Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

▶ **Do not enter Social Security numbers on this form as it may be made public. By law, the IRS cannot redact the information on the form.**

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

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013, or tax year beginning 01-01-2013 , and ending 12-31-2013

Name of foundation
SADIE AND LOUIS ROTH FOUNDATION
C/O GEORGE F HEINRICH MD
% GEORGE F HEINRICH MD

A Employer identification number
13-3071645

Number and street (or P O box number if mail is not delivered to street address)
PO BOX 367
Suite

Room/suite

B Telephone number (see instructions)
(212) 794-2155

City or town, state or province, country, and ZIP or foreign postal code
ELMWOOD PARK, NJ 07407

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)*▶$ 1,724,532

J Accounting method ☑ Cash ☐ Accrual ☐ Other (specify) ________ *(Part I, column (d) must be on cash basis.)*

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

Part I **Analysis of Revenue and Expenses** *(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))*

Section	Line	Description	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)	0			
	2	Check ▶ ☐ if the foundation is **not** required to attach Sch B				
	3	Interest on savings and temporary cash investments	7	7		
	4	Dividends and interest from securities	20,194	20,194		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	132,436			
	b	Gross sales price for all assets on line 6a 348,367				
	7	Capital gain net income (from Part IV, line 2)		132,436		
	8	Net short-term capital gain				
	9	Income modifications				
	10a	Gross sales less returns and allowances				
	b	Less Cost of goods sold				
	c	Gross profit or (loss) (attach schedule)				
	11	Other income (attach schedule)				
	12	**Total.** Add lines 1 through 11	152,637	152,637		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	0			
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach schedule)				
	c	Other professional fees (attach schedule)				
	17	Interest				
	18	Taxes (attach schedule) (see instructions)	676	176		
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule)	25,225	24,975		250
	24	**Total operating and administrative expenses.** Add lines 13 through 23	25,901	25,151		250
	25	Contributions, gifts, grants paid	140,000			140,000
	26	**Total expenses and disbursements.** Add lines 24 and 25	165,901	25,151		140,250
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	-13,264			
	b	**Net investment income** (if negative, enter -0-)		127,486		
	c	**Adjusted net income** (if negative, enter -0-)				

Part II **Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)

			Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing			
	2	Savings and temporary cash investments	23,672	21,358	21,358
	3	Accounts receivable ▶ ___ Less allowance for doubtful accounts ▶ ___			
	4	Pledges receivable ▶ ___ Less allowance for doubtful accounts ▶ ___			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶ ___ Less allowance for doubtful accounts ▶ ___			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	974,801	963,851	1,703,174
	c	Investments—corporate bonds (attach schedule)			
	11	Investments—land, buildings, and equipment basis ▶ ___ Less accumulated depreciation (attach schedule) ▶ ___			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment basis ▶ ___ Less accumulated depreciation (attach schedule) ▶ ___			
	15	Other assets (describe ▶ ___)			
	16	**Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I)	998,473	985,209	1,724,532
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ ___)			
	23	**Total liabilities** (add lines 17 through 22)		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	998,473	985,209	
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☐ **and complete lines 27 through 31.**			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	**Total net assets or fund balances** (see page 17 of the instructions)	998,473	985,209	
	31	**Total liabilities and net assets/fund balances** (see page 17 of the instructions)	998,473	985,209	

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	998,473
2	Enter amount from Part I, line 27a	2	-13,264
3	Other increases not included in line 2 (itemize) ▶ ___	3	
4	Add lines 1, 2, and 3	4	985,209
5	Decreases not included in line 2 (itemize) ▶ ___	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	985,209

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)
1 a	MORGAN STANLEY A/C 552-128026-482 - SEE ATT STMT	P		
b	MORGAN STANLEY A/C 552-128026-482 - SEE ATT STMT	P		
c	MORGAN STANLEY A/C 552-128026-482 - SEE ATT STMT	P	2012-10-11	2013-11-18
d	MORGAN STANLEY A/C 552-128026-482 - SEE ATT STMT	P		
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	16,386		13,788	2,598
b	9,410		7,735	1,675
c	36		32	4
d	322,535		194,376	128,159
e				

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				2,598
b				1,675
c				4
d				128,159
e				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 }	2	132,436
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) (see instructions) If (loss), enter -0- in Part I, line 8	3	

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 page 18 of 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	140,537	1,408,357	0 099788
2011	141,236	1,415,939	0 099747
2010	142,400	1,399,324	0 101763
2009	143,100	1,334,929	0 107197
2008	143,959	1,631,386	0 088243

2	**Total** of line 1, column (d).	2	0 496738
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years . . .	3	0 099348
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	1,595,282
5	Multiply line 4 by line 3.	5	158,488
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	1,275
7	Add lines 5 and 6.	7	159,763
8	Enter qualifying distributions from Part XII, line 4.	8	140,250

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

Part VI **Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the 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	2,550
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)				
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)			2	
3	Add lines 1 and 2			3	2,550
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)			4	
5	**Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0-			5	2,550
6	Credits/Payments				
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	852		
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	852
8	Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached			8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶			9	1,698
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?	1a		No
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)?	1b		No
	*If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year **(1)** On the foundation ▶ $ ________ **(2)** On foundation managers ▶ $ ________			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ________			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.*	2		No
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*	3		No
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		No
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?	6	Yes	
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.*	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ ________			
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*	8b	Yes	
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*	9		No
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses.*	10		No

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		No
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		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	

Website address ▶

14 The books are in care of ▶GEORGE F HEINRICH MD Telephone no ▶

Located at ▶PO BOX 367 ELMWOOD PARK NJ ZIP+4 ▶07407

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 |

			Yes	No
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?	16		No
	See instructions for exceptions and filing requirements for Form TD F 90-22 1 If "Yes", enter the name of the foreign country ▶			

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 page 20 of the instructions)?	1b		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?	1c		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? ☐ Yes ☑ No			
	If "Yes," list the years ▶ 20___, 20___, 20___, 20___			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement—see instructions)	2b		No
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ 20___, 20___, 20___, 20___			
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.)*	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
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		No

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

5a	During the year did the foundation pay or incur any amount to			
	(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ **Yes** ☑ **No**			
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ **Yes** ☑ **No**			
	(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ **Yes** ☑ **No**			
	(4) Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ **Yes** ☑ **No**			
	(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ **Yes** ☑ **No**			
b	If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)?	**5b**		
	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? ☐ **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**		**No**
	If "Yes" to 6b, file Form 8870.			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ **Yes** ☑ **No**			
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?	**7b**		**No**

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

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).

(a) Name and address	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation **(If not paid, enter -0-)**	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances
DR GEORGE HEINRICH PO BOX 367 ELMWOOD PARK, NJ 07407	V PRES 0	0	0	0
ANTHONY P LEICHTER 565 FIFTH AVENUE NEW YORK, NY 10017	PRES 0	0	0	0

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

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

(a) Name and address of each person paid more than $50,000	**(b)** Type of service	**(c)** Compensation
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 NONE	0
2	
3	
4	

Part IX-B **Summary of Program-Related Investments** (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1	
2	
All other program-related investments See page 24 of the instructions **3**	
Total. Add lines 1 through 3 . . . . ▶	

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	1,579,486
b	Average of monthly cash balances	1b	40,090
c	Fair market value of all other assets (see instructions)	1c	0
d	**Total** (add lines 1a, b, and c)	1d	1,619,576
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e		
2	Acquisition indebtedness applicable to line 1 assets	2	0
3	Subtract line 2 from line 1d	3	1,619,576
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	24,294
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	1,595,282
6	**Minimum investment return.** Enter 5% of line 5	6	79,764

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	79,764
2a	Tax on investment income for 2013 from Part VI, line 5	2a	2,550		
b	Income tax for 2013 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	2,550
3	Distributable amount before adjustments Subtract line 2c from line 1			3	77,214
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	77,214
6	Deduction from distributable amount (see instructions)			6	
7	**Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1			7	77,214

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	140,250
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	0
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	0
b	Cash distribution test (attach the required schedule)	3b	0
4	**Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	140,250
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions)	5	
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	140,250

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					77,214
2 Undistributed income, if any, as of the end of 2013					
a Enter amount for 2012 only.				0	
b Total for prior years 2011 , 2010 , 2009			0		
3 Excess distributions carryover, if any, to 2013					
a From 2008.	62,452				
b From 2009.	76,354				
c From 2010.	72,434				
d From 2011.	72,567				
e From 2012.	71,545				
f **Total** of lines 3a through e.		355,352			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ $ 140,250					
a Applied to 2012, but not more than line 2a				0	
b Applied to undistributed income of prior years (Election required—see instructions).					
c Treated as distributions out of corpus (Election required—see instructions).					
d Applied to 2013 distributable amount.					77,214
e Remaining amount distributed out of corpus		63,036			
5 Excess distributions carryover applied to 2013					
(If an amount appears in column (d), the same amount must be shown in column (a).)					
6 **Enter the net total of each column as indicated below:**					
a Corpus Add lines 3f, 4c, and 4e Subtract line 5		418,388			
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.					
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 instructions				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) (see instructions)					
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions) . . .		62,452			
9 **Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a		355,936			
10 Analysis of line 9					
a Excess from 2009. . . .	76,354				
b Excess from 2010. . . .	72,434				
c Excess from 2011. . . .	72,567				
d Excess from 2012. . . .	71,545				
e Excess from 2013. . . .	63,036				

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2013, enter the date of the ruling. . . . . . . ▶

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

	Tax year	Prior 3 years			
	(a) 2013	**(b)** 2012	**(c)** 2011	**(d)** 2010	**(e) Total**
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon **a** "Assets" alternative test—enter **(1)** Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed. . . .					
c "Support" alternative test—enter **(1)** Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii). . . .					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

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

1 **Information Regarding Foundation Managers:**

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

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

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

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

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

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

c Any submission deadlines

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

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year* See Additional Data Table				
Total . . . . ▶ **3a**				140,000
b *Approved for future payment*				
Total . . . . ▶ **3b**				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income (a) Business code	(b) Amount	Excluded by section 512, 513, or 514 (c) Exclusion code	(d) Amount	(e) Related or exempt function income (See instructions)
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	7	
4 Dividends and interest from securities			14	20,194	
5 Net rental income or (loss) from real estate					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	132,436	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue a					
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e)				152,637	

13 **Total.** Add line 12, columns (b), (d), and (e) 13 152,637

(See worksheet in line 13 instructions to verify calculations)

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes) (See instructions)

Part XVII Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

			Yes	No
1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?			
a	Transfers from the reporting foundation to a noncharitable exempt organization of			
	(1) Cash	1a(1)		No
	(2) Other assets	1a(2)		No
b	Other transactions			
	(1) Sales of assets to a noncharitable exempt organization	1b(1)		No
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)		No
	(3) Rental of facilities, equipment, or other assets	1b(3)		No
	(4) Reimbursement arrangements	1b(4)		No
	(5) Loans or loan guarantees	1b(5)		No
	(6) Performance of services or membership or fundraising solicitations	1b(6)		No
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		No

d If the answer to any of the above is "Yes," complete the following schedule Column **(b)** should always show the fair market value of the goods, other assets, or services given by the reporting foundation If the foundation received less than fair market value in any transaction or sharing arrangement, show in column **(d)** the value of the goods, other assets, or services received

(a) Line No	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements

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

b If "Yes," complete the following schedule

(a) Name of organization	(b) Type of organization	(c) Description of relationship

Sign Here

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

******	2014-05-07	******
Signature of officer or trustee	Date	Title

May the IRS discuss this return with the preparer shown below (see instr)? ☑ Yes ☐ No

Paid Preparer Use Only

Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed ☐	PTIN
Elliot Rosenblatt				
Firm's name	KRANZ & COMPANY LLP		Firm's EIN	
Firm's address	145 East 57TH STREET NEW YORK, NY 10022		Phone no (212) 355-4990	

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
YESHIVA UNIVERSITY 500 WEST 185TH NEW YORK, NY 10038	NONE	PC	SCHOLARSHIP	10,000
New Jersey Health Foundation 120 Albany Street Tower II Suite New Brunswick, NJ 08901	NONE	PC	SCHOLARSHIP	65,000
THE SKIN CANCER FOUNDATION 245 FIFTH AVENUE NEW YORK, NY 10016	NONE	PC	RESEARCH	5,000
JEWISH FAMILY & CHILDREN SERVICES 705 SUMMERFIELD AVENUE ASBURY PARK, NJ 07712	NONE	PC	GENERAL FUND	200
ASPCA 424 East 92nd Street New York, NY 10128	NONE	PC	GENERAL FUND	1,000
JEWISH FEDERATION OF PALM BEACH 4601 COMMUNITY DRIVE WEST PALM BEACH, FL 33417	NONE	PC	GENERAL FUND	3,000
Jewish Federation of Monmouth County 100 GRAND AVENUE DEAL, NJ 07723	NONE	PC	GENERAL FUND	1,000
FRIENDS OF KAREN 118 TITICUS ROAD PURDYS, NY 10578	NONE	PC	GENERAL FUND	1,000
PALM BEACH COUNTY CLUB FONDATION 760 NORTH OCEAN BLVD PALM BEACH, FL 33480	NONE	PC	GENERAL FUND	500
BEN GURION UNIVERSITY 1114 AVENUE OF AMERICAS NEW YORK, NY 10038	NONE	PC	EDUCATIONAL-GENERAL FUND	6,700
JOHN HOPKINS UNIVERSITY 1101 E 33RD ST STE C202 BALTIMORE, MD 21218	NONE	PC	SCHOLARSHIP	38,250
HILLEL HOUSE OF JOHN HOPKINS UNIVERSITY 1101 E 33RD ST STE C202 BALTIMORE, MD 21218	NONE	PC	GENERAL FUND	3,000
LOS ANGELES PHILHARMONIC ASSOCIATION 151 SOUTH GRAND AVE LOS ANGELES, CA 90012	NONE	PC	GENERAL FUND	2,500
NEW YORK UNIVERSITY 730 Broadway Suite 9TH Floor NEW YORK, NY 10003	NONE	PC	GENERAL FUND	650
UNITED WAY OF PALM BEACH 2600 QUANTUM ROAD BOYNTON Beach, FL 33426	NONE	PC	GENERAL FUND	1,000
Total . . . . ▶ **3a**				140,000

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
AMERICAN FRIENDS OF MAGEN DAVID ADOM 352 Seventh Avenue Suite 400 NEW YORK, NY 10001	none	PC	GENERAL FUND	500
TEMPLE BETH MIRIAM 180 LINCOLN AVENUE ELBERON, NJ 07740	NONE	PC	GENERAL FUND	350
CONGREGATION OF BROTHERS OF ISRAEL 250 Park Ave Long Beach, NJ 07740	NONE	PC	GENERAL FUND	350
Total . . . . ▶ **3a**				140,000

TY 2013 Accounting Fees Schedule

Name: SADIE AND LOUIS ROTH FOUNDATION
C/O GEORGE F HEINRICH MD

EIN: 13-3071645

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING FEES				

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2013 Depreciation Schedule

Name: SADIE AND LOUIS ROTH FOUNDATION
C/O GEORGE F HEINRICH MD

EIN: 13-3071645

Description of Property	Date Acquired	Cost or Other Basis	Prior Years' Depreciation	Computation Method	Rate / Life (# of years)	Current Year's Depreciation Expense	Net Investment Income	Adjusted Net Income	Cost of Goods Sold Not Included

TY 2013 General Explanation Attachment

Name: SADIE AND LOUIS ROTH FOUNDATION
C/O GEORGE F HEINRICH MD

EIN: 13-3071645

Identifier	Return Reference	Explanation
schedule D attachment	schedule D - Capital Gain and Losses	Capital Gain and Losses

Identifier	Return Reference	Explanation
securities schedule	Part II Balance Sheets	Investments Schedule

TY 2013 Investments Corporate Bonds Schedule

Name: SADIE AND LOUIS ROTH FOUNDATION
C/O GEORGE F HEINRICH MD

EIN: 13-3071645

Name of Bond	End of Year Book Value	End of Year Fair Market Value
SEE SCHEDULE ATTACHED		

TY 2013 Investments Corporate Stock Schedule

Name: SADIE AND LOUIS ROTH FOUNDATION
C/O GEORGE F HEINRICH MD

EIN: 13-3071645

Name of Stock	End of Year Book Value	End of Year Fair Market Value
MORGAN STANLEY A/C 552-128026	963,851	1,703,174

TY 2013 Investments - Land Schedule

Name: SADIE AND LOUIS ROTH FOUNDATION
C/O GEORGE F HEINRICH MD

EIN: 13-3071645

TY 2013 Land, Etc. Schedule

Name: SADIE AND LOUIS ROTH FOUNDATION
C/O GEORGE F HEINRICH MD

EIN: 13-3071645

TY 2013 Other Expenses Schedule

Name: SADIE AND LOUIS ROTH FOUNDATION
C/O GEORGE F HEINRICH MD

EIN: 13-3071645

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
NYS DEPT OF LAW	250			250
INVESTMENT ADVISORY FEES	24,963	24,963		
ADR FEES	12	12		

TY 2013 Taxes Schedule

Name: SADIE AND LOUIS ROTH FOUNDATION
C/O GEORGE F HEINRICH MD

EIN: 13-3071645

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAX	176	176		
FEDERAL EXCISE TAX	500			

TY 2013 IRS Payment

Name:	SADIE AND LOUIS ROTH FOUNDATION C/O GEORGE F HEINRICH MD
EIN:	13-3071645
Routing Transit Number:	044000804
Bank Account Number:	8902020316397
Type of Account:	Checking
Payment Amount in Dollars and Cents:	1,698
Requested Payment Date:	2014-05-14
Taxpayer's Daytime Phone Number:	(212) 355-4990

Account Detail

Select UMA Active Assets Account
552-128026-482

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

Investment Objectives†: Capital Appreciation, Income

Investment Advisory Account

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

HOLDINGS

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

CASH, BANK DEPOSIT PROGRAM AND MONEY MARKET FUNDS

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

Description	Value	Estimated Annual Income	7-Day Current Yield %	Annual Percentage Yield %
MS AAA INSTL MONEY TRUST	$8,984.18	$0 90	0 010	—

	Percentage of Assets %	Market Value	Estimated Annual Income / Accrued Interest
CASH, BDP, AND MMFs	0.5%	$8,984.18	$0 90 $0.00

Money market funds seek to maintain a share price of $1 00, therefore the dollar amounts listed equal the number of shares Additional information concerning these transactions is available upon request For more information about the pricing of Money Market Funds, please see the Expanded Disclosures
The money market funds reflected above include the balances in your automatic sweep feature, if any, and may include other money market funds that have been purchased in your account.

STOCKS

COMMON STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
AKAMAI TECHNOLOGIES INC (AKAM)	11/11/09	208 000	$23 878	$4,966 52	$9,813 44	$4,846 92 LT		
	8/6/10	50 000	39 488	1,974 41	2,359 00	384 59 LT		
	10/19/11	140 000	23 018	3,222 52	6,605 20	3,382 68 LT		
	5/17/12	127 000	29 409	3,734 99	5,991 86	2,256 87 LT		
	Total	525 000		13,898 44	**24,769.50**	10,871 06 LT	—	—

Share Price $47.180

Account Detail

Select UMA Active Assets Account
552-128026-482

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
AMAZON COM INC (AMZN)	10/4/06	67 000	32 728	2,192 78	26,718 93	24,526 15 LT		
	11/8/11	9 000	218.068	1,962.61	3,589 11	1,626.50 LT		
	12/14/11	40 000	178.640	7,145 60	15,951 60	8,806.00 LT		
	Total	116 000		11,300 99	**46,259.64**	34,958.65 LT	—	—
Share Price $398 790								
AMC NETWORKS INC CL A (AMCX)	7/18/06	28 666	19 350	554 69	1,952 44	1,397 75 LT		
	4/7/08	24.888	21 518	535 54	1,695 12	1,159 58 LT		
	11/11/09	12 446	22 489	279 90	847 70	567 80 LT		
	Total	66 000		1,370 13	**4,495.26**	3,125 13 LT	—	—
Share Price $68 110								
AMGEN INC (AMGN)	7/9/97	119 000	14 406	1,714.34	**13,575.52**	11,861 18 LT	290.36	2 13
Share Price $114 080, Next Dividend Payable 03/2014								
ANADARKO PETE (APC)	6/28/06	161 000	44 542	7,171 21	12,770 52	5,599 31 LT		
	12/14/11	2 000	73.565	147 13	158.64	11 51 LT		
	4/11/12	25 000	74 596	1,864.90	1,983 00	118 10 LT		
	6/1/12	48 000	59.085	2,836 06	3,807 36	971 30 LT		
	Total	236 000		12,019 30	**18,719.52**	6,700 22 LT	169 92	0 90
Share Price $79 320; Next Dividend Payable 03/2014								
ANHEUSER BUSCH INBEV SA SPON (BUD)	12/27/10	65 000	57 472	3,735 70	6,919 90	3,184 20 LT		
	1/6/11	93 000	57.630	5,359 59	9,900 78	4,541 19 LT		
	10/19/11	74 000	54 318	4,019.54	7,878 04	3,858 50 LT		
	Total	232.000		13,114.83	**24,698.72**	11,583 89 LT	580.93	2 35
Share Price $106.460								
APPLE INC (AAPL)	8/8/11	12 000	362 947	4,355.36	6,732 24	2,376.88 LT		
	8/23/11	10 000	365 902	3,659 02	5,610 20	1,951.18 LT		
	12/12/12	5.000	537 350	2,686.75	2,805 10	118 35 LT		
	1/30/13	10.000	459 534	4,595.34	5,610 20	1,014.86 ST		
	7/2/13	10.000	419 737	4,197.37	5,610.20	1,412 83 ST		
	Total	47.000		19,493 84	**26,367.94**	4,446 41 LT 2,427 69 ST	573 40	2.17
Share Price $561.020, Next Dividend Payable 02/2014								
AUTODESK INC DELAWARE (ADSK)	3/23/07	143.000	38 818	5,550 90	7,195 61	1,644.71 LT		
	2/27/08	50 000	33.000	1,649 99	2,515 94	865 95 LT		
	1/14/09	65.000	17 771	1,155 10	3,270 73	2,115.63 LT		
	8/28/12	56 000	31 455	1 761 47	2,817.86	1,056 39 LT		

Account Detail

Select UMA Active Assets Account
552-128026-482

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	Total	314 000		10,117 46	**15,800.16**	5,682 68 LT	—	—
Share Price $50.319								
BED BATH & BEYOND INC (BBBY)	1/10/08	132 000	26 524	3,501 10	10,599 60	7,098 50 LT		
	12/12/12	40 000	58 127	2,325 08	3,212 00	886 92 LT		
	Total	172 000		5,826 18	**13,811.60**	7,985 42 LT	—	—
Share Price $80 300								
BIOGEN IDEC INC (BIIB)	4/28/06	33 000	45 508	1,501 77	9,225 87	7,724.10 LT		
	4/28/06	145 000	45 508	6,598 67	40,537 93	33,939 26 LT		
	11/11/09	16 000	46 366	741 86	4,473 15	3,731 29 LT		
	11/11/09	30 000	46 366	1,390.99	8,387 15	6,996 16 LT		
	Total	224 000		10,233 29	**62,624.12**	52,390 81 LT	—	—
Share Price $279 572								
BLACKROCK INC (BLK)	4/8/09	15 000	128 524	1,927 85	4,747 05	2,819 20 LT		
	5/21/10	54 000	164 265	8,870 30	17,089 38	8,219 08 LT		
	10/19/11	31 000	149 684	4,640 20	9,810 57	5,170 37 LT		
	Total	100 000		15,438 35	**31,647 00**	16,208 65 LT	672 00	2 12
Share Price $316 470, Next Dividend Payable 03/2014								
BRISTOL MYERS SQUIBB CO (BMY)	9/19/13	205 000	47 106	9,656 81	**10,895.75**	1,238.94 ST	295 20	2 70
Share Price $53 150, Next Dividend Payable 02/03/14								
BROADCOM CORP CL A (BRCM)	1/11/08	41 000	22 835	936 24	1,215 44	279 20 LT C		
	1/11/08	2 000	22 835	45 67	59 28	13 61 LT C		
	1/11/08	74 000	22 835	1,689 81	2,193.72	503 91 LT C		
	5/17/11	40.000	33 457	1,338 27	1,185 79	(152 48) LT C		
	5/17/11	81 000	33 457	2,710 00	2,401 24	(308 76) LT C		
	6/8/11	43 000	33 835	1,454 89	1,274 73	(180 16) LT C		
	6/8/11	89 000	33 835	3,011 28	2,638 40	(372 88) LT C		
	11/8/11	32 000	35 880	1,148 16	948 63	(199 53) LT C		
	11/8/11	67 000	35 880	2,403.96	1,986 21	(417 75) LT C		
	12/9/11	59 000	30 030	1,771 76	1,749 05	(22 71) LT C		
	12/9/11	119 000	30 030	3,573 56	3,527 75	(45 81) LT C		
	12/14/11	2 000	28 510	57 02	59 28	2 26 LT C		
	12/14/11	6 000	28.507	171.04	177 86	6 82 LT C		
	7/23/13	76 000	31 872	2,422 26	2,253 01	(169 25) ST		
	7/23/13	151 000	31 872	4,812 66	4,476 39	(336 27) ST		
	8/12/13	84 000	26 200	2,200 77	2,490.17	289.40 ST		

Account Detail

Select UMA Active Assets Account
552-128026-482

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	8/12/13	166 000	26.200	4,349 15	4,921.06	571 91 ST		
	Total	1,132 000		34,096 50	**33,558.13**	(894 28) LT 355 79 ST	498 08	1.48
Share Price· $29 645, Next Dividend Payable 03/2014								
CABLEVISION SYSTEMS CORP (CVC)	7/18/06	226 000	12 779	2,888.05	4,052 18	1,164.13 LT		
	4/7/08	100 000	14 210	1,421 04	1,793 00	371 96 LT		
	11/11/09	50 000	14 854	742 69	896 50	153 81 LT		
	11/8/11	165 000	15.200	2,507 92	2,958 45	450 53 LT		
	12/14/11	39 000	14.038	547 48	699 27	151 79 LT		
	12/12/12	122 000	14 560	1,776 37	2,187 46	411 09 LT		
	Total	702 000		9,883 55	**12,586.86**	2,703.31 LT	421 20	3 34
Share Price. $17 930, Next Dividend Payable 03/2014								
CAMERON INTNL CORP (CAM)	6/24/11	158 000	45 979	7,264 68	9,405.74	2,141.06 LT		
	7/14/11	50 000	49 668	2,483 40	2,976 50	493 10 LT		
	8/5/11	83 000	47 835	3,970 32	4,940 99	970 67 LT		
	11/8/11	62.000	52 310	3,243.22	3,690 86	447 64 LT		
	12/14/11	39 000	46 486	1,812 95	2,321 67	508 72 LT		
	7/25/13	18 000	59 996	1,079 92	1,071 54	(8 38) ST		
	7/31/13	75 000	58 995	4,424 60	4,464 75	40 15 ST		
	10/24/13	50 000	54 906	2,745 29	2,976.50	231 21 ST		
	Total	535 000		27,024 38	**31,848.55**	4,561 19 LT 262 98 ST	—	—
Share Price $59 530								
CATERPILLAR INC (CAT)	4/22/13	140.000	80.962	11,334 68	12,713 40	1,378 72 ST		
	8/28/13	82 000	81.679	6,697 67	7,446.42	748 75 ST		
	Total	222 000		18,032 35	**20,159.82**	2,127.47 ST	532.80	2 64
Share Price. $90.810, Next Dividend Payable 02/2014								
CELGENE CORP (CELG)	1/30/09	13 000	53 233	692 03	2,196 58	1,504.55 LT		
	5/28/09	100 000	41 616	4,161 56	16,896 80	12,735 24 LT		
	11/11/09	125 000	53 878	6,734 78	21,121 00	14,386.22 LT		
	Total	238.000		11,588 37	**40,214.38**	28,626.01 LT	—	—
Share Price $168.968								
CHARLES SCHWAB NEW (SCHW)	2/19/09	423 000	13 000	5,498.88	10,998.00	5,499.12 LT		
	3/24/10	90 000	18 354	1,651 86	2,340.00	688 14 LT		
	11/8/11	85 000	12 808	1,088 68	2,210.00	1,121 32 LT		
	12/14/11	150 000	11 008	1,651.20	3,900 00	2,248 80 LT		

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THE SADIE & LOUIS ROTH
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STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	Total	748 000		9,890 62	**19,448.00**	9,557 38 LT	179 52	0 92
Share Price $26 000, Next Dividend Payable 02/2014								
CHECK POINT SOFTWARE TECH LTD (CHKP)	6/21/13	60 000	49 232	2,953 93	3,869 94	916 01 ST		
	6/24/13	58 000	49.434	2,867 20	3,740 94	873 74 ST		
	6/26/13	58 000	50 712	2,941 30	3,740 94	799 64 ST		
	7/5/13	52 000	51 625	2,684 49	3,353 95	669 46 ST		
	7/8/13	8 000	51 100	408 80	515 99	107 19 ST		
	Total	236 000		11,855 72	**15,221.76**	3,366 04 ST	—	—
Share Price $64 499								
CITRIX SYSTEMS INC (CTXS)	11/1/10	2 000	64 312	128 62	126 50	(2 12) LT		
	11/1/10	4 000	64 312	257 25	253 00	(4.25) LT		
	11/1/10	77 000	64 312	4,951 99	4,870 25	(81 74) LT		
	1/14/11	12 000	67 745	812.94	759 00	(53.94) LT		
	11/8/12	51 000	60 870	3,104 38	3,225 75	121 37 LT		
	11/8/12	6 000	60 892	365 35	379 50	14 15 LT		
	12/4/12	2 000	61 110	122 22	126 50	4 28 LT		
	12/4/12	22 000	61 108	1,344 38	1,391 50	47 12 LT		
	12/12/12	3 000	64 867	194 60	189 75	(4.85) LT		
	12/12/12	84 000	63 914	5,368 81	5,313 00	(55 81) LT		
	4/5/13	74 000	68 749	5,087 41	4,680 50	(406 91) ST		
	4/5/13	3 000	68 750	206 25	189 75	(16.50) ST		
	4/25/13	20 000	64 255	1,285 09	1,265.00	(20 09) ST		
	4/25/13	10 000	64 255	642 55	632 50	(10 05) ST		
	4/30/13	7 000	62.763	439.34	442 75	3 41 ST		
	4/30/13	3.000	62 763	188 29	189 75	1 46 ST		
	5/28/13	117 000	64 986	7,603 41	7,400 25	(203 16) ST		
	5/28/13	3 000	64 987	194 96	189 75	(5 21) ST		
	6/26/13	5 000	60 336	301 68	316 25	14 57 ST		
	6/26/13	15 000	60.337	905 05	948 75	43 70 ST		
	10/9/13	20 000	67 333	1,346 65	1,265 00	(81 65) ST		
	12/4/13	56 000	59 890	3,353 85	3,542 00	188 15 ST		
	12/4/13	14 000	59 890	838 46	885 50	47 04 ST		
	Total	610 000		39,043 53	**38,582.50**	(15 79) LT (445 24) ST	—	—
Share Price $63 250								

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STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
CME GROUP INC (CME)	2/25/11	7.000	62.153	435 07	549.22	114 15 LT		
	3/1/11	70 000	61 285	4,289 97	5,492 20	1,202 23 LT		
	3/2/11	25 000	61.297	1,532 43	1,961.50	429 07 LT		
	3/10/11	90 000	59.547	5,359 27	7,061 40	1,702 13 LT		
	12/14/11	30 000	47 900	1,437.00	2,353 80	916.80 LT		
	Total	222 000		13,053 74	**17,418.12**	4,364 38 LT	399 60	2 29
Share Price $78 460, Next Dividend Payable 03/2014								
COCA COLA CO (KO)	2/22/06	684 000	21 080	14,418 72	**28,256.04**	13,837 32 LT	766 08	2 71
Share Price $41 310, Next Dividend Payable 03/2014								
COMCAST CORP CL A SPECIAL NEW (CMCSK)	3/14/08	156 000	18 613	2,903 67	7,781 28	4,877 61 LT		
	3/14/08	232 000	18 613	4,318 28	11,572 16	7,253.88 LT		
	11/11/09	77 000	14 539	1,119 50	3,840 76	2,721 26 LT		
	11/11/09	83 000	14 539	1,206.74	4,140 04	2,933.30 LT		
	5/26/11	66 000	23 503	1,551 20	3,292 08	1,740 88 LT		
	5/26/11	71.000	23.503	1,668 72	3,541 48	1,872 76 LT		
	7/14/11	307 000	24 000	7,367.97	15,313 16	7,945 19 LT		
	7/14/11	331 000	24 000	7,943.97	16,510 28	8,566 31 LT		
	Total	1,323 000		28,080 05	**65,991.24**	37,911.19 LT	1,031 94	1 56
Share Price $49 880, Next Dividend Payable 01/23/14								
COVIDIEN PLC (COV)	6/28/06	89 666	31 072	2,786.14	6,106.25	3,320.11 LT		
	1/3/07	20 333	35 299	717 73	1,384.68	666.95 LT		
	12/14/11	3 001	38 487	115 50	204 37	88 87 LT		
	Total	113 000		3,619 37	**7,695.30**	4,075.93 LT	144 64	1 87
Share Price: $68.100, Next Dividend Payable 02/2014								
CREE RESEARCH INC (CREE)	6/28/06	7 000	22 640	158 48	437 64	279.16 LT		
	6/16/11	67 000	35 845	2,401 62	4,188 84	1,787.22 LT		
	10/19/11	93 000	24 533	2,281.54	5,814 36	3,532 82 LT		
	12/14/11	47 000	21 989	1,033 50	2,938 44	1,904 94 LT		
	Total	214 000		5,875.14	**13,379.28**	7,504 14 LT	—	—
Share Price. $62.520								
CVS CAREMARK CORP (CVS)	10/24/08	34 000	28 016	952 55	2,433 38	1,480 83 LT		
	11/6/08	95 000	29 966	2,846 75	6,799.15	3,952 40 LT		
	1/9/09	175 000	26 193	4,583.72	12,524.75	7,941 03 LT		
	5/28/09	100 000	29.347	2,934 72	7,157.00	4,222.28 LT		
	11/11/09	100 000	29 898	2,989.80	7,157.00	4,167 20 LT		
	11/19/09	54 000	30.943	1,670 91	3,864.78	2,193 87 LT		

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STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	Total	558 000		15,978 45	**39,936.06**	23,957 61 LT	613 80	1 53
Share Price $71 570, Next Dividend Payable 02/2014								
DIRECTV COM (DTV)	4/24/07	136 000	21 303	2,897 25	**9,392.16**	6,494 91 LT	—	—
Share Price $69 060								
DOLBY CLA A COM STK (DLB)	10/11/12	114 000	31 799	3,625 11	**4,395.84**	770.73 LT	—	—
Share Price $38 560								
EATON CORP PLC SHS (ETN)	12/3/12	315 000	51 655	16,271 33	**23,977.80**	7,706 47 LT	529 20	2 20
Share Price $76 120, Next Dividend Payable 02/2014								
EBAY INC (EBAY)	3/14/07	255 000	30 636	7,812 23	13,990 57	6,178 34 LT		
	2/22/08	75 000	27 122	2,034 13	4,114 87	2,080 74 LT		
	2/5/10	230 000	22 536	5,183 30	12,618 95	7,435 65 LT		
	11/8/11	64 000	32 908	2,106 09	3,511 36	1,405 27 LT		
	12/14/11	66 000	30 216	1,994 25	3,621 09	1,626 84 LT		
	Total	690 000		19,130 00	**37,856.85**	18,726 84 LT	—	—
Share Price $54 865								
EMC CORP MASS (EMC)	10/19/11	389 000	23 608	9,183 51	9,783.35	599 84 LT		
	11/8/11	259 000	24 964	6,465 68	6,513.85	48 17 LT		
	12/14/11	75 000	22 138	1,660.34	1,886 25	225 91 LT		
	1/29/13	77 000	23 845	1,836 09	1,936 55	100 46 ST		
	4/30/13	95 000	22 414	2,129 33	2,389 25	259 92 ST		
	Total	895 000		21,274 95	**22,509.25**	873 92 LT 360 38 ST	358 00	1 59
Share Price $25 150, Next Dividend Payable 01/2014								
EXPRESS SCRIPTS HLDG CO COM (ESRX)	1/4/12	65 000	47.639	3,096 56	4,565 60	1,469 04 LT		
	2/3/12	45 000	52 100	2,344.48	3,160 80	816 32 LT		
	7/10/12	78 000	55 060	4,294 65	5,478 72	1,184 07 LT		
	12/12/12	46 000	54.100	2,488 60	3,231 04	742 44 LT		
	Total	234 000		12,224 29	**16,436.16**	4,211 87 LT	—	—
Share Price $70 240								
FACEBOOK INC CL-A (FB)	4/10/13	92 000	27 560	2,535 53	5,027 70	2,492 17 ST		
	4/23/13	113 000	26 249	2,966 15	6,175 33	3,209 18 ST		
	6/6/13	185 000	22 929	4,241 79	10,110 06	5,868 27 ST		
	Total	390 000		9,743 47	**21,313.11**	11,569 62 ST	—	—
Share Price $54 649								

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STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
FLUOR CORP NEW (FLR)	11/19/08	38 000	33 239	1,263 10	3,051 02	1,787 92 LT		
	11/20/08	75.000	30 469	2,285.21	6,021.75	3,736.54 LT		
	1/20/09	25 000	41 908	1,047 69	2,007 25	959 56 LT		
	4/7/09	25 000	37 436	935 91	2,007 25	1,071 34 LT		
	10/4/11	18 000	46 158	830.85	1,445.22	614.37 LT		
	12/14/11	7 000	48 266	337 86	562 03	224 17 LT		
	Total	188 000		6,700 62	**15,094.52**	8,393 90 LT	120 32	0 79
Share Price. $80 290, Next Dividend Payable 01/03/14								
FOREST LABORATORIES INC (FRX)	6/28/06	173 000	37 230	6,440 79	10,385 19	3,944 40 LT		
	11/11/09	80 000	28 849	2,307 88	4,802 40	2,494 52 LT		
	5/11/10	70 000	27 263	1,908.40	4,202.10	2,293.70 LT		
	12/14/11	1 000	28.530	28 53	60 03	31 50 LT		
	2/15/13	68 000	36 077	2,453 22	4,082 04	1,628 82 ST		
	Total	392 000		13,138 82	**23,531.76**	8,764 12 LT 1,628 82 ST	—	—
Share Price $60 030								
FREEPORT MCMORAN CP&GLD (FCX)	1/20/09	124 000	11 854	1,469 89	4,679 76	3,209 87 LT		
	12/12/12	36 000	32 545	1,171 61	1,358 64	187 03 LT		
	Total	160 000		2,641 50	**6,038.40**	3,396 90 LT	200 00	3 31
Share Price $37.740, Next Dividend Payable 02/2014								
GENERAL ELECTRIC CO (GE)	6/24/03	423 000	30 000	12,690 00	11,856 69	(833 31) LT		
	3/15/04	162 000	30 450	4,932 90	4,540 86	(392 04) LT		
	7/9/10	155 000	14 874	2,305 49	4,344 65	2,039 16 LT		
	Total	740 000		19,928 39	**20,742.20**	813 81 LT	651 20	3 13
Share Price· $28 030; Next Dividend Payable 01/27/14								
GOOGLE INC-CL A (GOOG)	10/29/08	19 000	361 700	6,872 30	21,293 49	14,421.19 LT		
	3/7/11	15 000	593 291	8,899 37	16,810 65	7,911 28 LT		
	10/9/13	7 000	851 614	5,961 30	7,844 97	1,883 67 ST		
	Total	41 000		21,732 97	**45,949.11**	22,332 47 LT 1,883 67 ST	—	—
Share Price $1,120 710								
HOME DEPOT INC (HD)	4/28/06	105 000	40 330	4,234 61	8,645 70	4,411 09 LT		
	4/28/08	275.000	29 929	8,230 48	22,643 50	14,413 02 LT		
	6/10/08	135 000	26 683	3,602 22	11,115.90	7,513 68 LT		
	Total	515 000		16 067 31	**42,405.10**	26,337 79 LT	803 40	1 89
Share Price $82 340, Next Dividend Payable 03/2014								

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STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
IMMUNOGEN INC (IMGN)	2/15/11	174 000	8 878	1,544 79	2,552 58	1,007 79 LT		
	8/4/11	47 000	11 271	529 74	689 49	159 75 LT		
	12/12/12	37 000	12 803	473.71	542 79	69 08 LT		
	11/11/13	72 000	14 782	1,064 31	1,056 24	(8 07) ST		
	Total	330 000		3,612 55	**4,841.10**	1,236 62 LT (8 07) ST	—	—
Share Price $14 670								
ISIS PHARM INC (ISIS)	12/14/11	39 000	6 767	263 92	1,553 76	1,289 84 LT		
	12/12/12	90 000	9 617	865 57	3,585 60	2,720 03 LT		
	Total	129 000		1,129 49	**5,139.36**	4,009 87 LT	—	—
Share Price $39 840								
JOHNSON & JOHNSON (JNJ)	7/30/97	323 000	30.906	9,982 72	**29,583.57**	19,600 85 LT	852 72	2 88
Share Price $91 590, Next Dividend Payable 03/2014								
JUNIPER NETWORKS (JNPR)	2/19/09	396 000	14 917	5,907 18	8,937 72	3,030 54 LT		
	10/19/11	390 000	20 148	7,857 84	8,802 30	944 46 LT		
	12/14/11	110 000	18 888	2,077 72	2,482 70	404 98 LT		
	5/9/12	175 000	19 035	3,331 13	3,949 75	618 62 LT		
	Total	1,071 000		19,173 87	**24,172.47**	4,998 60 LT	—	—
Share Price $22 570								
L-3 COMMUNICATIONS HOLDING INC (LLL)	1/3/07	146.000	78 407	11,447 48	15,601 56	4,154 08 LT		
	11/8/11	24 000	68 278	1,638 67	2,564 64	925 97 LT		
	12/14/11	15 000	62 021	930 32	1,602.90	672 58 LT		
	Total	185 000		14,016 47	**19,769.10**	5,752 63 LT	407 00	2 05
Share Price $106 860, Next Dividend Payable 03/2014								
LIBERTY INTERACTIVE CO INTER A (LINTA)	3/17/08	94 000	14 021	1,317 96	2,758 90	1,440 94 LT		
	1/28/09	250 000	3 035	758 82	7,337 50	6,578 68 LT		
	Total	344.000		2,076 78	**10,096.40**	8,019 62 LT	—	—
Share Price $29 350								
LIBERTY MEDIA CORP SER A (LMCA)	1/29/09	60 000	4 931	295 84	**8,777.52**	8,481 68 LT	—	—
Share Price $146 292								
MICROSOFT CORP (MSFT)	1/18/07	288 000	31 020	8,933 73	10,774.08	1,840 35 LT		
	7/14/11	280 000	26 683	7,471 16	10,474 80	3,003 64 LT		
	Total	568 000		16,404 89	**21,248.88**	4,843 99 LT	636 16	2 99
Share Price $37 410, Next Dividend Payable 03/2014								

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STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
MONSANTO CO/NEW (MON)	1/21/10	32 000	81 103	2,595 28	3,729 60	1,134 32 LT		
	1/28/10	55 000	77 253	4,248 91	6,410 25	2,161 34 LT		
	2/5/10	55 000	76 541	4,209 74	6,410 25	2,200.51 LT		
	3/9/10	25 000	71 688	1,792 19	2,913 75	1,121 56 LT		
	5/7/10	35.000	58 963	2,063 71	4,079 25	2,015 54 LT		
	10/11/12	23 000	89 145	2,050 34	2,680 65	630 31 LT		
	Total	225 000		16 960 17	**26,223.75**	9 263 58 LT	387 00	1 47
Share Price. $116 550, Next Dividend Payable 01/2014								
NASDAQ OMX GROUP INC (THE) (NDAQ)	7/9/08	83 000	24 861	2,063 46	3,303 40	1,239 94 LT		
	11/11/09	190 000	18.609	3,535 62	7,562 00	4,026 38 LT		
	12/14/11	6 000	24 170	145 02	238 80	93 78 LT		
	10/11/12	47 000	23 519	1,105 39	1,870 60	765 21 LT		
	Total	326 000		6,849.49	**12,974.80**	6,125 31 LT	169 52	1 30
Share Price $39 800, Next Dividend Payable 03/2014								
NATIONAL OILWELL VARCO INC (NOV)	1/13/09	83 000	26 332	2,185 54	6,600 99	4,415.45 LT		
	12/12/12	18 000	66 717	1,200 90	1,431 54	230 64 LT		
	Total	101 000		3,386 44	**8,032.53**	4,646 09 LT	105 04	1 30
Share Price $79 530, Next Dividend Payable 03/2014								
NETAPP INC COM (NTAP)	2/24/11	49 000	50 723	2,485 42	2,015 86	(469 56) LT		
	2/25/11	97 000	52 413	5,084.07	3,990.58	(1,093 49) LT		
	3/10/11	20.000	48 184	963.68	822 80	(140 88) LT		
	10/19/11	147.000	38 347	5,637.01	6,047 58	410 57 LT		
	12/14/11	8.000	37 018	296.14	329 12	32 98 LT		
	10/11/12	141.000	29 166	4,112 43	5,800 74	1,688 31 LT		
	5/28/13	183.000	37 763	6,910 54	7,528 62	618 08 ST		
	Total	645.000		25,489 29	**26,535.30**	427 93 LT 618 08 ST	387.00	1 45
Share Price $41 140, Next Dividend Payable 01/2014								
NIKE INC B (NKE)	6/7/11	100 000	40 859	4,085 89	7,864 00	3,778.11 LT		
	8/5/11	88 000	41 938	3,690 51	6,920 32	3,229 81 LT		
	Total	188.000		7,776 40	**14,784.32**	7,007 92 LT	180 48	1 22
Share Price. $78.640; Next Dividend Payable 01/06/14								
NUCOR CORPORATION (NUE)	2/17/09	75.000	40 802	3,060 14	4,003.50	943.36 LT		
	7/6/09	25 000	40 667	1,016.68	1,334 50	317.82 LT		
	11/11/09	75 000	41 637	3,122 79	4,003 50	880 71 LT		
	10/19/11	64 000	34 838	2,229 66	3,416 32	1,186.66 LT		

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STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	Total	239 000		9,429.27	**12,757.82**	3,328.55 LT	353.72	2 77
Share Price $53 380, Next Dividend Payable 02/11/14								
PALL CORPORATION (PLL)	1/18/07	164 000	34.334	5,630.77	**13,997.40**	8,366 63 LT	180 40	1 28
Share Price $85 350, Next Dividend Payable 02/2014								
PENTAIR LTD (PNR)	6/28/06	9 000	32 791	295 12	699 03	403 91 LT		
	1/3/07	15 000	35 123	526 84	1,165 05	638 21 LT		
	11/7/07	33 000	30.276	999 12	2,563 11	1,563 99 LT		
	11/8/07	24.000	30 113	722 71	1,864 08	1,141 37 LT		
	10/11/12	31 000	43 708	1,354 94	2,407 77	1,052 83 LT		
	Total	112 000		3,898.73	**8,699.04**	4,800 31 LT	112 00	1 28
Share Price $77 670, Next Dividend Payable 02/2014								
PEPSICO INC NC (PEP)	10/1/96	351 000	26 220	9,203 37	29,111 94	19,908 57 LT		
	11/8/11	3 000	63 587	190 76	248 82	58 06 LT		
	Total	354 000		9,394 13	**29,360.76**	19,966 63 LT	803 58	2 73
Share Price· $82 940, Next Dividend Payable 01/02/14								
QUALCOMM INC (QCOM)	7/29/11	80 000	55 096	4,407 65	5,940 00	1,532 35 LT		
	8/5/11	44 000	51 050	2,246 22	3,267 00	1,020 78 LT		
	8/12/11	93 000	50 403	4,687 44	6,905 25	2,217 81 LT		
	8/23/11	47 000	47 189	2,217 90	3,489 75	1,271 85 LT		
	Total	264 000		13,559 21	**19,602.00**	6,042 79 LT	369 60	1 88
Share Price· $74 250, Next Dividend Payable 03/2014								
RED HAT INC (RHT)	11/19/13	132 000	46 470	6,134 03	7,397 28	1,263 25 ST		
	11/22/13	62 000	47.000	2,914 00	3,474 48	560 48 ST		
	12/6/13	71 000	46 696	3,315 44	3,978.84	663 40 ST		
	Total	265 000		12,363 47	**14,850.60**	2,487 13 ST	—	—
Share Price $56 040								
RIVERBED TECH INC (RVBD)	7/31/13	430 000	15 254	6,559.13	7,774 40	1,215 27 ST		
	7/31/13	23.000	15 254	350 84	415 84	65.00 ST		
	9/6/13	185 000	15.206	2,813.11	3,344 80	531 69 ST		
	9/19/13	201 000	15 824	3,180 64	3,634 08	453 44 ST		
	Total	839 000		12,903.72	**15,169.12**	2,265 40 ST	—	—
Share Price $18 080								
SANDISK CORP (SNDK)	1/11/08	38 000	28 708	1,090.90	2,680 52	1,589.62 LT		
	3/14/08	75 000	22.065	1,654 85	5,290 50	3,635 65 LT		
	1/26/12	26 000	47 268	1,228 96	1,834 04	605 08 LT		
	4/13/12	37 000	41 858	1,548 75	2,609 98	1,061 23 LT		

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Account Detail

Select UMA Active Assets Account
552-128026-482

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	Total	176.000		5,523 46	**12,415.04**	6,891 58 LT	158 40	1 27
Share Price $70.540, Next Dividend Payable 02/2014								
SCHLUMBERGER LTD (SLB)	6/10/10	43 000	58 131	2,499 62	3,874 73	1,375 11 LT		
	10/19/11	163.000	67 908	11,069.00	14,687.93	3,618.93 LT		
	11/8/11	98 000	76 466	7,493 69	8,830 78	1,337 09 LT		
	12/14/11	44 000	66 905	2,943 84	3,964 84	1,021 00 LT		
	4/30/13	15 000	74 333	1,115 00	1,351 65	236 65 ST		
	Total	363 000		25,121 15	**32,709.93**	7,352 13 LT 236 65 ST	453 75	1 38
Share Price. $90 110, Next Dividend Payable 01/10/14								
SEAGATE TECHNOLOGY PLC (STX)	11/11/09	11 000	16 279	179 06	617 76	438 70 LT		
	8/23/10	310 000	10 960	3,397 72	17,409.60	14,011 88 LT		
	10/12/12	10 000	28 103	281 03	561 60	280 57 LT		
	Total	331 000		3,857 81	**18,588.96**	14,731.15 LT	569 32	3 06
Share Price. $56 160; Next Dividend Payable 02/2014								
STARZ SERIES A (STRZA)	1/29/09	60.000	0.567	34 02	**1,754.40**	1,720.38 LT	—	—
Share Price $29 240								
TE CONNECTIVITY LTD NEW (TEL)	6/28/06	6 666	31 346	208 96	367 36	158 40 LT		
	1/3/07	62 333	35 609	2,219 64	3,435 17	1,215 53 LT		
	11/7/07	107 000	32 989	3,529 79	5,896.77	2,366 98 LT		
	11/8/07	75 000	33 037	2,477 78	4,133 25	1,655 47 LT		
	11/9/07	56 001	32 868	1,840 66	3,086 22	1,245.56 LT		
	Total	307 000		10,276 83	**16,918.77**	6,641 94 LT	307.00	1 81
Share Price $55 110, Next Dividend Payable 03/2014								
TEXAS INSTRUMENTS (TXN)	6/12/98	431.000	12.219	5,266.28	**18,925.21**	13,658.93 LT	517.20	2.73
Share Price $43.910, Next Dividend Payable 02/2014								
THE ADT CORPORATION COM (ADT)	11/7/07	66 000	26 446	1,745 46	2,671 02	925 56 LT R		
	11/8/07	50 000	25 929	1,296 43	2,023 50	727.07 LT R		
	Total	116 000		3,041.89	**4,694.52**	1,652 63 LT	58.00	1 23
Share Price $40 470, Next Dividend Payable 02/2014								
THERMO FISHER SCIENTIFIC INC (TMO)	10/4/10	97.000	47 449	4,602 59	10,800.95	6,198.36 LT		
	10/19/11	83 000	51 219	4,251 15	9,242 05	4,990.90 LT		
	11/8/11	15 000	50 056	750 84	1,670 25	919 41 LT		
	12/14/11	46 000	43 706	2,010.49	5,122 10	3,111 61 LT		
	Total	241 000		11,615.07	**26,835.35**	15,220.28 LT	144.60	0 53
Share Price $111 350, Next Dividend Payable 01/15/14								

Security Mark at Right

Account Detail

Select UMA Active Assets Account
552-128026-482

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
TYCO INTERNATIONAL LTD NEW (TYC)	6/28/06	39 666	20 801	825 11	1,627 89	802 78 LT		
	1/3/07	62 333	23 630	1,472 93	2,558 15	1,085 22 LT		
	11/7/07	139 000	20 453	2,842 97	5,704 56	2,861 59 LT		
	11/8/07	99 001	20 409	2,020 55	4,063 00	2,042 45 LT		
	Total	340 000		7,161 56	**13,953.60**	6,792 04 LT	217 60	1 55
Share Price $41 040, Next Dividend Payable 02/2014								
UNITED PARCEL SERVICE INC CL-B (UPS)	3/16/11	107 000	70 978	7,594 63	11,243 56	3,648 93 LT		
	3/30/11	70 000	74 703	5,229 18	7,355 60	2,126 42 LT		
	5/17/11	78 000	73 348	5,721 12	8,196 24	2,475 12 LT		
	Total	255 000		18,544 93	**26,795 40**	8,250 47 LT	632 40	2 36
Share Price $105 080, Next Dividend Payable 03/2014								
UNITEDHEALTH GP INC (UNH)	6/28/06	22 000	43 710	961 62	1,656 60	694 98 LT		
	6/28/06	18 000	43 710	786 78	1,355 40	568 62 LT		
	6/28/06	2 000	43 710	87 44	150 60	63 16 LT		
	6/28/06	7 000	43 710	305 97	527 10	221 13 LT		
	6/28/06	37 000	43 710	1,617 27	2,786 10	1,168 83 LT		
	4/1/09	66 000	20 692	1,365 67	4,969 80	3,604 13 LT		
	4/1/09	134 000	20 692	2,772 71	10,090 20	7,317 49 LT		
	5/9/12	61 000	55 623	3,393 01	4,593 30	1,200 29 LT		
	5/9/12	125 000	55 623	6,952 89	9,412 50	2,459 61 LT		
	7/10/12	80 000	55 560	4,444 83	6,024 00	1,579 17 LT		
	4/18/13	104 000	59 782	6,217.33	7,831 20	1,613 87 ST		
	4/18/13	11 000	59 782	657 60	828 30	170 70 ST		
	10/21/13	52 000	68 362	3,554 83	3,915 60	360 77 ST		
	10/21/13	3.000	68 363	205.09	225 90	20 81 ST		
	Total	722 000		33,323 04	**54,366.60**	18,877.41 LT 2,166 15 ST	808 64	1 48
Share Price $75 300, Next Dividend Payable 03/2014								
VERTEX PHARMACEUTICALS (VRTX)	11/12/08	9.000	26 729	240 56	668.70	428 14 LT		
	11/13/08	13 000	26 628	346 17	965 90	619 73 LT		
	11/18/08	37 000	26 585	983 63	2,749 10	1,765 47 LT		
	2/11/11	33 000	38 162	1,259 36	2,451 90	1,192 54 LT		
	11/8/11	20 000	30 579	611 57	1,486 00	874 43 LT		
	12/12/12	50 000	42 099	2,104 93	3,715 00	1,610 07 LT		
	Total	162 000		5,546 22	**12,036.60**	6,490 38 LT	—	—
Share Price $74 300								

Account Detail

Select UMA Active Assets Account
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THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

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STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
VISA INC CL A (V)	6/11/10	17.000	75 538	1,284.14	3,785 56	2,501.42 LT		
	3/7/11	195.000	74 475	14,522.55	43,422.60	28,900.05 LT		
	Total	212.000		15,806 69	**47,208.16**	31,401 47 LT	339 20	0.71
Share Price $222 680, Next Dividend Payable 03/2014								
W W GRAINGER INC (GWW)	12/12/13	42 000	251 995	10,583 81	10,727 64	143 83 ST		
	12/16/13	6 000	252 550	1,515.30	1,532 52	17 22 ST		
	12/18/13	7 000	251 876	1,763.13	1,787 04	24 81 ST		
	Total	55 000		13,862.24	**14,048.10**	185 86 ST	204.60	1 45
Share Price $255 420, Next Dividend Payable 03/2014								
WALT DISNEY CO HLDG CO (DIS)	1/17/01	480.000	33.120	15,897 66	**36,672.00**	20,774 34 LT	412.80	1 12
Share Price $76 400, Next Dividend Payable 01/16/14								
WEATHERFORD INTERNATIONAL LTD (WFT)	4/13/07	280.000	25 355	7,099 40	4,337 20	(2,762.20) LT		
	4/1/09	258 000	11 454	2,955 21	3,996 42	1,041 21 LT		
	11/8/11	19 000	16 729	317 85	294.31	(23 54) LT		
	12/14/11	213 000	13 378	2,849 41	3,299 37	449.96 LT		
	10/11/12	196.000	12 299	2,410 53	3,036 04	625 51 LT		
	12/12/12	242 000	10 786	2,610.19	3,748 58	1,138 39 LT		
	Total	1,208 000		18,242 59	**18,711.92**	469.33 LT	—	—
Share Price. $15.490								
XILINX INC (XLNX)	6/7/12	247 000	32 398	8,002 31	11,342 24	3,339.93 LT		
	9/14/12	93 000	35 531	3,304 35	4,270 56	966.21 LT		
	Total	340 000		11,306 66	**15,612.80**	4,306 14 LT	340 00	2 17
Share Price $45.920, Next Dividend Payable 02/2014								
YUM BRANDS INC (YUM)	12/21/12	120 000	63 774	7,652.86	9,073 20	1,420 34 LT		
	3/13/13	74 000	69 239	5,123.72	5,595.14	471 42 ST		
	6/21/13	42.000	69 658	2,925 62	3,175.62	250 00 ST		
	10/9/13	29 000	65 563	1,901.33	2,192.69	291 36 ST		
	Total	265 000		17,603.53	**20,036.65**	1,420 34 LT 1,012.78 ST	392.20	1 95
Share Price $75.610, Next Dividend Payable 02/2014								

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Account Detail

Select UMA Active Assets Account
552-128026-482

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ZOETIS INC CLASS-A (ZTS)	8/26/13	104 000	29 887	3,108.22	3,399 76	291 54 ST		
	8/27/13	104 000	29 444	3,062 18	3,399 76	337 58 ST		
	8/28/13	97 000	29 499	2,861 43	3,170 93	309 50 ST		
	9/6/13	105 000	30 641	3,217.34	3,432.45	215 11 ST		
	10/30/13	100 000	32 362	3,236 18	3,269 00	32 82 ST		
	Total	510 000		15,485 35	**16,671.90**	1,186 55 ST	146 88	0 88

Share Price $32 690, Next Dividend Payable 03/2014

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income / Accrued Interest	Yield %
STOCKS	**99.5%**	**$963,851.14**	**$1,703,174.78**	**$704,396.76 LT** **$34,926.69 ST**	**$20,478.40** **$0.00**	**1.20%**

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income / Accrued Interest	Yield %
TOTAL MARKET VALUE	**100.0%**	**$963,851.14**	**$1,712,158.96**	**$704,396.76 LT** **$34,926.69 ST**	**$20,479.30** **$0.00**	**1.20%**

TOTAL VALUE (includes accrued interest) **$1,712,158 96**

C - This taxlot received a return of capital This is a return of some or all of your investment in the security A return of capital reduces your basis in the security and is not taxed until your basis in the security is fully recovered

R - The cost basis for this tax lot was adjusted due to a reclassification of income

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

ACTIVITY

INVESTMENT RELATED ACTIVITY

PURCHASES, DIVIDEND REINVESTMENTS, SALES AND REDEMPTIONS

Trade Date	Settlement Date	Activity Type	Description	Comments	Quantity	Price	Credits/(Debits)
12/4	12/9	Bought	CITRIX SYSTEMS INC	ACTED AS AGENT	70.000	$59 8901	$(4,192 31)
12/6	12/11	Bought	RED HAT INC	ACTED AS AGENT	71 000	46.6963	(3,315 44)
12/11	12/16	Sold	PROCTER & GAMBLE	ACTED AS AGENT	45 000	84 3834	3,797 18
12/12	12/17	Sold	PROCTER & GAMBLE	ACTED AS AGENT	37 000	82 4438	3,050 36
12/12	12/17	Bought	W W GRAINGER INC	ACTED AS AGENT	42 000	251 9955	(10,583 81)
12/16	12/19	Bought	W W GRAINGER INC	ACTED AS AGENT	6 000	252 5494	(1,515 30)

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Morgan Stanley

Corporate Tax Statement
Tax Year 2013

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)
ANTHONY P.LEICHTER,PRESIDENT
P.O. BOX 367
ELMWOOD PARK NJ 07407-0367

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 13-3071645
Account Number: 552 128026 482

Customer Service: 866-324-6088

This information is NOT being furnished to the Internal Revenue Service. It is provided to you for informational purposes only.

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Covered Securities (Consider Box 6b (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
APACHE CORP	**CUSIP:** 037411105	**Symbol (Box 1d):** APA						
	41.000	10/11/12	05/23/13	$3,326.98	$3,528.05	$0.00	($201 07)	$0.00
DEERE & CO	**CUSIP:** 244199105	**Symbol (Box 1d):** DE						
	52.000	09/14/12	07/25/13	$4,263.99	$4,252.83	$0.00	$11.16	$0.00
FACEBOOK INC CL-A	**CUSIP:** 30303M102	**Symbol (Box 1d):** FB						
	120.000	04/10/13	11/18/13	$5,594.74	$3,307.21	$0.00	$2,287 53	$0.00
RIVERBED TECH INC	**CUSIP:** 768573107	**Symbol (Box 1d):** RVBD						
	177 000	07/31/13	11/18/13	$3,200.12	$2,699.92	$0.00	$500.20	$0.00
Total Short Term Covered Securities				**$16,385.83**	**$13,788.01**	**$0.00**	**$2,597.82**	**$0.00**

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Morgan Stanley

Corporate Tax Statement
Tax Year 2013

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)
ANTHONY P.LEICHTER,PRESIDENT
P.O. BOX 367
ELMWOOD PARK NJ 07407-0367

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number. 13-3071645
Account Number: 552 128026 482

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS — OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part I with box B checked)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
EATON CORP PLC SHS	**CUSIP:** G29183103	**Symbol (Box 1d):** ETN						
	28.000	12/03/12	05/31/13	$1,871.17	$1,438.79	$0.00	$432.38	$0.00
EOG RESOURCES INC	**CUSIP:** 26875P101	**Symbol (Box 1d):** EOG						
	17.000	06/15/12	04/15/13	$2,013.24	$1,621.90	$0.00	$391.34	$0.00
	49.000	06/15/12	04/18/13	$5,525.98	$4,674.90	$0.00	$851.08	$0.00
Security Subtotal	**66.000**			**$7,539.22**	**$6,296.80**	**$0.00**	**$1,242.42**	**$0.00**
Total Short Term Noncovered Securities				**$9,410.39**	**$7,735.59**	**$0.00**	**$1,674.80**	**$0.00**
Total Short Term Covered and Noncovered Securities				**$25,796.22**	**$21,523.60**	**$0.00**	**$4,272.62**	**$0.00**

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Morgan Stanley

Corporate Tax Statement
Tax Year 2013

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)
ANTHONY P.LEICHTER,PRESIDENT
P.O. BOX 367
ELMWOOD PARK NJ 07407-0367

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1 New York Plaza
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New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 13-3071645
Account Number: 552 128026 482

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Covered Securities (Consider Box 6b (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part II with box D checked)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
DOLBY CLA A COM STK	**CUSIP:** 25659T107	**Symbol (Box 1d):** DLB						
	1 000	10/11/12	11/18/13	$35.71	$31.80	$0.00	$3 91	$0.00
Total Long Term Covered Securities				**$35.71**	**$31.80**	**$0.00**	**$3.91**	**$0.00**

Morgan Stanley

Corporate Tax Statement
Tax Year 2013

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)
ANTHONY P.LEICHTER,PRESIDENT
P.O. BOX 367
ELMWOOD PARK NJ 07407-0367

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 13-3071645
Account Number: 552 128026 482

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS — OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part II with box E checked)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
AMAZON COM INC	CUSIP: 023135106		Symbol (Box 1d): AMZN					
	27.000	04/28/06	07/17/13	$8,275.19	$958.42	$0.00	$7,316.77	$0.00
	7.000	10/04/06	07/17/13	$2,145.42	$229.10	$0 00	$1,916.32	$0.00
	26.000	10/04/06	11/18/13	$9,570.43	$850.93	$0.00	$8,719.50	$0.00
Security Subtotal	**60.000**			**$19,991.04**	**$2,038.45**	**$0.00**	**$17,952.59**	**$0.00**
APACHE CORP	CUSIP: 037411105		Symbol (Box 1d): APA					
	44.000	08/12/10	03/01/13	$3,237.82	$4,094.20	$0.00	($856.38)	$0.00
	32.000	03/17/11	03/01/13	$2,354.78	$3,764.19	$0.00	($1,409 41)	$0.00
	39.000	08/17/11	03/01/13	$2,869.89	$4,149.49	$0.00	($1,279 60)	$0.00
	63.000	08/17/11	05/23/13	$5,112.19	$6,703.03	$0.00	($1,590.84)	$0.00
	21.000	12/09/11	05/23/13	$1,704.06	$2,021.33	$0.00	($317.27)	$0 00
	23.000	12/14/11	05/23/13	$1,866.36	$2,019.72	$0.00	($153.36)	$0.00
Security Subtotal	**222.000**			**$17,145.10**	**$22,751.96**	**$0.00**	**($5,606.86)**	**$0.00**
APPLE INC	CUSIP: 037833100		Symbol (Box 1d): AAPL					
	9.000	08/05/11	11/18/13	$4,713.57	$3,356.20	$0.00	$1,357 37	$0.00
	1.000	08/08/11	11/18/13	$523.73	$362.95	$0.00	$160.78	$0.00
Security Subtotal	**10.000**			**$5,237.30**	**$3,719.15**	**$0.00**	**$1,518.15**	**$0.00**
BED BATH & BEYOND INC	CUSIP: 075896100		Symbol (Box 1d): BBBY					
	58.000	03/28/07	06/24/13	$3,937.38	$2,308.40	$0 00	$1,628 98	$0.00
	5.000	03/28/07	06/26/13	$347.37	$199.00	$0 00	$148.37	$0.00
	35.000	01/10/08	06/26/13	$2,431.58	$928.32	$0 00	$1,503 26	$0 00
	41.000	01/10/08	09/20/13	$3,093.44	$1,087.46	$0.00	$2,005.98	$0 00
	42.000	01/10/08	09/23/13	$3,116.28	$1,113.99	$0.00	$2,002.29	$0.00
Security Subtotal	**181.000**			**$12,926.05**	**$5,637.17**	**$0.00**	**$7,288.88**	**$0.00**

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Morgan Stanley

Corporate Tax Statement
Tax Year 2013

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)
ANTHONY P.LEICHTER,PRESIDENT
P.O. BOX 367
ELMWOOD PARK NJ 07407-0367

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 13-3071645
Account Number: 552 128026 482

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part II with box E checked)
(Continued)

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BIOGEN IDEC INC	CUSIP: 09062X103	Symbol (Box 1d): BIIB						
	13.000	04/28/06	04/30/13	$2,846.95	$591 61	$0 00	$2,255 34	$0.00
	1.000	04/28/06	04/30/13	$219.00	$45.51	$0 00	$173.49	$0.00
	14.000	04/28/06	05/03/13	$3,068.20	$637 12	$0.00	$2,431 08	$0.00
	1.000	04/28/06	05/03/13	$219.16	$45.51	$0.00	$173.65	$0.00
	12.000	04/28/06	11/18/13	$2,904.34	$546 10	$0.00	$2,358 24	$0.00
	3.000	04/28/06	11/18/13	$726.08	$136.52	$0.00	$589.56	$0.00
	1.000	04/28/06	11/18/13	$242.03	$45.51	$0.00	$196.52	$0.00
Security Subtotal	**45.000**			**$10,225.76**	**$2,047.88**	**$0.00**	**$8,177.88**	**$0.00**
BLACKROCK INC	CUSIP: 09247X101	Symbol (Box 1d): BLK						
	5.000	03/20/09	01/30/13	$1,182.52	$571.70	$0.00	$610.82	$0.00
	15.000	03/30/09	01/30/13	$3,547.55	$1,890.64	$0 00	$1,656.91	$0.00
	9.000	03/30/09	11/18/13	$2,741.71	$1,134.38	$0.00	$1,607 33	$0.00
	7.000	04/08/09	11/18/13	$2,132.44	$899.67	$0.00	$1,232.77	$0.00
Security Subtotal	**36.000**			**$9,604.22**	**$4,496.39**	**$0.00**	**$5,107.83**	**$0.00**
BROADCOM CORP CL A	CUSIP: 111320107	Symbol (Box 1d): BRCM						
	193.000	10/04/06	11/18/13	$5,179.54	$5,565 93	$0 00	($386.39)	$0.00
	4.000	10/04/06	11/18/13	$107.35	$115.35	$0.00	($8.00)	$0 00
	4.000	10/04/06	11/18/13	$107.35	$115.36	$0.00	($8.01)	$0 00
	99.000	10/04/06	11/18/13	$2,656.86	$2,855 06	$0.00	($198.20)	$0.00
	8.000	01/11/08	11/18/13	$214.69	$180.04	$0.00	$34.65	$0.00
Security Subtotal	**308.000**			**$8,265.79**	**$8,831.74**	**$0.00**	**($565.95)**	**$0.00**

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Morgan Stanley

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Tax Year 2013

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Continued)

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CELGENE CORP	CUSIP: 151020104	Symbol (Box 1d): CELG						
	1.000	12/02/08	05/17/13	$122.91	$49.51	$0.00	$73 40	$0 00
	22.000	12/03/08	05/17/13	$2,703 95	$1,126.35	$0 00	$1,577 60	$0.00
	15.000	12/03/08	07/02/13	$1,795.68	$767.97	$0 00	$1,027 71	$0.00
	25.000	12/03/08	07/17/13	$3,391.30	$1,279.95	$0.00	$2,111.35	$0.00
	5.000	01/30/09	07/17/13	$678.26	$266 17	$0 00	$412.09	$0 00
	60.000	01/30/09	09/18/13	$8,824.99	$3,194.00	$0.00	$5,630.99	$0.00
	22.000	01/30/09	11/18/13	$3,380.24	$1,171.13	$0.00	$2,209.11	$0.00
Security Subtotal	**150.000**			**$20,897.33**	**$7,855.08**	**$0.00**	**$13,042.25**	**$0.00**
CHARLES SCHWAB NEW	CUSIP: 808513105	Symbol (Box 1d): SCHW						
	232 000	01/29/09	05/31/13	$4,688.35	$3,243.15	$0.00	$1,445.20	$0.00
	45.000	01/29/09	11/18/13	$1,098 43	$629 06	$0 00	$469.37	$0.00
	75.000	02/02/09	11/18/13	$1,830 71	$946.23	$0 00	$884.48	$0.00
	27.000	02/19/09	11/18/13	$659.06	$350.99	$0.00	$308.07	$0.00
Security Subtotal	**379.000**			**$8,276.55**	**$5,169.43**	**$0.00**	**$3,107.12**	**$0.00**
CISCO SYS INC	CUSIP: 17275R102	Symbol (Box 1d): CSCO						
	333.000	06/28/06	04/22/13	$6,772.90	$6,366.96	$0 00	$405 94	$0 00
	175 000	11/08/11	04/22/13	$3,559.33	$3,200 40	$0 00	$358.93	$0 00
	10.000	12/14/11	04/22/13	$203.39	$179.59	$0.00	$23.80	$0.00
Security Subtotal	**518.000**			**$10,535.62**	**$9,746.95**	**$0.00**	**$788.67**	**$0.00**
COMCAST CORP CL A SPECIAL NEW	CUSIP: 20030N200	Symbol (Box 1d): CMCSK						
	2.000	03/14/08	02/07/13	$73.46	$37.23	$0.00	$36.23	$0.00
	29 000	03/14/08	02/07/13	$1,065.13	$539.79	$0 00	$525.34	$0 00
	28.000	03/14/08	11/18/13	$1,305.42	$521 17	$0.00	$784.25	$0.00

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Continued)

(Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part II with box E checked.)

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COMCAST CORP CL A SPECIAL	50.000	03/14/08	11/18/13	$2,331.11	$930.67	$0.00	$1,400 44	$0.00
	99.000	03/14/08	11/18/13	$4,615.59	$1,842.72	$0.00	$2,772.87	$0.00
Security Subtotal	**208.000**			**$9,390.71**	**$3,871.58**	**$0.00**	**$5,519.13**	**$0.00**
CREE RESEARCH INC	**CUSIP:** 225447101		**Symbol (Box 1d):** CREE					
	83.000	06/28/06	11/18/13	$4,663.06	$1,879.12	$0.00	$2,783.94	$0.00
CVS CAREMARK CORP	**CUSIP:** 126650100		**Symbol (Box 1d):** CVS					
	68.000	10/24/08	11/18/13	$4,452.89	$1,905.11	$0.00	$2,547 78	$0.00
DEERE & CO	**CUSIP:** 244199105		**Symbol (Box 1d):** DE					
	15.000	06/10/11	05/17/13	$1,307.55	$1,221.10	$0.00	$86.45	$0.00
	16.000	06/10/11	06/21/13	$1,315.02	$1,302.51	$0.00	$12.51	$0.00
	16.000	10/19/11	06/21/13	$1,315.01	$1,102.46	$0.00	$212.55	$0.00
	47.000	10/19/11	07/17/13	$3,911.89	$3,238 49	$0.00	$673.40	$0.00
	7.000	10/19/11	07/25/13	$574.00	$482.33	$0.00	$91.67	$0.00
Security Subtotal	**101.000**			**$8,423.47**	**$7,346.89**	**$0.00**	**$1,076.58**	**$0.00**
DOLBY CLA A COM STK	**CUSIP:** 25659T107		**Symbol (Box 1d):** DLB					
	91.000	10/29/08	11/18/13	$3,249.14	$2,706 31	$0.00	$542 83	$0.00
	35.000	10/30/08	11/18/13	$1,249.67	$1,071 92	$0.00	$177 75	$0.00
	5.000	10/31/08	11/18/13	$178.52	$159.32	$0.00	$19.20	$0.00
	61.000	08/05/11	11/18/13	$2,178.00	$1,894.29	$0.00	$283.71	$0.00
Security Subtotal	**192.000**			**$6,855.33**	**$5,831.84**	**$0.00**	**$1,023.49**	**$0.00**

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Morgan Stanley

Corporate Tax Statement
Tax Year 2013

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part II with box E checked) (Continued)

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EOG RESOURCES INC	CUSIP: 26875P101	Symbol (Box 1d): EOG						
	7.000	10/04/11	02/20/13	$911 43	$493 34	$0 00	$418.09	$0.00
	42.000	10/04/11	03/01/13	$5,180 06	$2,960 05	$0 00	$2,220 01	$0.00
	22.000	10/04/11	04/15/13	$2,605.37	$1,550.50	$0.00	$1,054.87	$0.00
Security Subtotal	**71.000**			**$8,696.86**	**$5,003.89**	**$0.00**	**$3,692.97**	**$0.00**
EXPRESS SCRIPTS HLDG CO COM	CUSIP: 30219G108	Symbol (Box 1d): ESRX						
	90.000	01/04/12	07/29/13	$5,982.69	$4,287 54	$0.00	$1,695.15	$0 00
FOREST LABORATORIES INC	CUSIP: 345838106	Symbol (Box 1d): FRX						
	123 000	06/28/06	11/18/13	$6,346.98	$4,579 29	$0 00	$1,767 69	$0.00
GOOGLE INC-CL A	CUSIP: 38259P508	Symbol (Box 1d): GOOG						
	10 000	10/13/08	11/18/13	$10,412 81	$3,599.77	$0 00	$6,813 04	$0 00
HOME DEPOT INC	CUSIP: 437076102	Symbol (Box 1d): HD						
	30.000	04/28/06	06/21/13	$2,207.35	$1,209 89	$0 00	$997.46	$0 00
INTUIT INC	CUSIP: 461202103	Symbol (Box 1d): INTU						
	23.000	08/22/11	09/19/13	$1,517.92	$1,004.76	$0 00	$513.16	$0 00
	110 000	08/22/11	11/13/13	$7,965.20	$4,805 39	$0.00	$3,159.81	$0.00
	43.000	08/22/11	11/14/13	$3,121.29	$1,878 47	$0.00	$1,242.82	$0.00
	43 000	08/22/11	11/21/13	$3,125.26	$1,878 47	$0.00	$1,246.79	$0 00
	7 000	08/23/11	11/21/13	$508 76	$312 56	$0.00	$196.20	$0 00
	43.000	08/23/11	11/22/13	$3,086.94	$1,919.98	$0.00	$1,166.96	$0.00
Security Subtotal	**269.000**			**$19,325.37**	**$11,799.63**	**$0.00**	**$7,525.74**	**$0.00**

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ISIS PHARM INC	CUSIP: 464330109	Symbol (Box 1d): ISIS						
	138 000	11/01/10	11/18/13	$4,289 10	$1,241 37	$0 00	$3,047 73	$0.00
	74.000	10/19/11	11/18/13	$2,299.95	$572 66	$0 00	$1,727.29	$0.00
	11.000	11/08/11	11/18/13	$341 88	$83 02	$0.00	$258.86	$0 00
	1.000	12/14/11	11/18/13	$31.08	$6.77	$0.00	$24.31	$0.00
Security Subtotal	**224.000**			**$6,962.01**	**$1,903.82**	**$0.00**	**$5,058.19**	**$0.00**
JOHNSON & JOHNSON	CUSIP: 478160104	Symbol (Box 1d): JNJ						
	48.000	07/30/97	11/18/13	$4,524.55	$1,483 50	$0.00	$3,041 05	$0.00
MALLINCKRODT PUBLIC LTD CO	CUSIP: G5785G107	Symbol (Box 1d): MNK						
	0.125	06/28/06	06/28/13	$5.25	$3.01	$0.00	$2.24	$0.00
	11.000	06/28/06	07/03/13	$464.86	$263.89	$0.00	$200 97	$0.00
	3.000	01/03/07	07/03/13	$126.78	$68.75	$0.00	$58.03	$0.00
Security Subtotal	**14.125**			**$596.89**	**$335.65**	**$0.00**	**$261.24**	**$0.00**
MICROSOFT CORP	CUSIP: 594918104	Symbol (Box 1d): MSFT						
	54.000	04/28/06	02/07/13	$1,467.09	$1,306 15	$0 00	$160.94	$0 00
	120 000	04/28/06	10/10/13	$4,008 98	$2,902.56	$0 00	$1,106.42	$0.00
	120 000	10/04/06	10/10/13	$4,008.97	$3,352 80	$0.00	$656.17	$0.00
	80 000	10/04/06	11/18/13	$2,981.94	$2,235.20	$0.00	$746.74	$0.00
	12.000	01/18/07	11/18/13	$447.29	$372.24	$0.00	$75.05	$0.00
Security Subtotal	**386.000**			**$12,914.27**	**$10,168.95**	**$0.00**	**$2,745.32**	**$0.00**

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NASDAQ OMX GROUP INC (THE)	CUSIP: 631103108		Symbol (Box 1d): NDAQ					
	53.000	06/04/08	11/18/13	$1,989.78	$1,724 55	$0.00	$265.23	$0 00
	47.000	07/09/08	11/18/13	$1,764.52	$1,168.47	$0.00	$596.05	$0.00
Security Subtotal	**100.000**			**$3,754.30**	**$2,893.02**	**$0.00**	**$861.28**	**$0.00**
NIKE INC B	CUSIP: 654106103		Symbol (Box 1d): NKE					
	58.000	06/07/11	09/20/13	$3,988.25	$2,369 82	$0.00	$1,618.43	$0.00
	48.000	06/07/11	09/23/13	$3,278.80	$1,961.23	$0.00	$1,317.57	$0.00
Security Subtotal	**106.000**			**$7,267.05**	**$4,331.05**	**$0.00**	**$2,936.00**	**$0.00**
ORACLE CORP	CUSIP: 68389X105		Symbol (Box 1d): ORCL					
	3.000	10/19/11	07/31/13	$96.65	$94.28	$0.00	$2.37	$0.00
	251.000	11/08/11	07/31/13	$8,086.15	$8,419.64	$0.00	($333.49)	$0 00
	74.000	12/14/11	07/31/13	$2,383.96	$2,208.74	$0.00	$175.22	$0.00
Security Subtotal	**328.000**			**$10,566.76**	**$10,722.66**	**$0.00**	**($155.90)**	**$0.00**
PROCTER & GAMBLE	CUSIP: 742718109		Symbol (Box 1d): PG					
	26.000	03/12/02	09/19/13	$2,079.97	$886.67	$0.00	$1,193.30	$0.00
	40.000	03/12/02	10/30/13	$3,266.07	$1,364 10	$0.00	$1,901.97	$0 00
	45.000	03/12/02	12/11/13	$3,797.18	$1,534.61	$0.00	$2,262.57	$0.00
	37.000	03/12/02	12/12/13	$3,050.36	$1,261.79	$0.00	$1,788.57	$0.00
Security Subtotal	**148.000**			**$12,193.58**	**$5,047.17**	**$0.00**	**$7,146.41**	**$0.00**
SANDISK CORP	CUSIP: 80004C101		Symbol (Box 1d): SNDK					
	41.000	07/06/06	11/18/13	$2,834.35	$2,005.19	$0 00	$829.16	$0.00
	12.000	01/11/08	11/18/13	$829.57	$344.49	$0.00	$485.08	$0.00
Security Subtotal	**53.000**			**$3,663.92**	**$2,349.68**	**$0.00**	**$1,314.24**	**$0.00**

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Morgan Stanley

Corporate Tax Statement
Tax Year 2013

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)
ANTHONY P.LEICHTER,PRESIDENT
P.O. BOX 367
ELMWOOD PARK NJ 07407-0367

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 13-3071645
Account Number: 552 128026 482

Customer Service: 866-324-6088

This information is NOT being furnished to the Internal Revenue Service. It is provided to you for informational purposes only.

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part II with box E checked) **(Continued)**

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
SCHLUMBERGER LTD	**CUSIP:** 806857108	**Symbol (Box 1d):** SLB						
	62.000	06/10/10	11/18/13	$5,704.71	$3,604.11	$0.00	$2,100 60	$0.00
SEAGATE TECHNOLOGY PLC	**CUSIP:** G7945M107	**Symbol (Box 1d):** STX						
	70.000	05/01/07	11/18/13	$3,427.35	$1,514.19	$0.00	$1,913.16	$0.00
	64.000	11/11/09	11/18/13	$3,133.57	$1,041.83	$0.00	$2,091.74	$0.00
Security Subtotal	**134.000**			**$6,560.92**	**$2,556.02**	**$0.00**	**$4,004.90**	**$0.00**
TE CONNECTIVITY LTD NEW	**CUSIP:** H84989104	**Symbol (Box 1d):** TEL						
	97.000	06/28/06	11/18/13	$5,105.36	$3,040.60	$0.00	$2,064.76	$0.00
TEXAS INSTRUMENTS	**CUSIP:** 882508104	**Symbol (Box 1d):** TXN						
	109 000	06/12/98	11/18/13	$4,638.95	$1,331 84	$0 00	$3,307 11	$0 00
THERMO FISHER SCIENTIFIC INC	**CUSIP:** 883556102	**Symbol (Box 1d):** TMO						
	15.000	06/11/10	07/17/13	$1,313.22	$773.25	$0.00	$539.97	$0.00
	40.000	10/04/10	07/17/13	$3,501.93	$1,897 98	$0.00	$1,603.95	$0 00
	44.000	10/04/10	11/18/13	$4,443.04	$2,087.77	$0.00	$2,355.27	$0.00
Security Subtotal	**99.000**			**$9,258.19**	**$4,759.00**	**$0.00**	**$4,499.19**	**$0.00**
UNITEDHEALTH GP INC	**CUSIP:** 91324P102	**Symbol (Box 1d):** UNH						
	93.000	06/28/06	11/18/13	$6,665.51	$4,065 03	$0 00	$2,600.48	$0.00
VISA INC CL A	**CUSIP:** 92826C839	**Symbol (Box 1d):** V						
	8 000	06/11/10	06/24/13	$1,412.50	$604 30	$0 00	$808 20	$0 00
	14.000	06/11/10	07/17/13	$2,649 48	$1,057.53	$0.00	$1,591.95	$0.00
	2.000	06/11/10	11/18/13	$400.03	$151.08	$0.00	$248.95	$0.00
Security Subtotal	**24.000**			**$4,462.01**	**$1,812.91**	**$0.00**	**$2,649.10**	**$0.00**

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part II with box E checked) (Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
WALT DISNEY CO HLDG CO	CUSIP: 254687106	Symbol (Box 1d): DIS						
	12.000	01/17/01	07/17/13	$779.58	$397.44	$0 00	$382 14	$0.00
WEATHERFORD INTERNATIONAL LTD	CUSIP: H27013103	Symbol (Box 1d): WFT						
	370.000	04/13/07	11/18/13	$6,197.39	$9,381.35	$0.00	($3,183.96)	$0.00
XILINX INC	CUSIP: 983919101	Symbol (Box 1d): XLNX						
	18.000	06/07/12	09/19/13	$857 02	$583.16	$0.00	$273.86	$0.00
Total Long Term Noncovered Securities				**$322,535.25**	**$194,375.71**	**$0.00**	**$128,159.54**	**$0.00**
Total Long Term Covered and Noncovered Securities				**$322,570.96**	**$194,407.51**	**$0.00**	**$128,163.45**	**$0.00**
Total Short and Long Term, Covered and Noncovered Securities				**$348,367.18**	**$215,931.11**	**$0.00**	**$132,436.07**	**$0.00**

Form 1099-B Total Reportable Amounts

Total Sales Price (Box 2a)	**$348,367.18**			
Total Cost or Other Basis (Box 3)		**$13,819.81**		
Total Wash Sale Loss Disallowed (Box 5)			**$0.00**	
Total Fed Tax Withheld (Box 4)				**$0.00**

Noncovered securities are not subject to the IRS cost basis reporting regulations, therefore their date of acquisition, cost basis, short or long term designation and any disallowed loss resulting from a wash sale will not be reported to the IRS.