17	0.00	(904.92)	
145 0000	Sale	03/03/10	12/17/13	3,340.74	5,758.54	0.00	(2,417.80)	
69 0000	Sale	05/14/10	12/17/13	1,589.73	2,422.81	0.00	(833.08)	
8 0000	Sale	05/28/10	12/17/13	184.31	279.76	0.00	(95.45)	
77 0000	Sale	08/20/10	12/17/13	1,774.05	2,507.22	0.00	(733.17)	
41 0000	Sale	10/06/10	12/17/13	944.63	1,788.35	0.00	(843.72)	
Security Subtotal				9,224.55	15,091.60	38.91	(5,828.14)	



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2013 ANNUAL STATEMENT SUMMARY

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
WALTER ENERGY INC								
13 0000	Sale	10/30/09	04/19/13	236.91	785.45	0.00	(548.54)	
17 0000	Sale	05/06/10	04/19/13	309.81	1,291.66	0.00	(981.85)	
30 0000	Sale	07/27/10	04/19/13	546.73	2,069.63	0.00	(1,522.90)	
6 0000	Sale	08/26/10	04/19/13	109.34	415.50	0.00	(306.16)	
31 0000	Sale	10/12/10	04/19/13	564.96	2,584.46	0.00	(2,019.50)	
Security Subtotal				1,767.75	7,146.70	0.00	(5,378.95)	

Noncovered Long Term Capital Gains and Losses Subtotal

93,018.68

47.91

(5,833.79)

NET LONG TERM CAPITAL GAINS AND LOSSES

280,588.71

341,182.50

113.76

(60,480.03)

TOTAL SALES PROCEEDS FOR CAPITAL GAINS AND LOSSES
TOTAL REPORTED SALES PROCEEDS

529,356.63
529,356.63

(W) This transaction has been identified as a "Wash Sale" based on IRS regulations. The Wash Sale Loss Disallowed column reflects the deferred loss amount. The cost basis of the related transaction(s) has been adjusted by the deferred loss amount from either the cost basis on purchases or proceeds from short sales. Please refer to the instructions for Form 8949 for how to report the deferred loss amount and applicable adjustment code.

(Y) The gain or loss of this transaction includes an adjustment to basis for the deferred loss amount on one or more previous "Wash Sales."

2013 REALIZED CAPITAL GAIN AND LOSS SUMMARY

COVERED SHORT TERM GAINS/LOSSES	NONCOVERED SHORT TERM GAINS/LOSSES	COVERED LONG TERM GAINS/LOSSES	NONCOVERED LONG TERM GAINS/LOSSES
(16,883.98)	0.00	(54,646.24)	(5,833.79)



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2013 ANNUAL STATEMENT SUMMARY

The following sections are provided to facilitate your review and the preparation of your tax return.

The 2013 Proceeds from Broker and Barter Exchange Transactions section includes both sales of positions for "covered securities" and "noncovered securities." A covered security includes those securities with a purchase date within the following timeline: Equities acquired on or after January 1, 2011 and Mutual Funds acquired on or after January 1, 2012. Legislation requires reporting the gross proceeds of the sales of "covered" and "noncovered" securities and the adjusted cost basis for "covered securities." Any sale of a security that is considered a "noncovered security" will still be included in this section with the adjusted cost basis (where available).

In calculating gain (loss), unless otherwise noted, it was assumed that the oldest position was liquidated first, and that you have made an election to amortize the premium paid on the purchase of non-taxable bonds. Under the Cost Basis Reporting Regulations, brokers need not track wash sale activity for substantially identical securities, transactions across accounts, or between covered and non-covered securities. However, you as a taxpayer still have to track and report wash sales as you have in the past which would include all of the aforementioned transaction types. Securities distributed from a retirement account reflect the tax basis on the date of distribution. Other methods for calculating gain (loss) are available. The cost basis for most Original Issue Discount ("OID") obligations includes the accretion of OID. For purposes of allocating original purchase price to the components of an equity unit consisting of a purchase contract and a debt security subject to a remarketing event, we assumed that the fair market value of the debt security on purchase date was equal to its adjusted issue price. The difference between your original cost and the amount allocable to the debt component was allocated to the purchase contract. In making adjustments to the cost basis of the purchase contract, it was assumed that the unit holder included contract adjustment payments in income when received.

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-B

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
LONG TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.								
COVERED TRANSACTIONS - 1099-B Line 6b. (cost basis reported to the IRS)								
INTL BUSINESS MACHINES CORP IBM		CUSIP Number	459200101					
200 0000	Sale	08/08/11	10/25/13	35,317.55	33,386.80	0.00	1,930.75	
100 0000	Sale	08/08/11	11/27/13	17,967.69	16,693.40	0.00	1,274.29	
Security Subtotal				53,285.24	50,080.20	0.00	3,205.04	
MCDONALDS CORP COM		CUSIP Number	580135101					
100 0000	Sale	08/09/11	10/25/13	9,476.25	8,535.45	0.00	940.80	
100 0000	Sale	08/09/11	11/27/13	9,701.23	8,535.45	0.00	1,165.78	
Security Subtotal				19,177.48	17,070.90	0.00	2,106.58	
Covered Long Term Capital Gains and Losses Subtotal				72,462.72	67,151.10	0.00	5,311.62	
NET LONG TERM CAPITAL GAINS AND LOSSES				72,462.72	67,151.10	0.00	5,311.62	

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
FROM ENERGY TRANSFER EQUITY, L.P	287.	287.	
FROM ENERGY TRANSFER PARTNERS K-1	1,060.	1,060.	
FROM ENTERPRISE PRODUCTS PARTNERS K-1	3.	3.	
FROM FRANCISCO PARTNERS III (DOMESTIC AIV), LP K-1	18.	18.	
FROM FRANCISCO PARTNERS III CAYMAN, L.P.	13.	13.	
FROM KINDER MORGAN ENERGY PARTNERS K-1	92.	92.	
FROM LINN ENERGY, LLC K-1	19.	19.	
FROM ONEOK PARTNERS K-1	2.	2.	
FROM PLAINS ALL AMERICAN PIPELINE K-1	10.	10.	
MERRILL LYNCH (6YJ-04323)	288.	288.	
MERRILL LYNCH (6YJ-04324)	110.	110.	
MERRILL LYNCH (6YJ-04324)			
EXMT. INT. DIV.	3,106.	3,106.	
MERRILL LYNCH (6YJ-04330)	75.	75.	
WILMINGTON TRUST N. A.	2.	2.	
TOTAL TO PART I, LINE 3	5,085.	5,085.	

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
FROM ENERGY TRANSFER EQUITY, L.P	779.	0.	779.	779.	
FROM ENERGY TRANSFER PARTNERS K-1	1,423.	0.	1,423.	1,423.	
FROM KINDER MORGAN ENERGY PARTNERS K-1	107.	0.	107.	107.	
FROM PLAINS ALL AMERICAN PIPELINE K-1	8.	0.	8.	8.	

MERRILL LYNCH (6YJ-04323)	9,883.	0.	9,883.	9,883.
MERRILL LYNCH (6YJ-04324)	142,383.	8,463.	133,920.	133,920.
MERRILL LYNCH (6YJ-04327)	9,776.	0.	9,776.	9,776.
MERRILL LYNCH (6YJ-04328)	1,754.	154.	1,600.	1,600.
MERRILL LYNCH (6YJ-04330)	100,991.	1,325.	99,666.	99,666.
TO PART I, LINE 4	267,104.	9,942.	257,162.	257,162.

FORM 990-PF

OTHER INCOME

STATEMENT

3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
PROCEEDS FROM LITIGATION	1,999.	1,999.	
FROM ONEOK PARTNERS K-1	<4,763.>	<4,763.>	
FROM ENERGY TRANSFER PARTNERS K-1	<1,703.>	<1,703.>	
FROM KINDER MORGAN ENERGY PARTNERS K-1	<5,454.>	<5,454.>	
FROM ENTERPRISE PRODUCTS PARTNERS K-1	<1,547.>	<1,547.>	
FROM ML SYSTEMATIC MOMENTUM K-1	<38,186.>	<38,186.>	
FROM PLAINS ALL AMERICAN PIPELINE K-1	<282.>	<282.>	
FROM IVP CIPHEROPTICS, LLC K-1	<13.>	<13.>	
FROM IVP EASIC, LLC	<29.>	<29.>	
FROM FRANCISCO III CAYMAN	18,512.	18,512.	
FROM FRANCISCO III, L.P	15,667.	15,667.	
FROM INTUITIVE BENECHHILL, LLC	<20.>	<20.>	
FROM IVP CALIENT, LLC	<10.>	<10.>	
FROM INTUITIVE VIOLIN, LLC	<28.>	<28.>	
FROM INTUITIVE CALIENT II, LLC	<25.>	<25.>	
FROM FRANCISCO PARTNERS III (DOMESTIC AIV), LP	1,968.	1,968.	
FROM ENERGY TRANSFER EQUITY, L.P	<4,330.>	<4,330.>	
FROM INTUITIVE QUANTIAMD, LLC.	<71.>	<71.>	
FROM LINN ENERGY LLC	<1,564.>	<1,564.>	
FROM INTUITIVE NEUROTROPE LLC	<1,272.>	<1,272.>	
ROYALTY - KINDER MORGAN ENERGY	99.	99.	
PTP - KINDER MORGAN ENERGY	6,797.	6,797.	
PTP - ENTERPRISE PRODUCTS PARTNERS LP	4,752.	4,752.	
PTP - LINN ENERGY LLC	2,892.	2,892.	
FROM ADVANCED EQUITIES - PEREGRINE K-1	<1,716.>	<1,716.>	
TOTAL TO FORM 990-PF, PART I, LINE 11	<8,327.>	<8,327.>	

FORM 990-PF

LEGAL FEES

STATEMENT

4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEES	5,913.	0.		5,913.
TO FM 990-PF, PG 1, LN 16A	5,913.	0.		5,913.

FORM 990-PF

ACCOUNTING FEES

STATEMENT

5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	23,750.	17,812.		5,938.
TO FORM 990-PF, PG 1, LN 16B	23,750.	17,812.		5,938.

FORM 990-PF

OTHER PROFESSIONAL FEES

STATEMENT

6

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT FEES	119,823.	119,823.		0.
TO FORM 990-PF, PG 1, LN 16C	119,823.	119,823.		0.

FORM 990-PF

TAXES

STATEMENT

7

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FRANCHISE TAX	85.	0.		85.
FOREIGN TAX PAID	9,133.	9,133.		0.
FEDERAL TAX	16,200.	0.		0.
TO FORM 990-PF, PG 1, LN 18	25,418.	9,133.		85.

FORM 990-PF	OTHER EXPENSES			STATEMENT 8
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
MISCELLANEOUS	8.	0.		8.
TO FORM 990-PF, PG 1, LN 23	8.	0.		8.

FORM 990-PF	OTHER INVESTMENTS		STATEMENT 9
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
MERRILL LYNCH SECURITIES	FMV	9,028,501.	11,559,668.
ADVANCED EQUITIES INVESTMENTS	FMV	157,767.	157,767.
IVP CIPHEROPTICS, LLC	FMV	18,541.	18,541.
ECOATM	FMV	0.	0.
IVP EASIC, LLC	FMV	22,051.	22,051.
IVP CALIENT, LLC	FMV	7,478.	7,478.
FRANCISCO PARTNERS INVESTMENTS	FMV	189,170.	189,170.
INTUITIVE BENECHILL, LLC	FMV	9,952.	9,952.
INTUITIVE VIOLIN LLC	FMV	29,951.	29,951.
INTUITIVE QUANTIAMD, LLC.	FMV	19,923.	19,923.
INTUITIVE CALIENT II, LLC	FMV	12,465.	12,465.
CYTORI OFFERING	FMV	57,000.	57,000.
INVESTMENT - NEUROTROPE BIO SCIENCE INC	COST	15,000.	15,000.
INVESTMENT - ESKSO BIONICS	COST	20,000.	20,000.
INVESTMENT - NEXTLEVEL SECURITY SYSTEMS	COST	25,000.	25,000.
TOTAL TO FORM 990-PF, PART II, LINE 13		9,612,799.	12,143,966.

FORM 990-PF	INTEREST AND PENALTIES	STATEMENT 10
TAX DUE FROM FORM 990-PF, PART VI		4,866.
LATE PAYMENT INTEREST		74.
LATE PAYMENT PENALTY		146.
TOTAL AMOUNT DUE		5,086.

FORM 990-PF	LATE PAYMENT PENALTY	STATEMENT 11
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DESCRIPTION	DATE	AMOUNT	BALANCE	MONTHS	PENALTY
TAX DUE	05/15/14	4,866.	4,866.	6	146.
DATE FILED	11/14/14		4,866.		
TOTAL LATE PAYMENT PENALTY					146.

FORM 990-PF	LATE PAYMENT INTEREST	STATEMENT 12
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DESCRIPTION	DATE	AMOUNT	BALANCE	RATE	DAYS	INTEREST
TAX DUE	05/15/14	4,866.	4,866.	.0300	183	74.
DATE FILED	11/14/14		4,940.			
TOTAL LATE PAYMENT INTEREST						74.

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

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

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

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

Enter filer's identifying number, see instructions	
Type or print Name of exempt organization or other filer, see instructions.	Employer identification number (EIN) or
DAVE RICKEY & DAUGHTERS FOUNDATION	11-6574096
Number, street, and room or suite no. If a P.O. box, see instructions.	Social security number (SSN)
15629 BOULDER MOUNTAIN ROAD	
City, town or post office, state, and ZIP code. For a foreign address, see instructions	
POWAY, CA 92064	

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

04

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

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

LATTIMORE, BLACK, MORGAN, & CAIN PC

• The books are in the care of ☒ PO BOX 1869 5250 VIRGINIA WAY - BRENTWOOD, TN 37024-1869
Telephone No. ☒ (615) 377-4600 Fax No. ☐

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

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

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

5 For calendar year 2013, or other tax year beginning , and ending .

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

7 State in detail why you need the extension

TAXPAYER NEEDS ADDITIONAL TIME TO GATHER INFORMATION NECESSARY TO FILE A COMPLETE AND ACCURATE TAX RETURN.

8a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	8a	\$	8,452.
b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868.	8b	\$	9,841.
c Balance due. Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System) See instructions.	8c	\$	0.

Signature and Verification must be completed for Part II only.

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

Signature ☐

Title ☐ PRESIDENT/DIRECTOR

Date ☐

Form 8868 (Rev. 1-2014)