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Form **990-PF**

Return of Private Foundation

OMB No 1545-0052

Department of the Treasury
Internal Revenue Service

or Section 4947(a)(1) Trust Treated as Private Foundation
 ▶ Do not enter Social Security numbers on this form as it may be made public.
 ▶ Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning

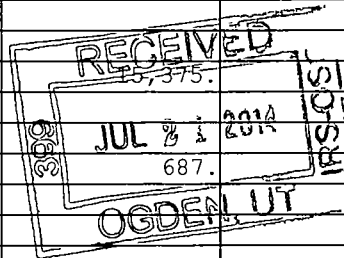
, 2013, and ending

, 20

| | | | | | | | | |
|--|---|--|--|---------------------------------------|---|---|--------------------------------------|--|
| Name of foundation THE FROG ROCK FOUNDATION | | A Employer identification number 13-4127228 | | | | | | |
| Number and street (or P O box number if mail is not delivered to street address) PO BOX 865 | Room/suite | B Telephone number (see instructions) (914) 273-1375 | | | | | | |
| City or town, state or province, country, and ZIP or foreign postal code CHAPPAQUA, NY 10514 | | C If exemption application is pending, check here <input type="checkbox"/> | | | | | | |
| G Check all that apply: <table border="0"> <tr> <td><input type="checkbox"/> Initial return</td> <td><input type="checkbox"/> Initial return of a former public charity</td> </tr> <tr> <td><input type="checkbox"/> Final return</td> <td><input type="checkbox"/> Amended return</td> </tr> <tr> <td><input type="checkbox"/> Address change</td> <td><input type="checkbox"/> Name change</td> </tr> </table> | | <input type="checkbox"/> Initial return | <input type="checkbox"/> Initial return of a former public charity | <input type="checkbox"/> Final return | <input type="checkbox"/> Amended return | <input type="checkbox"/> Address change | <input type="checkbox"/> Name change | D 1 Foreign organizations, check here <input type="checkbox"/> 2 Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/> |
| <input type="checkbox"/> Initial return | <input type="checkbox"/> Initial return of a former public charity | | | | | | | |
| <input type="checkbox"/> Final return | <input type="checkbox"/> Amended return | | | | | | | |
| <input type="checkbox"/> Address change | <input type="checkbox"/> Name change | | | | | | | |
| H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation | | E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/> | | | | | | |
| I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ 18,127,797. | J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ | F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/> | | | | | | |

| 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)) | | (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) | | | | |
| | 2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | 129. | 129. | | ATCH 1 |
| | 4 Dividends and interest from securities | 340,286. | 340,286. | | ATCH 2 |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 1,133,038. | | | |
| | b Gross sales price for all assets on line 6a | 6,841,690. | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 1,133,038. | | |
| | 8 Net short-term capital gain | | | | |
| | 9 Income modifications | | | | |
| | 10 a Gross sales less returns and allowances | | | | |
| b Less Cost of goods sold | | | | | |
| c Gross profit or (loss) (attach schedule) | | | | | |
| 11 Other income (attach schedule) ATCH 3 | 168. | 6. | | | |
| 12 Total Add lines 1 through 11 | 1,473,621. | 1,473,459. | 0 | | |
| Operating and Administrative Expenses | 13 Compensation of officers, directors, trustees, etc | 18,000. | | | 18,000. |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees (attach schedule) | | | | |
| | b Accounting fees (attach schedule) ATCH 4 | 20,500. | | | 5,125. |
| | c Other professional fees (attach schedule) | | | | |
| | 17 Interest | | | | |
| | 18 Taxes (attach schedule) (see instructions) ATCH 5 | 10,687. | | | |
| | 19 Depreciation (attach schedule) and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses (attach schedule) ATCH 6 | 68,349. | 65,976. | | 2,373. |
| | 24 Total operating and administrative expenses. Add lines 13 through 23 | 117,536. | 82,038. | | 25,498. |
| 25 Contributions, gifts, grants paid | 800,414. | | | 800,414. | |
| 26 Total expenses and disbursements Add lines 24 and 25 | 917,950. | 82,038. | 0 | 825,912. | |
| 27 Subtract line 26 from line 12 | 555,671. | | | | |
| a Excess of revenue over expenses and disbursements | | 1,391,421. | | | |
| b Net investment income (if negative, enter -0-) | | | | | |
| c Adjusted net income (if negative, enter -0-) | | | 0 | | |

SCANNED JUL 24 2014



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| 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 | | 1,656,710. | 1,760,409. | 1,760,409. |
| | 2 | Savings and temporary cash investments | | | | |
| | 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 | | | | |
| | 10 a | Investments - U S and state government obligations (attach schedule) * | 189,711. | 239,442. | 221,162. | |
| | b | Investments - corporate stock (attach schedule) ATCH 8 | 8,589,868. | 8,977,444. | 13,158,285. | |
| | c | Investments - corporate bonds (attach schedule) ATCH 9 | 3,111,482. | 3,126,147. | 2,987,941. | |
| | Liabilities | 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) | 13,547,771. | 14,103,442. | 18,127,797. | |
| 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 | 0 | | | |
| Net Assets or Fund Balances | Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31. | | | | | |
| | 24 | Unrestricted | | | | |
| | 25 | Temporarily restricted | | | | |
| | 26 | Permanently restricted | | | | |
| | Foundations that do not follow SFAS 117, . . . ▶ <input checked="" type="checkbox"/> 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 | 13,547,771. | 14,103,442. | | |
| 30 | Total net assets or fund balances (see instructions) | 13,547,771. | 14,103,442. | | | |
| 31 | Total liabilities and net assets/fund balances (see instructions) | 13,547,771. | 14,103,442. | | | |

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 | 13,547,771. |
| 2 | Enter amount from Part I, line 27a | 2 | 555,671. |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | |
| 4 | Add lines 1, 2, and 3 | 4 | 14,103,442. |
| 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 | 14,103,442. |

**ATCH 7

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Part IV Capital Gains and Losses for Tax on Investment Income

| (a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co) | | | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo, day, yr) | (d) Date sold (mo, day, yr) |
|---|--|---|--|------------------------------------|--------------------------------|
| 1a SEE PART IV SCHEDULE | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (i) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) | | |
| (i) F M V as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col (i) over col (j), if any | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 } | | | 2 | 1,133,038. | |
| 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 | 0 | |

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes ☒ No

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

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

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col (b) divided by col (c)) |
|---|--|--|---|
| 2012 | 806,523. | 14,460,419. | 0.055775 |
| 2011 | 708,174. | 14,115,285. | 0.050171 |
| 2010 | 810,103. | 13,628,100. | 0.059444 |
| 2009 | 756,770. | 12,810,893. | 0.059072 |
| 2008 | 620,620. | 16,154,427. | 0.038418 |
| 2 Total of line 1, column (d) | | | 2 0.262880 |
| 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 0.052576 |
| 4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5 | | | 4 16,534,608. |
| 5 Multiply line 4 by line 3 | | | 5 869,324. |
| 6 Enter 1% of net investment income (1% of Part I, line 27b) | | | 6 13,914. |
| 7 Add lines 5 and 6 | | | 7 883,238. |
| 8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions | | | 8 825,912. |

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

| | | | |
|---|------------|----|---------|
| 1 a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary - see instructions) | | 1 | 27,828. |
| b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b | | | |
| 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 | 27,828. |
| 4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | 4 | 0 |
| 5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0- | | 5 | 27,828. |
| 6 Credits/Payments | | | |
| a 2013 estimated tax payments and 2012 overpayment credited to 2013 | 6a 10,051. | | |
| b Exempt foreign organizations - tax withheld at source | 6b | | |
| c Tax paid with application for extension of time to file (Form 8868) | 6c 48,000. | | |
| d Backup withholding erroneously withheld | 6d | | |
| 7 Total credits and payments. Add lines 6a through 6d | | 7 | 58,051. |
| 8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached | | 8 | |
| 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed | | 9 | |
| 10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid | | 10 | 30,223. |
| 11 Enter the amount of line 10 to be Credited to 2014 estimated tax <input type="checkbox"/> 30,223. Refunded <input type="checkbox"/> <input type="checkbox"/> | | 11 | |

Part VII-A Statements Regarding Activities

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

Part VII-A Statements Regarding Activities (continued)

| | | | | |
|---|---|-----|----|---|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions). | 11 | | X |
| 12 | Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions). | 12 | | X |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | X | |
| Website address WWW.FROGROCKFOUNDATION.ORG | | | | |
| 14 | The books are in care of JANET INSKEEP BENTON Telephone no 914-273-1375 | | | |
| Located at P.O. BOX 865 CHAPPAQUA, NY CHAPPAQUA, NY ZIP+4 10514 | | | | |
| 15 | Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year 15 | | | |
| 16 | At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country 16 | Yes | No | |
| | | | X | |

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

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

| | Yes | No |
|--|-----|-----|
| 1a During the year did the foundation (either directly or indirectly) | | |
| (1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No | | |
| (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here <input type="checkbox"/> 1b | | X |
| c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013? 1c | | X |
| 2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)) | | |
| a At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years 2a | | |
| 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 | | N/A |
| c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here 2c | | |
| 3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| b If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013) 3b | | N/A |
| 4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? 4a | | X |
| b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013? 4b | | X |

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Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5a** During the year did the foundation pay or incur any amount to(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (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** N/AOrganizations relying on a current notice regarding disaster assistance check here ☐ N/A**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No

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

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

If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? ☐ **7b** N/A**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors****1 List all officers, directors, trustees, foundation managers and their compensation (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 |
|----------------------|---|---|---|---------------------------------------|
| ATCH 10 | | 18,000. | 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 |
|---|---|------------------|---|---------------------------------------|
| NONE | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

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

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

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

[illegible]

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

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.

| 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 ----- ----- ----- | |
| 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

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | Amount |
|--|--------|
| 1 NONE ----- ----- ----- | |
| 2 ----- ----- ----- | |
| All other program-related investments See instructions 3 NONE ----- ----- ----- | |
| Total. Add lines 1 through 3 ► | |

Form **990-PF** (2013)

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 | 14,881,901. |
| b | Average of monthly cash balances | 1b | 1,904,503. |
| c | Fair market value of all other assets (see instructions) | 1c | |
| d | Total (add lines 1a, b, and c) | 1d | 16,786,404. |
| 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 | |
| 3 | Subtract line 2 from line 1d | 3 | 16,786,404. |
| 4 | Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 251,796. |
| 5 | Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 16,534,608. |
| 6 | Minimum investment return. Enter 5% of line 5 | 6 | 826,730. |

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 | 826,730. |
| 2a | Tax on investment income for 2013 from Part VI, line 5 | 2a | 27,828. |
| b | Income tax for 2013 (This does not include the tax from Part VI) | 2b | |
| c | Add lines 2a and 2b | 2c | 27,828. |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1 | 3 | 798,902. |
| 4 | Recoveries of amounts treated as qualifying distributions | 4 | |
| 5 | Add lines 3 and 4 | 5 | 798,902. |
| 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 | 798,902. |

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 | 825,912. |
| b | Program-related investments - total from Part IX-B | 1b | |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes | 2 | |
| 3 | Amounts set aside for specific charitable projects that satisfy the | | |
| a | Suitability test (prior IRS approval required) | 3a | |
| b | Cash distribution test (attach the required schedule) | 3b | |
| 4 | Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 825,912. |
| 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 | 0 |
| 6 | Adjusted qualifying distributions. Subtract line 5 from line 4 | 6 | 825,912. |

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.

Form 990-PF (2013)

Page **9****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 | | | | 798,902. |
| 2 Undistributed income, if any, as of the end of 2013 | | | | |
| a Enter amount for 2012 only | | | | |
| b Total for prior years 20 <u>11</u> , 20 <u>10</u> , 20 <u>09</u> | | | | |
| 3 Excess distributions carryover, if any, to 2013 | | | | |
| a From 2008 | | | | |
| b From 2009 | | | | |
| c From 2010 | 457,692. | | | |
| d From 2011 | 710,940. | | | |
| e From 2012 | 102,972. | | | |
| f Total of lines 3a through e | 1,271,604. | | | |
| 4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ <u>825,912.</u> | | | | |
| a Applied to 2012, but not more than line 2a | | | | |
| 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 | | | | 798,902. |
| e Remaining amount distributed out of corpus | 27,010. | | | |
| 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 | 1,298,614. | | | |
| b Prior years' undistributed income Subtract line 4b from line 2b | | | | |
| 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 | | | | |
| e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount - see instructions | | | | |
| f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014 | | | | |
| 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) | | | | |
| 9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a | 1,298,614. | | | |
| 10 Analysis of line 9 | | | | |
| a Excess from 2009 | | | | |
| b Excess from 2010 | 457,692. | | | |
| c Excess from 2011 | 710,940. | | | |
| d Excess from 2012 | 102,972. | | | |
| e Excess from 2013 | 27,010. | | | |

Form **990-PF** (2013)

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

| 5 Grants and Contributions Paid During the Year Or Approved for Future Payment | | | | |
|--|---|--------------------------------|----------------------------------|----------|
| Recipient | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
| Name and address (home or business) | | | | |
| a Paid during the year | | | | |
| ATCH 12 | | | | |
| Total ▶ 3a | | | | 800,414. |
| b Approved for future payment | | | | |
| Total ▶ 3b | | | | |

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

| Enter gross amounts unless otherwise indicated | | Unrelated business income | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income (See instructions) |
|---|----------------------|---------------------------|--------------------------------------|---------------|--|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 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 | 129. | |
| 4 Dividends and interest from securities | | | 14 | 340,286. | |
| 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 | | | 18 | 168. | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 1,133,038. | |
| 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) | | | | 1,473,621. | |
| 13 Total Add line 12, columns (b), (d), and (e) | | | | 13 | 1,473,621. |

(See worksheet in line 13 instructions to verify calculations)

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

[illegible]

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

| Kind of Property | | Description | | | | P or D | Date acquired | Date sold |
|--|---------------------------------------|---|--------------------------|--------------------------------|------------------------------------|--------------|----------------------|-----------|
| Gross sale price less expenses of sale | Depreciation allowed/ allowable | Cost or other basis | FMV as of 12/31/69 | Adj basis as of 12/31/69 | Excess of FMV over adj basis | | Gain or (loss) | |
| | | TOTAL CAPITAL GAIN DISTRIBUTIONS | | | | | 28,490. | |
| 33,465. | | SEE ATTACHMENT 1 PROPERTY TYPE: SECURITIES 31,814. | | | | P | VARIOUS | VARIOUS |
| 853,046. | | SEE ATTACHMENT 2 PROPERTY TYPE: SECURITIES 817,355. | | | | P | VARIOUS | VARIOUS |
| 1,730,170. | | SEE ATTACHMENT 3 PROPERTY TYPE: SECURITIES 1,686,821. | | | | P | VARIOUS | VARIOUS |
| 1,382,378. | | SEE ATTACHMENT 4 PROPERTY TYPE: SECURITIES 1,168,242. | | | | P | VARIOUS | VARIOUS |
| 1,821,572. | | SEE ATTACHMENT 5 PROPERTY TYPE: SECURITIES 1,237,669. | | | | P | VARIOUS | VARIOUS |
| 919,544. | | SEE ATTACHMENT 6 PROPERTY TYPE: SECURITIES 691,537. | | | | P | VARIOUS | VARIOUS |
| 35,796. | | SEE ATTACHMENT 7 PROPERTY TYPE: SECURITIES 36,333. | | | | P | 07/17/2012 | VARIOUS |
| 37,229. | | SEE ATTACHMENT 7 PROPERTY TYPE: SECURITIES 38,881. | | | | P | 09/29/2011 | VARIOUS |
| TOTAL GAIN (LOSS) | | | | | | | <u>1,133,038.</u> | |

UBS Financial Services Inc.

1000 Harbor Boulevard
Weehawken, NJ 07086-6790
Federal ID 13-2638166

Your Financial Advisor:

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212-713-7800/800-225-2971

Payer:

JANET BENTON TTEE
THE FROG ROCK FOUNDATION TRUST
UTJA DTD 7/12/2000
30 FROG ROCK
ARMONK NY 10504-1012

2013 Consolidated Form 1099

Copy B, For Recipient

Account Number: JG 18245 1B

Tax Identification Number: 13-4127228

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715)

Consistent with IRS guidance, transactions are grouped into section(s) based upon whether the security is covered or noncovered, and whether the term is short or long. Transactions for which the term cannot be determined are grouped in a separate section. As a result, the substitute Form 1099-B could have up to five separate sections, each with a heading identifying which securities are included and how to report the transactions on Form 8949. When available, basis information will be displayed in sections where basis is not required to be reported to the IRS. A security is a "covered security" and subject to basis reporting requirements if it is acquired on or after its corresponding effective date. For stock in a corporation, the effective date is January 1, 2011. For stock in a mutual fund, the effective date is January 1, 2012. UBS is not required to report basis to the IRS for any securities acquired before 2011. IRS regulations now require that brokers report short sales for the year in which the short sale is closed. The possible application of the "Constructive Sale" provisions (Sec. 1259) for short-against-the-box transactions is not required and thus not reflected here. Clients may wish to discuss the potential application of this provision with their tax advisors.

The cost basis of the oldest security lot (first-in, first-out or FIFO method of accounting) is assigned to a sale to calculate Gain/Loss unless you identified a specific lot (a "versus purchase" or "VSP" order) when you placed your sell order. 2013 Gain/Loss for transactions with trade dates through 12/31/13 has been incorporated into this statement. The net gain or loss for each transaction is calculated based on the sales amount less cost basis with any wash sale loss disallowed. Although we apply wash sale rules to covered lots of identical securities, there are other circumstances to be considered that may result in or negate wash sales. Gain or loss is not calculated on the sale or redemption of certain Structured Products and certain grantor trusts with collectible or foreign currency as it may be ordinary, and not capital, gain or loss. These gains or losses will not be included on the gain or loss subtotal and total amounts. Where applicable, symbol (2) will be printed to the right of the gain or loss subtotal and total amounts. Net gain or loss is not reported to the IRS.

In Box 2a gross proceeds are reported less commissions and option premiums. Sale amounts with "x" symbol indicate where an option premium adjustment has been made. If Box 2b is checked, a loss based on the amount reported in Box 2a is not allowed.

Beginning in 2012, basis for both covered and noncovered securities have been adjusted for all capital changes. Prior to 2012, basis may not have been adjusted for noncovered tax lots. The Original Cost Basis column is only populated for transactions of securities that have had their basis reduced due to premium amortization or increased due to OID accretion. Cost basis for coupon tax-exempt municipal securities (including securities subject to AMT) has been adjusted for mandatory amortization of bond premium. The OID amount reported on your Form 1099-OID is not adjusted for market discount, amortized acquisition premium, or bond premium. Therefore, the amortization and accretion adjustments used here may not be consistent with the Form 1099-OID amounts reported to the IRS because the reporting requirements are different.

Please check with your tax advisor and/or read the tax-related disclosure materials associated with those products.

Type of Gain/Loss: Short Term (Box 1c)

Short-term transactions reported on Form 1099-B - basis reported to the IRS; Report on Form 8949, Part I, with Box A checked.

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are reported to the IRS (Box 6b checked).

| Activity type | Quantity / face value (Box 1e) | Original cost basis (\$) | Date acquired (Box 1b) | Date of sale / exchange (Box 1a) | Sale amount (Box 2a) (\$) | Cost or other basis (Box 3) (\$) | Wash sale loss disallowed (Box 5) (\$) | Federal income tax withheld (Box 4) (\$) | Loss not allowed (Box 2b) | Gain/Loss (\$) |
|--|--------------------------------|--------------------------|------------------------|----------------------------------|---------------------------|----------------------------------|--|--|---------------------------|-------------------|
| Description (Box 8) CBRE CLARION GLOBAL REAL ESTAT | | | | | | | | | | |
| Sell | 4,000.0000 | | 09/03/13 | 10/23/13 | 33,128.11 | 31,460.49 | | | | 1,667.62 |
| Sell | 22.0000 | | 09/30/13 | 10/23/13 | 182.20 | 178.01 | | | | 4.19 |
| Sell | 21.0000 | | 10/31/13 | 12/02/13 | 154.74 | 175.97 | | | | (21.23) |
| Sub Total | 4,043.0000 | | | | 33,465.05 | 31,814.47 | | | | 1,650.58 |
| Short-term total | | | | | \$33,465.05 | \$31,814.47 | | | | \$1,650.58 |
| Box A, Part I | 4,043.0000 | | | | | | | | | |

continued next page

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2013 Consolidated Form 1099

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Account Number: JG 18245 1B
Tax Identification Number: 13-4127228

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Type of Gain/Loss: Short Term (Box 1c)

Short-term transactions reported on Form 1099-B - basis **Not** reported to the IRS, Report on Form 8949, Part I, with **Box B** checked.

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked).

| Activity type | Quantity / face value (Box 1e) | Original cost basis (\$) | Date acquired (Box 1b) | Date of sale / exchange (Box 1a) | Sale amount (Box 2a) (\$) | Cost or other basis (Box 3) (\$) | Wash sale loss disallowed (Box 5) (\$) | Federal income tax withheld (Box 4) (\$) | Loss not allowed (Box 2b) | Gain/Loss (\$) |
|---|--------------------------------------|-----------------------------|------------------------------|---|------------------------------|-------------------------------------|--|--|---------------------------------|----------------|
| Description (Box 8) AMER INTL GROUP INC B/E 08 175% 051558 DTD051509 CALL @ MW + 50 BP | | | | | | | | | | |
| Sell | 50,000.0000 | | 08/24/12 | 03/11/13 | 66,619.75 | 60,942.75 | | | | 5,677.00 |
| Description (Box 8) AVON PRODUCTS INC NTS 06.500% 030119 DTD030209 FC090109 CALL MW+508PS CUSIP 054303AW2 | | | | | | | | | | |
| Sell | 75,000.0000 | 80,304.75 | 09/04/12 | 05/09/13 | 86,709.00 | 79,821.96 | | | | 6,887.04 |
| Description (Box 8) CHESAPEAKE ENERGY CORP 05 750% 031523 DTD040113 FC091513 CALL@MW+508P CUSIP 165167CL9 | | | | | | | | | | |
| Sell | 100,000.0000 | 103,005.25 | 06/06/13 | 10/18/13 | 105,830.75 | 102,917.68 | | | | 2,913.07 |
| Description (Box 8) FORD MOTOR CO COM 07 450% 071631 DTD071699 FC011600 GLOBAL CUSIP 345370CA6 | | | | | | | | | | |
| Sell | 59,000.0000 | 69,586.90 | 06/25/13 | 10/23/13 | 73,273.34 | 69,475.61 | | | | 3,797.73 |
| Description (Box 8) MORGAN STANLEY NTS B/E 01 864% 012414 DTD012511 FC042511 CUSIP 61747WAE9 | | | | | | | | | | |
| Sell | 100,000.0000 | | 02/28/12 | 02/27/13 | 100,394.75 | 97,224.25 | | | | 3,170.50 |
| Description (Box 8) SAFEWAY INC 07 250% 020131 DTD013101 FC080101 CALL@MW+258P CUSIP 786514BA6 | | | | | | | | | | |
| Sell | 75,000.0000 | 80,656.50 | 02/20/13 | 04/08/13 | 87,135.00 | 80,634.71 | | | | 6,500.29 |
| Description (Box 8) SLM CORP NTS B/E 03 995% 070114 DTD070104 FC100104 CUSIP 78442FC55 | | | | | | | | | | |
| Tender | 100,000.0000 | 100,700.25 | 04/05/12 | 03/13/13 | 102,000.00 | 100,415.95 | | | | 1,584.05 |
| Description (Box 8) WASHINGTON POST CO 07 250% 020119 DTD013009 FC080109 CALL@MW NTS CUSIP 939640AD0 | | | | | | | | | | |
| Sell | 75,000.0000 | 87,605.25 | 05/31/12 | 02/07/13 | 88,800.60 | 86,462.94 | | | | 2,337.66 |
| Sell | 50,000.0000 | 58,283.25 | 06/07/12 | 02/07/13 | 59,200.40 | 57,552.47 | | | | 1,647.93 |
| Sub Total | 125,000.0000 | 145,888.50 | | | 148,001.00 | 144,015.41 | | | | 3,985.59 |

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2013 Consolidated Form 1099

Copy B, For Recipient
Account Number: JG 18245 18
Tax Identification Number: 13-4127228

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Short-term transactions reported on Form 1099-B - basis **Not** reported to the IRS; Report on Form 8949, Part I, with **Box B** checked (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

| Activity type | Quantity / face value (Box 1e) | Original cost basis (\$) | Date acquired (Box 1b) | Date of sale / exchange (Box 1a) | Sale amount (Box 2a) (\$) | Cost or other basis (Box 3) (\$) | Wash sale loss disallowed (Box 5) (\$) | Federal income tax withheld (Box 4) (\$) | Loss not allowed (Box 2b) | Gain/Loss (\$) |
|---|--------------------------------------|-----------------------------|------------------------------|---|------------------------------|-------------------------------------|--|--|---------------------------------|----------------|
| | | | | | | | | | | |
| Description (Box 8) WESTERN UNION CO 05.930% 1001116 DTD020607 FC040107 CALL@MMW+20BP CUSIP 959802AB5 | | | | | | | | | | |
| Sell | 75,000.0000 | 83,646.00 | 02/25/13 | 11/25/13 | 83,082.00 | 81,906.91 | | | | 1,175.09 |
| Short-term total | | | | | | | | | | |
| Box B, Part I | 759,000.0000 | \$663,788.15 | | | \$853,045.59 | \$817,355.23 | | | | \$35,690.36 |

Type of Gain/Loss: Long Term (Box 1c)

UBS Financial Services Inc.

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2013 Consolidated Form 1099

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Account Number: JG 18245 1B

Tax Identification Number: 13-4127228

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Long-term transactions reported on Form 1099-B - basis Not reported to the IRS; Report on Form 8949, Part II, with Box E checked. (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

| Activity type | Quantity / face value (Box 1e) | Original cost basis (\$) (Box 1a) | Date acquired (Box 1b) | Date of sale / exchange (Box 1a) | Sale amount (Box 2a) (\$) | Cost or other basis (Box 3) (\$) | Wash sale loss disallowed (Box 5) (\$) | Federal income tax withheld (Box 4) (\$) | Loss not allowed (Box 2b) | Gain/Loss (\$) |
|--|--------------------------------------|---|------------------------------|---|------------------------------|-------------------------------------|--|--|---------------------------------|----------------|
| Description (Box 8) FIFTH THIRD BANCORP NTS 03 625% 012516 DTD012511 FC072511 B/E | | | | | | | | | | |
| Sell | 50,000.0000 | 52,119.75 | 11/02/11 | 08/09/13 | 52,506.75 | 51,257.46 | | | | 1,249.29 |
| Description (Box 8) GOLDMAN SACHS GROUP INC 04 750% 071513 DTD071503 FC011504 NTS | | | | | | | | | | |
| Redemption | 100,000.0000 | 103,050.25 | 10/11/11 | 07/15/13 | 100,000.00 | 100,000.00 | | | | 0.00 |
| Description (Box 8) HALLIBURTON MED 07 530% 051217 DTD051297 FC080197 SER A MTN | | | | | | | | | | |
| Sell | 50,000.0000 | 57,509.75 | 01/11/07 | 04/03/13 | 61,194.75 | 53,492.87 | | | | 7,701.88 |
| Description (Box 8) INTL PAPER CO 06 875% 110123 DTD110193 FC050194 DEB | | | | | | | | | | |
| Sell | 100,000.0000 | 120,538.25 | 09/21/11 | 05/13/13 | 120,044.75 | 118,374.62 | | | | 1,670.13 |
| Description (Box 8) J P MORGAN CHASE & CO 05 750% 010213 DTD112502 FC070203 NTS | | | | | | | | | | |
| Redemption | 5,000.0000 | 5,327.90 | 01/25/05 | 01/02/13 | 5,000.00 | 5,000.00 | | | | 0.00 |
| Description (Box 8) JEFFRIES GROUP INC 06 250% 011536 DTD012606 FC071506 MW+25BP | | | | | | | | | | |
| Sell | 38,000.0000 | | 05/18/11 | 02/04/13 | 38,086.71 | 37,854.01 | | | | 232.70 |
| Description (Box 8) MERRILL LYNCH & CO 05 700% 050217 DTD050207 CALL@MMW+20BP | | | | | | | | | | |
| Sell | 75,000.0000 | 77,555.25 | 04/26/12 | 05/01/13 | 83,014.50 | 77,086.31 | | | | 5,928.19 |
| Description (Box 8) MURPHY OIL CORP B/E 04 000% 060122 DTD051812 CALL@MMW T+35BP | | | | | | | | | | |
| Sell | 100,000.0000 | 100,578.25 | 05/18/12 | 05/22/13 | 100,139.75 | 100,529.46 | | | | (389.71) |
| Description (Box 8) REED ELSEVIER CPTL NTS 08 625% 011519 DTD011609 FC071509 CALL@MMW+50BP | | | | | | | | | | |
| Sell | 50,000.0000 | 65,362.75 | 05/04/11 | 05/06/13 | 65,182.75 | 61,793.39 | | | | 3,389.36 |

continued next page

UBS Financial Services Inc.

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2013 Consolidated Form 1099

Copy B, For Recipient

Account Number: JG 18245 1B

Tax Identification Number: 13-4127228

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Long-term transactions reported on Form 1099-B - basis Not reported to the IRS; Report on Form 8949, Part II, with Box E checked (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked).

| Activity type | Quantity / face value (Box 1e) | Original cost basis (\$) (Box 1f) | Date acquired (Box 1b) | Date of sale / exchange (Box 1a) | Sale amount (Box 2a) (\$) | Cost or other basis (Box 3) (\$) | Wash sale loss disallowed (Box 5) (\$) | Federal income tax withheld (Box 4) (\$) | Loss not allowed (Box 2b) | Gain/Loss (\$) |
|--|--------------------------------------|---|------------------------------|---|------------------------------|-------------------------------------|--|--|---------------------------------|----------------|
| Description (Box 8) SWISS BANK CORP 07 000% 101515 DTD102495 FC041596 NOTES CUSIP 870836AD5 | | | | | | | | | | |
| Sell | 100,000.0000 | 109,755.25 | 04/03/12 | 05/08/13 | 111,823.75 | 106,861.47 | | | | 4,962.28 |
| Description (Box 8) TIME WARNER INC 05 875% 111516 DTD111306 FC051507 CALL@MMW+308P CUSIP 887317AC9 | | | | | | | | | | |
| Sell | 30,000.0000 | 30,725.25 | 01/10/07 | 11/25/13 | 33,812.55 | 30,260.91 | | | | 3,551.64 |
| Description (Box 8) UBS AG STAMFORD BRNCH 02 750% 010813 DTD010810 FC070810 MED TERM NTS CUSIP 90261XFW7 | | | | | | | | | | |
| Redemption | 150,000.0000 | 151,325.25 | 10/18/11 | 01/08/13 | 150,000.00 | 150,000.00 | | | | 0.00 |
| Description (Box 8) US BANK NA MINN NTS 04 950% 103014 DTD101404 FC043005 SER BKNT B/E CUSIP 90331HKP7 | | | | | | | | | | |
| Sell | 250,000.0000 | 275,970.25 | 11/18/11 | 02/07/13 | 266,942.25 | 265,302.27 | | | | 1,639.98 |
| Description (Box 8) WELLS FARGO & CO NEW 04.625% 041514 DTD040604 FC101504 GLOBAL NOTES CUSIP 949746F55 | | | | | | | | | | |
| Sell | 100,000.0000 | 106,297.25 | 10/17/11 | 08/09/13 | 101,988.75 | 101,725.21 | | | | 263.54 |
| Description (Box 8) WILLIS GROUP N AMER 06 200% 032817 DTD032807 FC092807 MW+258P CUSIP 970648AD3 | | | | | | | | | | |
| Sell | 50,000.0000 | 57,938.75 | 03/12/12 | 05/06/13 | 56,988.75 | 56,221.34 | | | | 767.41 |
| Long-term total | | | | | | | | | | |
| Box E, Part II | | | | | | | | | | |
| | 1,569,000.0000 | \$1,681,242.90 | | | \$1,730,170.26 | \$1,686,820.50 | | | | \$43,349.76 |

continued next page

UBS Financial Services Inc.

1000 Harbor Boulevard
Weehawken, NJ 07086-6790
Federal ID 13-2638166

Your Financial Advisor:

JAMES P. BUSTERUD
212-713-7800/800-225-2971

Payer:

JANET BENTON TTEE
THE FROG ROCK FOUNDATION TRUST
UT/IA DTD 7/12/2000
30 FROG ROCK
ARMONK NY 10504-1012

2013 Consolidated Form 1099

Copy B, For Recipient

Account Number: JG 19426 1B

Tax Identification Number: 13-4127228

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715)

Consistent with IRS guidance, transactions are grouped into section(s) based upon whether the security is covered or noncovered, and whether the term is short or long. Transactions for which the term cannot be determined are grouped in a separate section. As a result, the substitute Form 1099-B could have up to five separate sections, each with a heading identifying which securities are included and how to report the transactions on Form 8949. When available, basis information will be displayed in sections where basis is not required to be reported to the IRS. A security is a "covered security" and subject to basis reporting requirements if it is acquired on or after its corresponding effective date. For stock in a corporation, the effective date is January 1, 2011. For stock in a mutual fund the effective date is January 1, 2012. UBS is not required to report basis to the IRS for any securities acquired before 2011. IRS regulations now require that brokers report short sales for the year in which the short sale is closed. The possible application of the "Constructive Sale" provisions (Sec. 1259) for short-against-the-box transactions is not required and thus not reflected here. Clients may wish to discuss the potential application of this provision with their tax advisors.

The cost basis of the oldest security lot (first-in, first-out or FIFO method of accounting) is assigned to a sale to calculate Gain/Loss unless you identified a specific lot (a "versus purchase" or "VSP" order) when you placed your sell order. 2013 Gain/Loss for transactions with trade dates through 12/31/13 has been incorporated into this statement. The net gain or loss for each transaction is calculated based on the sales amount less cost basis with any wash sale loss disallowed. Although we apply wash sale rules to covered lots of identical securities, there are other circumstances to be considered that may result in or negate wash sales. Gain or loss is not calculated on the sale or redemption of certain Structured Products and certain grantor trusts with collectible or foreign currency as it may be ordinary, and not capital, gain or loss. These gains or losses will not be included on the gain or loss subtotal and total amounts. Where applicable, symbol (2) will be printed to the right of the gain or loss subtotal and total amounts. Net gain or loss is not reported to the IRS.

In Box 2a gross proceeds are reported less commissions and option premiums. Sale amounts with "±" symbol indicate where an option premium adjustment has been made. If Box 2b is checked, a loss based on the amount reported in Box 2a is not allowed.

Beginning in 2012, basis for both covered and noncovered securities have been adjusted for all capital changes. Prior to 2012, basis may not have been adjusted for noncovered tax lots. The Original Cost Basis column is only populated for transactions of securities that have had their basis reduced due to premium amortization or increased due to OID accretion. Cost basis for coupon tax-exempt municipal securities (including securities subject to AMT) has been adjusted for mandatory amortization of bond premium. The OID amount reported on your Form 1099-OID is not adjusted for market discount, amortized acquisition premium, or bond premium. Therefore, the amortization and accretion adjustments used here may not be consistent with the Form 1099-OID amounts reported to the IRS because the reporting requirements are different.

Please check with your tax advisor and/or read the tax-related disclosure materials associated with those products.

Type of Gain/Loss: Short Term (Box 1c)

Short-term transactions reported on Form 1099-B - basis reported to the IRS; Report on Form 8949, Part I, with Box A checked

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are reported to the IRS (Box 6b checked).

| Activity type | Quantity / face value (Box 1e) | Original cost basis (\$) | Date acquired (Box 1b) | Date of sale / exchange (Box 1a) | Sale amount (Box 2a) (\$) | Cost or other basis (Box 3) (\$) | Wash sale loss disallowed (Box 5) (\$) | Federal income tax withheld (Box 4) (\$) | Loss not allowed (Box 2b) | Gain/loss (\$) |
|--|--------------------------------|--------------------------|------------------------|----------------------------------|---------------------------|----------------------------------|--|--|---------------------------|------------------|
| Description (Box 8) ADOBE SYSTEMS INC (DELAWARE) | | | | | | | | | | |
| | | | | | | CUSIP 00724F101 | Symbol (Box 1d) ADBE | | | |
| Sell | 2,516.0000 | | 06/21/12 | 03/26/13 | 107,298.54 | 78,793.35 | | | | 28,505.19 |
| Sell | 3,317.0000 | | 08/24/12 | 03/26/13 | 141,458.38 | 106,707.89 | | | | 34,750.49 |
| Sell | 1,929.0000 | | 09/21/12 | 03/26/13 | 82,265.06 | 65,181.30 | | | | 17,083.76 |
| Sub Total | 7,762.0000 | | | | 331,021.98 | 250,682.54 | | | | 80,339.44 |

Description (Box 8) GOOGLE INC CL A

| | | | | | | | | | | |
|------|----------|--|----------|----------|------------|------------------|----------------------|--|--|-----------|
| | | | | | | CUSIP: 38259PS08 | Symbol (Box 1d) GOOG | | | |
| Sell | 12.0000 | | 04/25/12 | 02/11/13 | 9,307.89 | 7,320.36 | | | | 1,987.53 |
| Sell | 154.0000 | | 04/25/12 | 03/19/13 | 125,504.13 | 93,944.62 | | | | 31,559.51 |

continued next page

UBS Financial Services Inc.

1000 Harbor Boulevard
Weehawken, NJ 07086-6790
Federal ID 13-2638166

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Payer:

JANET BENTON TTEE
THE FROG ROCK FOUNDATION TRUST
U/T/A DTD 7/12/2000
30 FROG ROCK
ARM/ONK NY 10504-1012

2013 Consolidated Form 1099

Copy B, For Recipient
Account Number: JG 19426 1B
Tax Identification Number: 13-4127228

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Short-term transactions reported on Form 1099-B - basis reported to the IRS; Report on Form 8949, Part I, with Box A checked (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are reported to the IRS (Box 6b checked)

| Activity type | Quantity / face value (Box 1e) | Original cost basis (\$) (Box 1f) | Date acquired (Box 1b) | Date of sale / exchange (Box 1a) | Sale amount (Box 2a) (\$) | Cost or other basis (Box 3) (\$) | Wash sale loss disallowed (Box 5) (\$) | Federal income tax withheld (Box 4) (\$) | Loss not allowed (Box 2b) | Gain/Loss (\$) |
|--|--------------------------------------|---|------------------------------|---|------------------------------|-------------------------------------|--|--|---------------------------------|---------------------|
| Description (Box 8) GOOGLE INC CL A CUSIP 38259P508 Symbol (Box 1d) GOOG | | | | | | | | | | |
| Sell | 246.0000 | | 11/14/12 | 08/15/13 | 212,253.72 | 162,699.46 | | | | 49,554.26 |
| Sub Total | 412.0000 | | | | 347,065.74 | 263,964.44 | | | | 83,101.30 |
| Description (Box 8) MOTOROLA SOLUTIONS INC CUSIP 620076307 Symbol (Box 1d) MSI | | | | | | | | | | |
| Sell | 5,000.0000 | | 10/23/13 | 12/12/13 | 323,747.37 | 309,230.00 | | | | 14,517.37 |
| Description (Box 8) US BANCORP DEL (NEW) CUSIP 902973304 Symbol (Box 1d) USB | | | | | | | | | | |
| Sell | 3,400.0000 | | 01/23/13 | 08/26/13 | 126,886.89 | 112,321.53 | | | | 14,565.36 |
| Sell | 7,024.0000 | | 01/23/13 | 09/03/13 | 253,656.03 | 232,043.07 | | | | 21,612.96 |
| Sub Total | 10,424.0000 | | | | 380,542.92 | 344,364.60 | | | | 36,178.32 |
| Short-term total | | | | | | | | | | |
| Box A, Part I | 23,598.0000 | | | | \$1,382,378.01 | \$1,168,241.58 | | | | \$214,136.43 |

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2013 Consolidated Form 1099

Copy B, For Recipient
Account Number: JG 19426 18
Tax Identification Number: 13-4127228

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Type of Gain/Loss: Long Term (Box 1c)

Long-term transactions reported on Form 1099-B - basis reported to the IRS; Report on Form 8949, Part II, with **Box D** checked.

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are reported to the IRS (Box 6b checked)

| Activity type | Quantity / face value (Box 1e) | Original cost basis (\$) | Date acquired (Box 1b) | Date of sale / exchange (Box 1a) | Sale amount (Box 2a) (\$) | Cost or other basis (Box 3) (\$) | Wash sale loss disallowed (Box 5) (\$) | Federal income tax withheld (Box 4) (\$) | Loss not allowed (Box 2b) | Gain/Loss (\$) |
|---|--------------------------------------|-----------------------------|------------------------------|---|------------------------------|-------------------------------------|--|--|---------------------------------|----------------------|
| Description (Box 8) ADOBE SYSTEMS INC (DELAWARE) | | | | | | | | | | |
| | | | | | | CUSIP 00724F101 | | | | Symbol (Box 1d) ADBE |
| Sell | 2,397.0000 | | 12/22/11 | 01/17/13 | 91,132.14 | 67,091.81 | | | | 24,040.33 |
| Sell | 1,359.0000 | | 12/22/11 | 02/11/13 | 52,502.17 | 38,038.28 | | | | 14,463.89 |
| Sell | 1,202.0000 | | 12/22/11 | 02/11/13 | 46,408.30 | 33,643.87 | | | | 12,764.43 |
| Sell | 300.0000 | | 01/03/12 | 02/11/13 | 11,582.77 | 8,675.97 | | | | 2,906.80 |
| Sell | 1,293.0000 | | 01/03/12 | 02/22/13 | 49,805.77 | 37,393.43 | | | | 12,412.34 |
| Sub Total | 6,551.0000 | | | | 251,431.15 | 184,843.36 | | | | 66,587.79 |
| Description (Box 8) FISERV INC | | | | | | | | | | |
| | | | | | | CUSIP 337738108 | | | | Symbol (Box 1d) FISV |
| Sell | 201.0000 | | 03/11/11 | 08/15/13 | 20,000.34 | 12,042.64 | | | | 7,957.70 |
| Sell | 799.0000 | | 03/30/11 | 08/15/13 | 79,503.86 | 50,025.31 | | | | 29,478.55 |
| Sell | 201.0000 | | 03/30/11 | 08/26/13 | 19,985.16 | 12,584.59 | | | | 7,400.57 |
| Sell | 243.0000 | | 04/07/11 | 08/26/13 | 24,161.17 | 15,152.64 | | | | 9,008.53 |
| Sub Total | 1,444.0000 | | | | 143,650.53 | 89,805.18 | | | | 53,845.35 |
| Description (Box 8) GOOGLE INC CL A | | | | | | | | | | |
| | | | | | | CUSIP 38259PS08 | | | | Symbol (Box 1d) GOOG |
| Sell | 59.0000 | | 03/11/11 | 02/05/13 | 45,344.49 | 33,933.97 | | | | 11,410.52 |
| Sell | 41.0000 | | 03/11/11 | 02/11/13 | 31,801.95 | 23,581.23 | | | | 8,220.72 |
| Sell | 100.0000 | | 06/08/11 | 02/11/13 | 77,565.72 | 52,067.00 | | | | 25,498.72 |
| Sell | 51.0000 | | 04/25/12 | 08/15/13 | 44,003.82 | 31,111.53 | | | | 12,892.29 |
| Sub Total | 251.0000 | | | | 198,715.98 | 140,693.73 | | | | 58,022.25 |

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30 FROG ROCK
ARMONK NY 10504-1012

2013 Consolidated Form 1099

Copy B, For Recipient

Account Number: JG 19426 18

Tax Identification Number: 13-4127228

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Long-term transactions reported on Form 1099-B - basis reported to the IRS; Report on Form 8949, Part II, with Box D checked (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are reported to the IRS (Box 6b checked)

| Activity type | Quantity / face value (Box 1e) | Original cost basis (\$) (Box 1a) | Date acquired (Box 1b) | Date of sale / exchange (Box 1a) | Sale amount (Box 2a) (\$) | Cost or other basis (Box 3) (\$) | Wash sale loss disallowed (Box 5) (\$) | Federal income tax withheld (Box 4) (\$) | Loss not allowed (Box 2b) | Gain/Loss (\$) |
|---|--------------------------------------|---|------------------------------|---|------------------------------|-------------------------------------|--|--|---------------------------------|------------------|
| Description (Box 8) ISHARES TRUST CORE S&P 500 ETF | | | | | | | | | | |
| Sell | 646.0000 | | 02/10/12 | 07/02/13 | 104,995.14 | 87,048.50 | | | | 17,946.64 |
| Description (Box 8) MOTOROLA SOLUTIONS INC | | | | | | | | | | |
| Sell | 369.0000 | | 08/16/11 | 02/22/13 | 22,711.48 | 14,852.28 | | | | 7,859.20 |
| Sell | 832.0000 | | 08/16/11 | 03/19/13 | 51,297.36 | 33,488.09 | | | | 17,809.27 |
| Sell | 937.0000 | | 08/16/11 | 04/15/13 | 59,142.15 | 37,714.34 | | | | 21,427.81 |
| Sell | 2,000.0000 | | 08/30/11 | 04/15/13 | 126,237.25 | 83,414.00 | | | | 42,823.25 |
| Sub Total | 4,138.0000 | | | | 259,388.24 | 169,468.71 | | | | 89,919.53 |
| Description (Box 8) ORACLE CORP | | | | | | | | | | |
| Sell | 3,148.0000 | | 01/03/12 | 02/05/13 | 111,845.93 | 83,107.20 | | | | 28,738.73 |
| Description (Box 8) TECHNOLOGY SECTOR SPDR TRUST SHS | | | | | | | | | | |
| Sell | 1,443.0000 | | 02/22/12 | 07/02/13 | 44,490.38 | 41,159.41 | | | | 3,330.97 |
| Description (Box 8) VALEANT PHARMACEUTICALS INTL I CAD | | | | | | | | | | |
| Sell | 388.0000 | | 05/11/11 | 02/07/13 | 25,999.34 | 20,268.03 | | | | 5,731.31 |
| Sell | 612.0000 | | 05/11/11 | 02/07/13 | 41,009.26 | 31,969.17 | | | | 9,040.09 |
| Sell | 288.0000 | | 05/17/11 | 02/07/13 | 19,298.48 | 14,304.61 | | | | 4,993.87 |
| Sell | 712.0000 | | 05/17/11 | 02/07/13 | 47,727.85 | 35,364.19 | | | | 12,363.66 |
| Sell | 288.0000 | | 05/18/11 | 02/07/13 | 19,305.65 | 14,159.52 | | | | 5,146.13 |
| Sell | 703.0000 | | 05/18/11 | 02/07/13 | 47,072.79 | 34,563.00 | | | | 12,509.79 |
| Sell | 9.0000 | | 05/18/11 | 05/28/13 | 811.20 | 442.48 | | | | 368.72 |

continued next page

UBS Financial Services Inc.

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Weehawken, NJ 07086-6790
Federal ID 13-2638166

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THE FROG ROCK FOUNDATION TRUST
U/T/A DTD 7/12/2000
30 FROG ROCK
ARMONK NY 10504-1012

2013 Consolidated Form 1099

Copy B, For Recipient
Account Number: JG 19426 1B
Tax Identification Number: 13-4127228

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Long-term transactions reported on Form 1099-B - basis reported to the IRS, Report on Form 8949, Part II, with Box D checked (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are reported to the IRS (Box 6b checked).

| Activity type | Quantity / face value (Box 1e) | Original cost basis (\$), (Box 1a) | Date acquired (Box 1b) | Date of sale / exchange (Box 1a) | Sale amount (Box 2a) (\$) | Cost or other basis (Box 3) (\$) | Wash sale loss disallowed (Box 5) (\$) | Federal income tax withheld (Box 4) (\$) | Loss not allowed (Box 2b) | Gain/Loss (\$) |
|---|--------------------------------|------------------------------------|------------------------|----------------------------------|---------------------------|----------------------------------|--|--|---------------------------|---------------------|
| Description (Box 8) VALEANT PHARMACEUTICALS INTL I CAD | | | | | | | | | | |
| Sell | 1,000 0000 | | 05/26/11 | 05/28/13 | 90,133 58 | 49,857 00 | | | | 40,276.58 |
| Sell | 373 0000 | | 06/07/11 | 05/28/13 | 33,619 83 | 19,914.47 | | | | 13,705.36 |
| Sub Total | 4,373.0000 | | | | 324,977.98 | 220,842.47 | | | | 104,135.51 |
| Description (Box 8) VISTAPRINT N V EUR | | | | | | | | | | |
| Sell | 1,200 0000 | | 01/09/12 | 07/10/13 | 61,558 93 | 36,676 20 | | | | 24,882 73 |
| Sell | 500 0000 | | 01/09/12 | 08/15/13 | 27,418 58 | 15,281 75 | | | | 12,136 83 |
| Sell | 1,400 0000 | | 01/11/12 | 08/15/13 | 76,772 01 | 41,405 32 | | | | 35,366.69 |
| Sell | 600 0000 | | 01/11/12 | 08/26/13 | 32,014 54 | 17,745 13 | | | | 14,269 41 |
| Sell | 400 0000 | | 01/13/12 | 08/26/13 | 21,343 03 | 11,872 46 | | | | 9,470 57 |
| Sell | 600 0000 | | 01/13/12 | 10/23/13 | 32,572.53 | 17,808.68 | | | | 14,763 85 |
| Sell | 1,000 0000 | | 01/24/12 | 10/23/13 | 54,287 56 | 30,210 80 | | | | 24,076.76 |
| Sell | 400 0000 | | 10/04/12 | 10/23/13 | 21,715 02 | 14,200.00 | | | | 7,515 02 |
| Sell | 1,000 0000 | | 10/04/12 | 12/12/13 | 54,394 65 | 35,500.00 | | | | 18,894 65 |
| Sub Total | 7,100.0000 | | | | 382,076.85 | 220,700.34 | | | | 161,376.51 |
| Long-term total | | | | | | | | | | |
| Box D, Part II | 29,094.0000 | | | | \$1,821,572.18 | \$1,237,668.90 | | | | \$583,903.28 |

continued next page

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UT/TA DTD 7/12/2000
30 FROG ROCK
ARMONK NY 10504-1012

2013 Consolidated Form 1099

Copy B, For Recipient
Account Number: JG 19426 1B
Tax Identification Number: 13-4127228

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Type of Gain/Loss: Long Term (Box 1c)

Long-term transactions reported on Form 1099-B - basis **Not** reported to the IRS; Report on Form 8949, Part II, with **Box E** checked

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked).

| Activity type | Quantity / face value (Box 1e) | Original cost basis (\$) | Date acquired (Box 1b) | Date of sale / exchange (Box 1a) | Sale amount (Box 2a) (\$) | Cost or other basis (Box 3) (\$) | Wash sale loss disallowed (Box 5) (\$) | Federal income tax withheld (Box 4) (\$) | Loss not allowed (Box 2b) | Gain/Loss (\$) |
|--|--------------------------------------|-----------------------------|------------------------------|---|------------------------------|-------------------------------------|--|--|---------------------------------|---------------------|
| Description (Box 8) APPLE INC | | | | | | | | | | |
| Sell | 103.0000 | | 07/13/10 | 08/26/13 | 52,405.11 | 25,590.81 | | | | 26,814.30 |
| Description (Box 8) GOOGLE INC CL A | | | | | | | | | | |
| Sell | 88.0000 | | 04/22/10 | 01/23/13 | 65,721.97 | 48,205.48 | | | | 17,516.49 |
| Sell | 316.0000 | | 05/14/10 | 01/23/13 | 236,001.61 | 160,934.95 | | | | 75,066.66 |
| Sell | 29.0000 | | 05/14/10 | 02/05/13 | 22,287.97 | 14,769.35 | | | | 7,518.62 |
| Sub Total | 433.0000 | | | | 324,011.55 | 223,909.78 | | | | 100,101.77 |
| Description (Box 8) ISHARES TRUST CORE S&P 500 ETF | | | | | | | | | | |
| Sell | 1,354.0000 | | 06/27/11 | 06/28/13 | 218,711.88 | 173,163.04 | | | | 45,548.84 |
| Sell | 646.0000 | | 07/08/11 | 06/28/13 | 104,348.50 | 86,846.24 | | | | 17,502.26 |
| Sell | 1,354.0000 | | 07/08/11 | 07/02/13 | 220,067.20 | 182,027.56 | | | | 38,039.64 |
| Sub Total | 3,354.0000 | | | | 543,127.58 | 442,036.84 | | | | 101,090.74 |
| Long-term total | | | | | | | | | | |
| Box E, Part II | 3,890.0000 | | | | \$919,544.24 | \$691,537.43 | | | | \$228,006.81 |
| Total | | | | | \$4,123,494.43 | | | | | |

Frog Rock Foundation
 EIN: 13-4127228
 UBS Financial Services
 Account Number: JG 18245
 Year 2013
 Gain / Loss Supplement

| Security Description | Date Acquired | Date of Sale | Sale Amount | Cost Basis | Gain/(Loss) |
|-----------------------------------|---------------|--------------|------------------|------------------|-----------------|
| FHR 4024 H 03.0000 due 03/15/2027 | 7/17/2012 | 1/15/2013 | 6,520.72 | 6,618.52 | (97.80) |
| FHR 4024 H 03.0000 due 03/15/2027 | 7/17/2012 | 2/15/2013 | 7,271.36 | 7,380.43 | (109.07) |
| FHR 4024 H 03.0000 due 03/15/2027 | 7/17/2012 | 3/15/2013 | 7,491.97 | 7,604.35 | (112.38) |
| FHR 4024 H 03.0000 due 03/15/2027 | 7/17/2012 | 4/16/2013 | 4,152.03 | 4,214.31 | (62.28) |
| FHR 4024 H 03.0000 due 03/15/2027 | 7/17/2012 | 5/15/2013 | 2,024.14 | 2,054.49 | (30.35) |
| FHR 4024 H 03.0000 due 03/15/2027 | 7/17/2012 | 6/17/2013 | 5,502.81 | 5,585.36 | (82.55) |
| FHR 4024 H 03.0000 due 03/15/2027 | 7/17/2012 | 7/15/2013 | 2,833.18 | 2,875.67 | (42.49) |
| Subtotal: | | | 35,796.21 | 36,333.13 | (536.92) |

Total Short Term (Box B): **35,796.21** **36,333.13** **(536.92)**

| | | | | | |
|-------------------------------------|-----------|------------|------------------|------------------|-------------------|
| FHR 4024 H 03.0000 due 03/15/2027 | 7/17/2012 | 8/15/2013 | 2,790.24 | 2,832.10 | (41.86) |
| GNMA PL 004932M 3.5000 due 01/20/41 | 9/29/2011 | 2/20/2013 | 3,832.56 | 4,011.73 | (179.17) |
| GNMA PL 004932M 3.5000 due 01/20/41 | 9/29/2011 | 3/20/2013 | 9,370.80 | 9,808.88 | (438.08) |
| GNMA PL 004932M 3.5000 due 01/20/41 | 9/29/2011 | 4/22/2013 | 3,170.41 | 3,318.63 | (148.22) |
| GNMA PL 004932M 3.5000 due 01/20/41 | 9/29/2011 | 5/20/2013 | 3,457.17 | 3,618.80 | (161.63) |
| GNMA PL 004932M 3.5000 due 01/20/41 | 9/29/2011 | 6/20/2013 | 10,496.33 | 10,987.03 | (490.70) |
| GNMA PL 004932M 3.5000 due 01/20/41 | 9/29/2011 | 7/22/2013 | 3,120.76 | 3,266.65 | (145.89) |
| GNMA PL 004932M 3.5000 due 01/20/41 | 9/29/2011 | 8/20/2013 | 160.39 | 167.89 | (7.50) |
| GNMA PL 004932M 3.5000 due 01/20/41 | 9/29/2011 | 9/20/2013 | 182.93 | 191.48 | (8.55) |
| GNMA PL 004932M 3.5000 due 01/20/41 | 9/29/2011 | 10/21/2013 | 160.16 | 167.65 | (7.49) |
| GNMA PL 004932M 3.5000 due 01/20/41 | 9/29/2011 | 11/20/2013 | 162.37 | 169.96 | (7.59) |
| GNMA PL 004932M 3.5000 due 01/20/41 | 9/29/2011 | 12/20/2013 | 162.30 | 169.89 | (7.59) |
| GNMA PL 004932M 3.5000 due 01/20/41 | 9/29/2011 | 12/31/2013 | 162.78 | 170.39 | (7.61) |
| Subtotal: | | | 34,438.96 | 36,048.98 | (1,610.02) |

Total Long Term (Box B): **37,229.20** **38,881.08** **(1,651.88)**

ATTACHMENT 1FORM 990PF, PART I - INTEREST ON TEMPORARY CASH INVESTMENTS

| <u>DESCRIPTION</u> | <u>REVENUE AND EXPENSES PER BOOKS</u> | <u>NET INVESTMENT INCOME</u> |
|--------------------|---|--------------------------------------|
| UBS-INTEREST | 129. | 129. |
| TOTAL | <u>129.</u> | <u>129.</u> |

ATTACHMENT 2FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

| <u>DESCRIPTION</u> | <u>REVENUE AND EXPENSES PER BOOKS</u> | <u>NET INVESTMENT INCOME</u> | <u>ADJUSTED NET INCOME</u> |
|------------------------------------|---|--------------------------------------|------------------------------------|
| UBS - INTEREST & DIVIDENDS | 388,480. | 388,480. | |
| UBS - OID FROM BONDS | 15,701. | 15,701. | |
| UBS - MARKET DISCOUNT ADJUSTMENT | 13. | 13. | |
| LESS: AMORTIZATION OF BOND PREMIUM | -33,412. | -33,412. | |
| LESS: ACCRUED INTEREST PAID | -30,496. | -30,496. | |
| TOTAL | <u>340,286.</u> | <u>340,286.</u> | |

ATTACHMENT 3

FORM 990PF, PART I - OTHER INCOME

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | ADJUSTED NET INCOME |
|-----------------------|---|-----------------------------|---------------------------|
| MISCELLANEOUS INCOME | 6. | | |
| NON-TAXABLE DIVIDENDS | 162. | NONE | |
| TOTALS | 168. | 6. | |

ATTACHMENT 4FORM 990PF, PART I - ACCOUNTING FEES

| <u>DESCRIPTION</u> | <u>REVENUE AND EXPENSES PER BOOKS</u> | <u>NET INVESTMENT INCOME</u> | <u>ADJUSTED NET INCOME</u> | <u>CHARITABLE PURPOSES</u> |
|--------------------|---|--------------------------------------|------------------------------------|--------------------------------|
| ACCOUNTING FEES | 20,500. | 15,375. | | 5,125. |
| TOTALS | <u>20,500.</u> | <u>15,375.</u> | | <u>5,125.</u> |

ATTACHMENT 5FORM 990PF, PART I - TAXES

| <u>DESCRIPTION</u> | <u>REVENUE AND EXPENSES PER BOOKS</u> | <u>NET INVESTMENT INCOME</u> |
|--------------------|---|--------------------------------------|
| FOREIGN TAX PAID | 687. | 687. |
| FEDERAL TAX PAID | 10,000. | NONE |
| TOTALS | <u>10,687.</u> | <u>687.</u> |

ATTACHMENT 6FORM 990PF, PART I - OTHER EXPENSES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | CHARITABLE PURPOSES |
|---------------------------|---|-----------------------------|------------------------|
| INVESTMENT MANAGEMENT FEE | 65,976. | 65,976. | NONE |
| NYS FILING FEES | 1,500. | NONE | 1,500. |
| COMPUTER SUPPORT | 148. | NONE | 148. |
| MEMBERSHIP FEES | 725. | NONE | 725. |
| TOTALS | <u>68,349.</u> | <u>65,976.</u> | <u>2,373.</u> |

UBS Basis Reconciliation for 18245

| <u>Stocks</u> | | | | |
|---|----------|------------------------|-------------------------|--|
| Corp Bonds | Quantity | 12/31/2013 Cost Basis | 12/31/2013 Market Value | |
| Equities Structured Products | | | | |
| Corporate Bonds & Notes | | \$ 2,659,021.44 | \$ 2,562,681.50 | |
| Closed Ended Fund & Exchange Traded Funds | | \$ 193,844.55 | \$ 185,480.00 | |
| Other Structured Products | | \$ 273,281.66 | \$ 203,500.00 | |
| Total = | | \$ 3,126,147.65 | \$ 2,951,661.50 | |

| | | | | |
|------------------------------|--|------------------------|------------------------|--|
| Government Securities | | | | |
| Asset Backed Securities | | \$ 101,469.46 | \$ 96,916.27 | |
| Government Securities | | \$ 137,972.99 | \$ 124,245.47 | |
| Total = | | \$ 239,442.45 | \$ 221,161.74 | |
| Total Portfolio: | | \$ 3,365,590.10 | \$ 3,172,823.24 | |

| | Cost Basis | Market Value |
|---|------------------------|------------------------|
| Corporate Bonds & Fixed Income Securities | \$ 3,126,147.65 | \$ 2,951,661.50 |
| Government Securities | \$ 239,442.45 | \$ 221,161.74 |
| Total Accrued Interest | | 36,279.13 |
| Cash and money balances | \$ 254,865.93 | \$ 254,865.93 |
| Total: | \$ 3,620,456.03 | \$ 3,463,968.30 |

UBS Basis Reconciliation for 18245

| | 12/31/2012 Cost Basis | Sale Cost Basis | Purchase Price | Difference from Beginning | Amortization | Accretion/ (OID) | 12/31/2013 Cost Basis |
|---|------------------------|--------------------------|------------------------|---------------------------|-----------------------|--------------------|------------------------|
| Stocks | | | | | | | |
| Mutual Funds | | | | | | | |
| CBRE Claron Global Real Estate | - | (31,814 47) | 31,814 47 | - | - | - | - |
| Total Mutual Fund | \$ - | \$ (31,814 47) | \$ 31,814 47 | \$ - | \$ - | \$ - | \$ - |
| Corp Bonds | | | | | | | |
| JP Morgan chase & Co 5 75% due 1/2/13 | 5,000 41 | (5,000 00) | | 0 41 | (0 41) | - | - |
| UBS AG Samford Brnch 2 75% due 01/08/13 | 150,027 48 | (150,000 00) | | 27 48 | (27 48) | - | - |
| Con Edison Note 4 875% due 2/1/13 | \$ 5,000 91 | (5,000 00) | | 0 91 | (0 91) | - | \$ - |
| Goldman Sachs Group Inc 4 75% due 07/15/13 | \$ 100,963 29 | (100,000 00) | | 963 29 | (963 29) | - | \$ - |
| Blyth Industries Inc 5 5% due 11/1/13 | 14,401 27 | (14,401 27) | | - | - | - | - |
| Morgan Stanley 2 161% due 1/24/14 | 97,224 25 | (97,224 25) | | - | - | - | - |
| Wells Fargo & Co 4 625% due 04/15/14 | 103,316 33 | (101,725 21) | | 1,591 12 | (1,591 12) | - | - |
| SLM Corp Nts B/E 3 995% due 07/01/14 | 100,480 31 | (100,415 95) | | 64 36 | (64 36) | - | - |
| US Bank NA Minn Nts 4 95% due 10/30/14 | 266,354 70 | (265,302 27) | | 1,052 43 | (1,052 43) | - | - |
| Adobe Systems Inc Nts 3 25% due 2/1/15 | 78,690 81 | | | 78,690 81 | (1,774 10) | - | 76,916 71 |
| Swiss Bank Corp 7 0% due 10/15/15 | 107,857 57 | (106,861 47) | | 996 10 | (996 10) | - | - |
| Fifth Third Bancorp Nts 3 625% due 01/25/16 | 51,566 24 | (51,257 46) | | 308 78 | (308 78) | - | - |
| Western Union Co 5 93% due 10/01/16 | | (81,906 91) | 83,646 00 | 1,739 09 | (1,739 09) | - | - |
| Time warner Inc 5 875% due 11/15/16 | 30,332 77 | (30,260 91) | | 71 86 | (71 86) | - | - |
| Petrobras Intl Fin Nts 3 5% due 02/06/17 | | | 78,755 25 | 78,755 25 | (840 91) | - | 77,914 34 |
| Willis Group N Amer 6 2% due 03/28/17 | 56,765 76 | (56,221 34) | | 544 42 | (544 42) | - | - |
| Merrill Lynch & Co 5 7% due 05/02/17 | 77,251 52 | (77,086 31) | | 165 21 | (165 21) | - | - |
| Halliburton Med Ser A 7 53% due 5/12/17 | 53,700 21 | (53,492 87) | | 207 34 | (207 34) | - | - |
| Centurylink Inc Nts B/E 5 15% due 06/15/17 | | | 81,982 50 | 81,982 50 | (1,449 30) | - | 80,533 20 |
| Marrt Intl Inc 6 375% due 06/15/17 | 57,066 82 | | | 57,066 82 | (1,525 21) | - | 55,541 61 |
| AT&T Inc Call 5 5% due 02/01/18 | 114,265 43 | (113,479 98) | | 785 45 | (785 45) | - | - |
| Biogen Idec Inc Nts 6 875% due 03/01/18 | 70,972 24 | | | 70,972 24 | (2,002 08) | - | 68,970 16 |
| Hewlett Packard Co 5 5% due 03/01/18 | 57,896 00 | | | 57,896 00 | (1,274 17) | - | 56,621 83 |
| CSX Corp Call@MW+30BP 6 25% due 03/15/18 | 118,001 13 | (117,083 14) | | 917 99 | (917 99) | - | - |
| CIT Group Inc B/E 5 25% due 03/15/18 | | | 53,863 75 | 53,863 75 | (422 22) | - | 53,441 53 |
| Reed Elsevier Cptl Nts 8 625% due 1/15/19 | 62,459 31 | (61,793 39) | | 665 92 | (665 92) | - | - |
| Washington Post Co 7 25% due 2/1/19 | 144,347 17 | (144,015 41) | | 331 76 | (331 76) | - | - |
| Avon Products 6 5% due 3/1/19 | 80,087 45 | (79,821 96) | | 265 49 | (265 49) | - | - |
| Telecom Italia Capital SA 7 175% due 06/18/19 | | | 109,321 25 | 109,321 25 | (505 16) | - | 108,816 09 |
| United States Steel Corp 7 375% due 04/01/20 | | | 101,505 25 | 101,505 25 | (100 87) | - | 101,404 38 |
| UBS AG Jersey Branch 4 0% 04/20/20 | 103,519 84 | | | 103,519 84 | (433 37) | - | 103,086 47 |
| Anglogold Holdings 8 5% 07/30/20 | | | 102,340 25 | 102,340 25 | (107 09) | - | 102,233 16 |
| Alcoa Inc B/E 5 4% due 04/15/21 | | | 78,914 25 | 78,914 25 | (312 41) | - | 78,601 84 |
| Safeway Inc Nts B/E 4 75% due 12/01/21 | | | 51,458 75 | 51,458 75 | (127 52) | - | 51,331 23 |
| Hewlett Packard Co NTS 4 65% 12/09/21 | | | 51,396 25 | 51,396 25 | (17 60) | - | 51,378 65 |
| Murphy Oil Corp B/E 4 0% due 06/01/22 | 100,549 57 | (100,529 46) | | 20 11 | (20 11) | - | - |
| Morgan Stanley 9 45% due 9/26/22 | 42,284 69 | | | 42,284 69 | (3,667 62) | 2,822 01 | 41,439 08 |
| Fiserv Inc Nts 3 5% due 10/1/22 | 76,382 38 | | | 76,382 38 | (124 56) | - | 76,257 82 |
| Kinder Morgan Energy B/E 3 45% due 2/15/23 | | | 95,221 25 | 95,221 25 | - | - | 95,221 25 |
| Plains Exploration 6 875% due 02/15/23 | | | 108,905 25 | 108,905 25 | (285 93) | - | 108,619 32 |
| Motorola Inc MtNS 3 5% due 03/01/23 | | | 49,995 25 | 49,995 25 | - | - | 49,995 25 |
| Chesapeake Energy Corp 5 75% due 03/15/23 | | (102,917 68) | 103,005 25 | 87 57 | (87 57) | - | - |
| Sunamerica Inc 8 125% due 04/28/23 | | | 98,555 25 | 98,555 25 | (1,625 85) | - | 96,929 40 |
| Westinghouse Elec Corp 7 875% ue 09/01/23 | | | 99,590 25 | 99,590 25 | (1,760 45) | - | 97,829 80 |
| Intl Paper Co 6 875% due 11/01/23 | 118,890 11 | (118,374 62) | | 515 49 | (515 49) | - | - |
| Mosaic Co B/E 4 25% due 11/15/23 | | | 75,963 75 | 75,963 75 | (4 86) | - | 75,958 89 |
| Zions Bancorp 5 65% 11/15/23 | | | 77,067 75 | 77,067 75 | (23 87) | - | 77,043 88 |
| Commercial Credit Group 7 875% due 02/01/25 | | | 100,580 25 | 100,580 25 | (1,489 02) | - | 99,091 23 |
| Boeing Co 7 25% due 6/15/25 | 23,840 35 | | | 23,840 35 | (230 09) | - | 23,610 26 |
| Bellsouth Telcommun Inc 7 0% due 10/01/25 | 121,592 99 | (121,096 79) | | 496 20 | (496 20) | - | - |
| Comcast Cable Nts 8 5% due 05/01/27 | | | 59,852 29 | 59,852 29 | (422 77) | - | 59,429 52 |
| Dell Computer 7 1% due 4/15/28 | 23,743 02 | | | 23,743 02 | (166 61) | - | 23,576 41 |
| Goldman Sachs Group Inc 3 5% due 05/23/28 | | | 98,881 50 | 98,881 50 | - | - | 98,881 50 |
| Deere & Co 6 55% due 10/1/28 | 23,740 79 | | | 23,740 79 | (165 57) | - | 23,575 22 |
| Safeway Inc 7 25% due 02/01/31 | | (80,634 71) | 80,656 50 | 21 79 | (21 79) | - | - |
| Ford Motor Co 7 45% due 07/16/31 | | (69,475 61) | 69,586 90 | 111 29 | (111 29) | - | - |
| Citizens Communications Notes 9% 8/15/31 | 27,751 07 | | | 27,751 07 | (69 55) | - | 27,681 52 |
| Valero Energy Corp 7 5% due 04/15/32 | | | 72,880 28 | 72,880 28 | (224 28) | - | 72,656 00 |
| Goldman Sachs Capital I 6 345% due 02/15/34 | | | 80,161 50 | 80,161 50 | (110 80) | - | 80,050 70 |
| Jefferies Group Inc 6 25% due 01/15/36 | 37,854 01 | (37,854 01) | | - | - | - | - |
| Western Union Co 6 2% Due 11/17/36 | 56,106 37 | | 48,515 25 | 104,621 62 | (133 69) | - | 104,487 93 |
| MS Nts 8 0% due 2/23/37 | 85,972 68 | | | 85,972 68 | (4,601 98) | 4,735 36 | 86,106 06 |
| Dell Inc Nts Ser WI 6 5% 04/15/38 | | | 72,005 25 | 72,005 25 | - | - | 72,005 25 |
| JPMorgan Chase B/E 5 15% due 05/29/49 | | | 148,464 00 | 148,464 00 | (15 58) | - | 148,448 42 |
| Citigroup Inc B/E 5 95% due 12/29/49 | | | 80,911 50 | 80,911 50 | (30 83) | - | 80,880 67 |
| Amer Intl Group 8 175% due 5/15/58 | 60,929 82 | (60,942 75) | | (12 93) | - | 12 93 | - |
| Total Corp Bonds | \$ 2,907,187 07 | \$ (2,504,175.73) | \$ 2,413,982 72 | \$ 2,816,994 06 | \$ (37,997 78) | \$ 7,570 30 | \$ 2,786,566 58 |

*Please refer to below for Transfer in Basis WP

(4,601 98) Rtn of Cap
(33,395 80) Amortization

UBS Basis Reconciliation for 18245

| <u>Stocks</u> | 12/31/2012 Cost Basis | Sale Cost Basis | Purchase Price | Difference from Beginning | Amortization | Accretion/ (OID) | 12/31/2013 Cost Basis |
|---|--------------------------|--------------------------|------------------------|------------------------------|------------------------------|---------------------|--------------------------|
| Fixed Income Securities | | | | | | | |
| Eaton Vanch Floating Rate Income Trust | \$ 66,701 97 | | | 66,701 97 | | | \$ 66,701 97 |
| Morgan Stanley due 6/26/17 | 137,593 29 | | | 137,593 29 | - | 8,143 23 | 145,736 52 |
| Powershares Senior Loan Portfolio | | | 127,142 58 | 127,142 58 | - | - | 127,142 58 |
| Total Fixed Income Securities | \$ 204,295 26 | \$ - | \$ 127,142 58 | \$ 331,437 84 | \$ - | \$ 8,143 23 | \$ 339,581 07 |
| Total Corp Bonds & Fixed Income Securities | \$ 3,111,482 33 | \$ (2,504,175 73) | \$ 2,541,125 30 | \$ 3,148,431 90 | \$ (37,997 78) | \$ 15,713 53 | \$ 3,126,147 65 |
| Government Securities | | | | | | | |
| FNMA 4 625% due 10/15/14 | \$ 13,028 28 | | | \$ 13,028 28 | (15 63) | - | \$ 13,012 65 |
| FHR 4024 3 0% due 3/15/27 | \$ 43,594 21 | \$ (39,165 23) | | \$ 4,428 98 | (0 00) | - | \$ 4,428 98 |
| FNMA NTS 3 25% due 02/28/33 | | | \$ 124,960 50 | \$ 124,960 50 | (0 16) | - | \$ 124,960 34 |
| GNMA PI 3 50% due 01/20/41 | \$ 133,089 46 | \$ (36,048 98) | | \$ 97,040 48 | - | - | \$ 97,040 48 |
| Total Government Securities | \$ 189,711 95 | \$ (75,214 21) | \$ 124,960 50 | \$ 239,458 24 | \$ (15 79) | \$ - | \$ 239,442 45 |
| Bond Funds | | | | | | | |
| | | | | \$ - | - | - | - |
| Total Bond Funds | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| | | | | | (33,411 59) Amortization | | |
| | | | | | (4,601 98) Return of Capital | | |
| Total Portfolio | \$ 3,301,194 28 | \$ (2,611,204 41) | \$ 2,697,900 27 | \$ 3,387,890 14 | \$ (38,013 57) | \$ 15,713 53 | \$ 3,365,590 10 |



Resource Management Account
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock
Account number: JG 18245 18

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit accounts are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

| Holding | Opening balance on Dec 1 (\$) | Closing balance on Dec 31 (\$) | Price per share on Dec 31 (\$) | Average rate | Dividend/Interest period | Days in period | Cap amount (\$) |
|------------------------|----------------------------------|-----------------------------------|-----------------------------------|-----------------|-----------------------------|-------------------|-----------------|
| Cash | 118,019.12 | 0.00 | | | | | |
| UBS BANK USA DEP ACCT | 250,000.00 | 250,000.00 | | | | | 250,000.00 |
| UBS AG DEPOSIT ACCOUNT | 144,816.68 | 3,904.79 | | | | | |
| Total | \$512,835.80 | \$253,904.79 | | | | | |



Resource Management Account
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock
Account number: JG 18245 18

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets (continued)

Fixed income

Corporate bonds and notes

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values. Actual market values may vary and thus gains/losses may not be accurately reflected. Cost basis has been adjusted for accreted original issue discount (OID). If you have made a tax

election to deduct the premium amortization on taxable debt securities, you may request that UBS adjust cost basis for the bond premium amortization

| Holding | Trade date | Total face value at maturity (\$) | Purchase price (\$) | Cost basis (\$) | Price on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|---------------------------------|------------|-----------------------------------|---------------------|-----------------|----------------------|----------------------|------------------------------|----------------|
| ADOBE SYSTEMS INC NTS | | | | | | | | |
| MAW T+158P | | | | | | | | |
| RATE 03 250% MATURES 02/01/15 | | | | | | | | |
| ACCRUED INTEREST \$1,015.62 | | | | | | | | |
| CUSIP 00724FAA9 | | | | | | | | |
| Moody Baa1 S&P A- | | | | | | | | |
| EAI \$2,438 Current yield 3.16% | | | | | | | | |
| Original cost basis \$79,865.25 | Apr 24, 12 | 75,000.000 | 102.555 | 76,916.71 | 102.707 | 77,030.25 | 113.54 | LT |
| PETROBRAS INTL FIN NTS | | | | | | | | |
| B/E | | | | | | | | |
| RATE 03 500% MATURES 02/06/17 | | | | | | | | |
| ACCRUED INTEREST \$1,057.29 | | | | | | | | |
| CUSIP 71645WAU5 | | | | | | | | |
| Moody Baa1 S&P BBB | | | | | | | | |
| EAI \$2,625 Current yield 3.47% | | | | | | | | |
| Original cost basis \$78,755.25 | Jan 25, 13 | 75,000.000 | 103.885 | 77,914.34 | 100.915 | 75,686.25 | -2,228.09 | ST |
| CENTURYLINK INC NTS B/E | | | | | | | | |
| OBP | | | | | | | | |
| RATE 05 150% MATURES 06/15/17 | | | | | | | | |
| ACCRUED INTEREST \$171.66 | | | | | | | | |
| CUSIP 156700AQ9 | | | | | | | | |
| Moody Ba2 S&P BB | | | | | | | | |
| EAI \$3,863 Current yield 4.80% | | | | | | | | |
| Original cost basis \$81,982.50 | Jan 14, 13 | 75,000.000 | 107.377 | 80,533.20 | 107.250 | 80,437.50 | -95.70 | ST |

continued next page



Resource Management Account
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock
Account number: JG 18245 18

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets • **Fixed income** • Corporate bonds and notes (continued)

| Holding | Trade date | Total face value at maturity (\$) | Purchase price (\$) | Cost basis (\$) | Price on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|----------------------------------|------------|-----------------------------------|---------------------|-----------------|----------------------|----------------------|------------------------------|----------------|
| MARRIOTT INTL INC | | | | | | | | |
| CALL@MMWT+20 | | | | | | | | |
| RATE 06 375% MATURES 06/15/17 | | | | | | | | |
| ACCRUED INTEREST \$141 66 | | | | | | | | |
| CUSIP 571903AG8 | | | | | | | | |
| Moody: Baa2 S&P: BBB | | | | | | | | |
| EAI \$3,188 Current yield 5.59% | | | | | | | | |
| Original cost basis: \$58,736.25 | | | | | | | | |
| | Nov 02, 11 | 50,000 000 | 111 083 | 55,541 61 | 113 989 | 56,994.50 | 1,452 89 | LT |
| BIOGEN IDEC INC NTS B/E | | | | | | | | |
| CALL@MMW+50BP | | | | | | | | |
| RATE 06 875% MATURES 03/01/18 | | | | | | | | |
| ACCRUED INTEREST \$1,375 00 | | | | | | | | |
| CUSIP 09062XAB9 | | | | | | | | |
| Moody: Baa2 S&P: A- | | | | | | | | |
| EAI \$4,125 Current yield 5.83% | | | | | | | | |
| Original cost basis: \$73,239.45 | | | | | | | | |
| | Oct 21, 11 | 60,000 000 | 114 950 | 68,970 16 | 117 894 | 70,736 40 | 1,766 24 | LT |
| HEWLETT PACKARD CO | | | | | | | | |
| CALL@MMW+30BP | | | | | | | | |
| RATE 05 500% MATURES 03/01/18 | | | | | | | | |
| ACCRUED INTEREST \$934.99 | | | | | | | | |
| CUSIP 428236AS2 | | | | | | | | |
| Moody: Baa1 S&P: BBB+ | | | | | | | | |
| EAI \$2,805 Current yield 4.95% | | | | | | | | |
| Original cost basis: \$59,266.23 | | | | | | | | |
| | Nov 14, 11 | 51,000 000 | 111 023 | 56,621 83 | 111 213 | 56,718 63 | 96 80 | LT |
| CIT GROUP INC B/E | | | | | | | | |
| RATE 05 250% MATURES 03/15/18 | | | | | | | | |
| ACCRUED INTEREST \$772 91 | | | | | | | | |
| CUSIP 125581GL6 | | | | | | | | |
| Moody: Baa3 S&P: BB- | | | | | | | | |
| EAI \$2,625 Current yield 4.90% | | | | | | | | |
| Original cost basis: \$53,863.75 | | | | | | | | |
| | Jun 10, 13 | 50,000 000 | 106 883 | 53,441 53 | 107 250 | 53,625 00 | 183.47 | ST |

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Resource Management Account
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock
Account number: JG 18245 1B

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets • **Fixed income** • Corporate bonds and notes (continued)

| Holding | Trade date | Total face value at maturity (\$) | Purchase price (\$) | Cost basis (\$) | Price on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|-----------------------------------|------------|-----------------------------------|---------------------|-----------------|----------------------|----------------------|------------------------------|----------------|
| TELECOM ITALIA CPTL S A | | | | | | | | |
| OBP NTS B/E | | | | | | | | |
| RATE 07.175% MATURES 06/18/19 | | | | | | | | |
| ACCRUED INTEREST \$259 10 | | | | | | | | |
| CUSIP 872456AA6 | | | | | | | | |
| Moody Ba1 S&P BB+ | | | | | | | | |
| EAI \$7,175 Current yield 6.39% | | | | | | | | |
| Original cost basis \$109,321.25 | | | | | | | | |
| | Aug 20, 13 | 100,000 000 | 108 816 | 108,816.09 | 112 250 | 112,250.00 | 3,433.91 | ST |
| UNITED STATES STEEL CORP | | | | | | | | |
| +50BP | | | | | | | | |
| RATE 07.375% MATURES 04/01/20 | | | | | | | | |
| ACCRUED INTEREST \$1,843 75 | | | | | | | | |
| CUSIP 912909AF5 | | | | | | | | |
| Moody B1 S&P BB- | | | | | | | | |
| EAI \$7,375 Current yield 6.84% | | | | | | | | |
| Original cost basis \$101,505.25 | | | | | | | | |
| | Jun 06, 13 | 100,000 000 | 101 404 | 101,404.38 | 107 750 | 107,750.00 | 6,345.62 | ST |
| UBS AG JERSEY BRNCH | | | | | | | | |
| FOREIGN SECURITY | | | | | | | | |
| RATE 04.000% MATURES 04/22/20 | | | | | | | | |
| MED TERM NTS | | | | | | | | |
| CALLABLE | | | | | | | | |
| ACCRUED INTEREST \$766 67 | | | | | | | | |
| ISIN US90261JFP30 | | | | | | | | |
| Moody: A2 S&P A | | | | | | | | |
| EAI \$4,000 Current yield 3.93% | | | | | | | | |
| Original cost basis: \$103,905.25 | | | | | | | | |
| | Jan 24, 12 | 100,000 000 | 103 086 | 103,086.47 | 101 708 | 101,708.00 | -1,378.47 | LT |
| ANGLOGOLD HOLDINGS PLC | | | | | | | | |
| OBP | | | | | | | | |
| RATE 08 500% MATURES 07/30/20 | | | | | | | | |
| INTEREST EARNED FROM 07/30/13 | | | | | | | | |
| 1ST INTEREST PAYMENT 01/30/14 | | | | | | | | |
| CALLABLE | | | | | | | | |
| ACCRUED INTEREST \$3,541.67 | | | | | | | | |
| CUSIP 03512TAD3 | | | | | | | | |
| Moody: Baa3 S&P BB+ | | | | | | | | |
| EAI \$8,500 Current yield 8.23% | | | | | | | | |
| Original cost basis: \$102,340.25 | | | | | | | | |
| | Jul 29, 13 | 100,000 000 | 102 233 | 102,233.16 | 103 260 | 103,260.00 | 1,026.84 | ST |

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Resource Management Account
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock
Account number: JG 18245 18

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets • Fixed income • Corporate bonds and notes (continued)

| Holding | Trade date | Total face value at maturity (\$) | Purchase price (\$) | Cost basis (\$) | Price on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|---------------------------------|------------|-----------------------------------|---------------------|-----------------|----------------------|----------------------|------------------------------|----------------|
| ALCOA INC B/E | | | | | | | | |
| KE-WHOLET+308PS | | | | | | | | |
| RATE 05.400% MATURES 04/15/21 | | | | | | | | |
| CALLABLE | | | | | | | | |
| ACCRUED INTEREST \$855.00 | | | | | | | | |
| CUSIP 013817AV3 | | | | | | | | |
| Moody: Baa1 S&P BBB- | | | | | | | | |
| EAI \$4,050 Current yield 5.29% | | | | | | | | |
| Original cost basis \$78,914.25 | | | | | | | | |
| | Mar 27, 13 | 75,000.000 | 104.802 | 78,601.84 | 102.129 | 76,596.75 | -2,005.09 | ST |
| SAFeway INC NTS B/E | | | | | | | | |
| +458P | | | | | | | | |
| RATE 04.750% MATURES 12/01/21 | | | | | | | | |
| ACCRUED INTEREST \$197.91 | | | | | | | | |
| CUSIP 786514BU2 | | | | | | | | |
| Moody: Baa3 S&P BBB | | | | | | | | |
| EAI \$2,375 Current yield 4.73% | | | | | | | | |
| Original cost basis \$51,458.75 | | | | | | | | |
| | Jan 31, 13 | 50,000.000 | 102.662 | 51,331.23 | 100.417 | 50,208.50 | -1,122.73 | ST |
| HEWLETT-PACKARD CO NTS | | | | | | | | |
| OBP | | | | | | | | |
| RATE 04.650% MATURES 12/09/21 | | | | | | | | |
| ACCRUED INTEREST \$142.08 | | | | | | | | |
| CUSIP 428236BV4 | | | | | | | | |
| Moody: Baa1 S&P BBB+ | | | | | | | | |
| EAI \$2,325 Current yield 4.52% | | | | | | | | |
| Original cost basis \$51,396.25 | | | | | | | | |
| | Nov 18, 13 | 50,000.000 | 102.757 | 51,378.65 | 102.968 | 51,484.00 | 105.35 | ST |
| FISERV INC NTS B/E | | | | | | | | |
| RATE 03.500% MATURES 10/01/22 | | | | | | | | |
| CALLABLE | | | | | | | | |
| ACCRUED INTEREST \$656.25 | | | | | | | | |
| CUSIP 337738AM0 | | | | | | | | |
| Moody: Baa2 S&P BBB- | | | | | | | | |
| EAI \$2,625 Current yield 3.77% | | | | | | | | |
| Original cost basis \$76,411.50 | | | | | | | | |
| | Sep 27, 12 | 75,000.000 | 101.677 | 76,257.82 | 92.861 | 69,645.75 | -6,612.07 | LT |

continued next page



Resource Management Account
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock
Account number: JG 18245 18

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets • **Fixed income** • Corporate bonds and notes (continued)

| Holding | Trade date | Total face value at maturity (\$) | Purchase price (\$) | Cost basis (\$) | Price on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|----------------------------------|------------|-----------------------------------|---------------------|-----------------|----------------------|----------------------|------------------------------|----------------|
| KINDER MORGAN ENERGY B/E | | | | | | | | |
| OBP | | | | | | | | |
| RATE 03 450% MATURES 02/15/23 | | | | | | | | |
| CALLABLE | | | | | | | | |
| ACCRUED INTEREST \$1,303.33 | | | | | | | | |
| CUSIP 494508M7 | | | | | | | | |
| Moody: Baa2 S&P: BBB | | | | | | | | |
| EAI \$3,450 Current yield 3.71% | Dec 26, 13 | 100,000.000 | 95.221 | 95,221.25 | 92.884 | 92,884.00 | -2,337.25 | ST |
| PLAINS EXPLORATION & | | | | | | | | |
| CALL@MW+50BP | | | | | | | | |
| RATE 06 875% MATURES 02/15/23 | | | | | | | | |
| ACCRUED INTEREST \$2,597.22 | | | | | | | | |
| CUSIP 726505AP5 | | | | | | | | |
| Moody: Baa3 S&P: BBB | | | | | | | | |
| EAI \$6,875 Current yield 6.17% | Aug 08, 13 | 100,000.000 | 108.619 | 108,619.32 | 111.500 | 111,500.00 | 2,880.68 | ST |
| Original cost basis \$108,905.25 | | | | | | | | |
| MOTOROLA INC MTNS | | | | | | | | |
| CALL@MW+30BP | | | | | | | | |
| RATE 03.500% MATURES 03/01/23 | | | | | | | | |
| ACCRUED INTEREST \$583.33 | | | | | | | | |
| CUSIP 620076BC2 | | | | | | | | |
| Moody: Baa2 S&P: BBB | | | | | | | | |
| EAI \$1,750 Current yield 3.78% | Mar 07, 13 | 50,000.000 | 99.990 | 49,995.25 | 92.515 | 46,257.50 | -3,737.75 | ST |
| SUNAMERICA INC | | | | | | | | |
| DEBS | | | | | | | | |
| RATE 08 125% MATURES 04/28/23 | | | | | | | | |
| ACCRUED INTEREST \$1,066.41 | | | | | | | | |
| CUSIP 866930AB6 | | | | | | | | |
| Moody: Baa1 S&P: A- | | | | | | | | |
| EAI \$6,094 Current yield: 6.58% | Feb 21, 13 | 75,000.000 | 129.239 | 96,929.40 | 123.470 | 92,602.50 | -4,326.90 | ST |
| Original cost basis \$98,555.25 | | | | | | | | |

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Resource Management Account
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock
Account number: JG 18245 18

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets • Fixed income • Corporate bonds and notes (continued)

| Holding | Trade date | Total face value at maturity (\$) | Purchase price (\$) | Cost basis (\$) | Price on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|-----------------------------------|------------|-----------------------------------|---------------------|-----------------|----------------------|----------------------|------------------------------|----------------|
| WESTINGHOUSE ELEC CORP | | | | | | | | |
| DEB NTS | | | | | | | | |
| RATE 07.875% MATURES 09/01/23 | | | | | | | | |
| ACCRUED INTEREST \$1,968.75 | | | | | | | | |
| CUSIP 960402AS4 | | | | | | | | |
| Moody: Baa2 S&P: BBB | | | | | | | | |
| EAI \$5,906 Current yield: 6.68% | | | | | | | | |
| Original cost basis: \$99,590.25 | | | | | | | | |
| | Jan 28, 13 | 75,000.000 | 130.439 | 97,829.80 | 117.969 | 88,476.75 | -9,353.05 | ST |
| ZIONS BANCORPORATION B/E | | | | | | | | |
| RATE 05.650% MATURES 11/15/23 | | | | | | | | |
| INTEREST EARNED FROM 11/05/13 | | | | | | | | |
| 1ST INTEREST PAYMENT 05/15/14 | | | | | | | | |
| CALLABLE | | | | | | | | |
| ACCRUED INTEREST \$659.16 | | | | | | | | |
| CUSIP 989701BH9 | | | | | | | | |
| EAI \$4,238 Current yield: 5.47% | | | | | | | | |
| Original cost basis: \$77,067.75 | | | | | | | | |
| | Nov 04, 13 | 75,000.000 | 102.725 | 77,043.88 | 103.377 | 77,532.75 | 488.87 | ST |
| MOSAIC CO B/E | | | | | | | | |
| CALL@MW+25BP | | | | | | | | |
| RATE 04.250% MATURES 11/15/23 | | | | | | | | |
| INTEREST EARNED FROM 11/13/13 | | | | | | | | |
| 1ST INTEREST PAYMENT 05/15/14 | | | | | | | | |
| CALLABLE | | | | | | | | |
| ACCRUED INTEREST \$425.00 | | | | | | | | |
| CUSIP 61945CAC7 | | | | | | | | |
| Moody: Baa1 S&P: BBB | | | | | | | | |
| EAI \$3,188 Current yield: 4.30% | | | | | | | | |
| Original cost basis: \$75,963.75 | | | | | | | | |
| | Dec 09, 13 | 75,000.000 | 101.278 | 75,958.89 | 98.760 | 74,070.00 | -1,888.89 | ST |
| COMMERCIAL CREDIT GROUP INC | | | | | | | | |
| RATE 07.875% MATURES 02/01/25 | | | | | | | | |
| ACCRUED INTEREST \$2,460.93 | | | | | | | | |
| CUSIP 201615CY5 | | | | | | | | |
| Moody: Baa2 S&P: A- | | | | | | | | |
| EAI \$5,906 Current yield: 6.54% | | | | | | | | |
| Original cost basis: \$100,580.25 | | | | | | | | |
| | Feb 12, 13 | 75,000.000 | 132.121 | 99,091.23 | 120.373 | 90,279.75 | -8,811.48 | ST |

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Resource Management Account
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock
Account number: JG 18245 18

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets • **Fixed income** • Corporate bonds and notes (continued)

| Holding | Trade date | Total face value at maturity (\$) | Purchase price (\$) | Cost basis (\$) | Price on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|-----------------------------------|------------|-----------------------------------|---------------------|-----------------|----------------------|----------------------|------------------------------|----------------|
| BOEING CO | | | | | | | | |
| DEBS | | | | | | | | |
| RATE 07 250% MATURES 06/15/25 | | | | | | | | |
| ACCRUED INTEREST \$64.44 | | | | | | | | |
| CUSIP 097023AM7 | | | | | | | | |
| Moody: A2 S&P: A | | | | | | | | |
| EAI: \$1,450 Current yield: 5.78% | | | | | | | | |
| Original cost basis: \$24,378.05 | | | | | | | | |
| May 19, 10 | 20,000,000 | 118,051 | 23,610.26 | 125.461 | 25,092.20 | 1,481.94 | LT | |
| COMCAST CABLE NTS | | | | | | | | |
| RATE 08.500% MATURES 05/01/27 | | | | | | | | |
| ACCRUED INTEREST \$623.33 | | | | | | | | |
| CUSIP 20029PAH2 | | | | | | | | |
| Moody: A3 S&P: A- | | | | | | | | |
| EAI: \$3,740 Current yield: 6.48% | | | | | | | | |
| Original cost basis: \$59,852.29 | | | | | | | | |
| Jun 25, 13 | 44,000,000 | 135,067 | 59,429.52 | 131.253 | 57,751.32 | -1,678.20 | ST | |
| DELL COMPUTER CORP | | | | | | | | |
| 158P | | | | | | | | |
| RATE 07 100% MATURES 04/15/28 | | | | | | | | |
| ACCRUED INTEREST \$299.77 | | | | | | | | |
| CUSIP 247025AE9 | | | | | | | | |
| Moody: B1 S&P: B+ | | | | | | | | |
| EAI: \$1,420 Current yield: 8.07% | | | | | | | | |
| Original cost basis: \$24,131.45 | | | | | | | | |
| May 19, 10 | 20,000,000 | 117,882 | 23,576.41 | 88.000 | 17,600.00 | -5,976.41 | LT | |
| GOLDMAN SACHS GROUP INC | | | | | | | | |
| STEP UP CALL | | | | | | | | |
| RATE 03 500% MATURES 05/23/28 | | | | | | | | |
| ACCRUED INTEREST \$365.74 | | | | | | | | |
| CUSIP 38141GTX2 | | | | | | | | |
| Moody: Baa1 S&P: A- | | | | | | | | |
| EAI: \$3,465 Current yield: 3.84% | | | | | | | | |
| May 28, 13 | 99,000,000 | 99,875 | 98,881.50 | 91.263 | 90,350.37 | -8,531.13 | ST | |
| DEERE & CO B/E | | | | | | | | |
| RATE 06 550% MATURES 10/01/28 | | | | | | | | |
| ACCRUED INTEREST \$327.50 | | | | | | | | |
| CUSIP 244199AW5 | | | | | | | | |
| Moody: A2 S&P: A | | | | | | | | |
| EAI: \$1,310 Current yield: 5.42% | | | | | | | | |
| Original cost basis: \$24,129.85 | | | | | | | | |
| May 19, 10 | 20,000,000 | 117,876 | 23,575.22 | 120.753 | 24,150.60 | 575.38 | LT | |

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Resource Management Account
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock
Account number: JG 18245 18

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets • Fixed income • Corporate bonds and notes (continued)

| Holding | Trade date | Total face value at maturity (\$) | Purchase price (\$) | Cost basis (\$) | Price on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|---------------------------------|------------|-----------------------------------|---------------------|-----------------|----------------------|----------------------|------------------------------|----------------|
| CITIZENS COMMUNICTNS NTS | | | | | | | | |
| M-W+50BP | | | | | | | | |
| RATE 09.000% MATURES 08/15/31 | | | | | | | | |
| ACCRUED INTEREST \$850.00 | | | | | | | | |
| CUSIP 17453BAJ0 | | | | | | | | |
| Moody Baa2 S&P BB- | | | | | | | | |
| EAI \$2,250 Current yield 9.16% | | | | | | | | |
| Original cost basis \$28,067.75 | | | | | | | | |
| | Jan 10, 07 | 25,000.000 | 110.726 | 27,681.52 | 98.250 | 24,562.50 | -3,119.02 | LT |
| VALERO ENERGY CORP | | | | | | | | |
| NOTES | | | | | | | | |
| RATE 07.500% MATURES 04/15/32 | | | | | | | | |
| ACCRUED INTEREST \$934.16 | | | | | | | | |
| CUSIP 91913YAE0 | | | | | | | | |
| Moody Baa2 S&P BBB | | | | | | | | |
| EAI \$4,425 Current yield 6.17% | | | | | | | | |
| Original cost basis \$72,880.28 | | | | | | | | |
| | Jun 25, 13 | 59,000.000 | 123.145 | 72,656.00 | 121.622 | 71,756.98 | -899.02 | ST |
| GOLDMAN SACHS CAPITAL I | | | | | | | | |
| CALL@MMW+20BP | | | | | | | | |
| RATE 06.345% MATURES 02/15/34 | | | | | | | | |
| ACCRUED INTEREST \$1,797.75 | | | | | | | | |
| CUSIP 38143VAA7 | | | | | | | | |
| Moody Baa3 S&P BB+ | | | | | | | | |
| EAI \$4,759 Current yield 6.29% | | | | | | | | |
| Original cost basis \$80,161.50 | | | | | | | | |
| | Feb 27, 13 | 75,000.000 | 106.734 | 80,050.70 | 100.900 | 75,675.00 | -4,375.70 | ST |
| WESTERN UNION CO MW+25BP | | | | | | | | |
| RATE 06.200% MATURES 11/17/36 | | | | | | | | |
| ACCRUED INTEREST \$757.78 | | | | | | | | |
| CUSIP 959802AH2 | | | | | | | | |
| Moody Baa2 S&P BBB+ | | | | | | | | |
| EAI \$6,200 Current yield 6.61% | | | | | | | | |
| Original cost basis \$56,165.25 | | | | | | | | |
| | Jul 10, 12 | 50,000.000 | 111.945 | 55,972.68 | 93.794 | 46,897.00 | -9,075.68 | LT |
| | Nov 25, 13 | 50,000.000 | 97.030 | 48,515.25 | 93.794 | 46,897.00 | -1,618.25 | ST |
| | | 100,000.000 | | 104,487.93 | | 93,794.00 | -10,693.93 | |
| Security total | | | | | | | | |

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Resource Management Account
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock
Account number: JG 18245 1B

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets • Fixed income • Corporate bonds and notes (continued)

| Holding | Trade date | Total face value at maturity (\$) | Purchase price (\$) | Cost basis (\$) | Price on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|--|------------|-----------------------------------|---------------------|-----------------|----------------------|----------------------|------------------------------|----------------|
| DELL INC NTS SER WI /REG S | | | | | | | | |
| RATE 06 500% MATURES 04/15/38 | | | | | | | | |
| ACCURED INTEREST \$1,029.16 | | | | | | | | |
| CUSIP 24702RAF8 | | | | | | | | |
| Moody: B1 S&P B+ | | | | | | | | |
| EAI \$4.875 Current yield 8.10% | Jan 25, 13 | 75,000,000 | 96.007 | 72,005.25 | 80.250 | 60,187.50 | -11,817.75 | ST |
| JP MORGAN CHASE B/E | | | | | | | | |
| RATE 05.150% MATURES 05/29/49 | | | | | | | | |
| CALLABLE | | | | | | | | |
| ACCURED INTEREST \$1,287.49 | | | | | | | | |
| CUSIP 48124BAC9 | | | | | | | | |
| Moody: Ba1 S&P BBB | | | | | | | | |
| EAI \$7.725 Current yield 5.74% | Apr 18, 13 | 75,000,000 | 102.924 | 77,193.17 | 89.750 | 57,312.50 | -9,880.67 | ST |
| Original cost basis: \$77,208.75 | Jul 25, 13 | 75,000,000 | 95.000 | 71,255.25 | 89.750 | 57,312.50 | -3,942.75 | ST |
| Security total | | 150,000,000 | | 148,448.42 | | 134,625.00 | -13,823.42 | |
| CITIGROUP INC B/E | | | | | | | | |
| RATE 05.950% MATURES 12/29/49 | | | | | | | | |
| CALLABLE | | | | | | | | |
| ACCURED INTEREST \$1,859.37 | | | | | | | | |
| CUSIP 172967GD7 | | | | | | | | |
| Moody: Ba3 S&P BB+ | | | | | | | | |
| EAI \$4.463 Current yield 6.43% | May 28, 13 | 75,000,000 | 107.840 | 80,880.67 | 92.535 | 69,401.25 | -11,479.42 | ST |
| Original cost basis \$80,911.50 | | | | | | | | |
| Total | | \$2,473,000,000 | | \$2,659,021.44 | | \$2,562,681.50 | -\$96,339.94 | |
| Total accrued interest: \$34,992.18 | | | | | | | | |
| Total estimated annual income: \$143,583 | | | | | | | | |



Resource Management Account
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock
Account number: JG 18245 18

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets • Fixed income (continued)

Asset backed securities

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values. Actual market values may vary and thus gains/losses may not be accurately reflected. The cost basis for asset backed securities has been adjusted automatically for return of principal payments and if issued at a discount, accreted original issue discount (OID).

| Holding | Trade date | Quantity | Purchase price(\$) | Adjusted cost basis (\$) | Price on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|---|------------|--------------------|--------------------|--------------------------|----------------------|----------------------|------------------------------|----------------|
| FHR 4024 H | | | | | | | | |
| RATE 03 0000% MATURES 03/15/27 | | | | | | | | |
| CURRENT PAR VALUE | | 4,358 | | | | | | |
| ACCRUED INTEREST \$10.89 | | | | | | | | |
| CUSIP 3137ANKR5 | | | | | | | | |
| EAI \$131 Current yield 2.99% | Jul 17, 12 | 75,000.000 | 101.500 | 4,428.98 | 100.443 | 4,377.30 | -51.68 | LT |
| GNMA PL 004932M | | | | | | | | |
| RATE 03 5000% MATURES 01/20/41 | | | | | | | | |
| CURRENT PAR VALUE | | 92,864 | | | | | | |
| ACCRUED INTEREST \$270.84 | | | | | | | | |
| CUSIP 36202FPR1 | | | | | | | | |
| EAI \$3.250 Current yield 3.51% | Sep 29, 11 | 200,000.000 | 104.675 | 97,210.87 | 99.650 | 92,538.97 | -4,671.90 | LT |
| Total | | 275,000.000 | | \$101,639.85 | | \$96,916.27 | -\$4,723.58 | |
| Total accrued interest: \$281.73 | | | | | | | | |
| Total estimated annual income: \$3.381 | | | | | | | | |

Closed end funds & Exchange traded products

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

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

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

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

| Holding | Number of shares | Purchase price/ Average price per share (\$) | Client investment (\$) | Cost basis (\$) | Price per share on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized (tax) gain or loss (\$) | Investment return (\$) | Holding period |
|--|------------------|--|------------------------|-----------------|--------------------------------|----------------------|------------------------------------|------------------------|----------------|
| EATON VANCE FLOATING RATE INCOME TRUST | | | | | | | | | |
| Symbol: EFT | | | | | | | | | |
| Trade date: Aug 24, 12 | 2,000.000 | 16.707 | 33,414.18 | 33,414.18 | 15.270 | 30,540.00 | -2,874.18 | | LT |
| Trade date: Sep 4, 12 | 2,000.000 | 16.643 | 33,287.79 | 33,287.79 | 15.270 | 30,540.00 | -2,747.79 | | LT |
| EAI: \$3,844 Current yield: 6.29% | | | | | | | | | |

continued next page



Resource Management Account
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock
Account number: JG 18245 1B

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

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

| Holding | Number of shares | Purchase price/Average price per share (\$) | Client investment (\$) | Cost basis (\$) | Price per share on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized (tax) gain or loss (\$) | Investment return (\$) | Holding period |
|---------------------------------|------------------|---|------------------------|-----------------|--------------------------------|----------------------|------------------------------------|------------------------|----------------|
| Security total | 4,000 C00 | 16 675 | 66,701 97 | 66,701 97 | | 61,080.00 | -5,621 97 | -5,621 97 | |
| POWERSHARES ETF TRUST II | | | | | | | | | |
| Symbol BKLN | | | | | | | | | |
| Trade date Jan 24, 13 | 2,000 C00 | 25 490 | 50,981 94 | 50,981 94 | 24 880 | 49,760.00 | -1,221 94 | | ST |
| Trade date May 20, 13 | 2,000 C00 | 25 468 | 50,936 50 | 50,936 50 | 24 880 | 49,760.00 | -1,176 50 | | ST |
| Trade date Jun 11, 13 | 1,000 C00 | 25 224 | 25,224 14 | 25,224 14 | 24 880 | 24,880.00 | -344.14 | | ST |
| EAI \$5.475 Current yield 4 40% | | | | | | | | | |
| Security total | 5,000 C00 | 25 429 | 127,142 58 | 127,142 58 | | 124,400.00 | -2,742 58 | -2,742 58 | |
| Total | | | \$193,844.55 | \$193,844.55 | | \$185,480.00 | -\$8,364.55 | -\$8,364.55 | |

Total estimated annual income: \$9,319

Government securities

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values. Actual market values may vary and thus gains/losses may not be accurately reflected. Cost basis has been adjusted for accreted original issue discount (OID). If you have made a

tax election to deduct the premium amortization on taxable debt securities, you may request that UBS adjust cost basis for the bond premium amortization

| Holding | Trade date | Quantity | Purchase price (\$) | Cost basis (\$) | Price on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|--|------------|-------------|---------------------|-----------------|----------------------|----------------------|------------------------------|----------------|
| FNMA | | | | | | | | |
| RATE 4 6250% MATURES 10/15/14 | | | | | | | | |
| ACCURED INTEREST \$126 93 | | | | | | | | |
| CUSIP 31359MWJ8 | | | | | | | | |
| EAI \$601 Current yield 4 47% | | | | | | | | |
| Original cost basis \$13,124 29 | Jul 20, 05 | 13,000 000 | 100 097 | 13,012 65 | 103 494 | 13,454 22 | 441.57 | LT |
| FNMA NTS | | | | | | | | |
| RATE 3 2500% MATURES 02/28/33 | | | | | | | | |
| ACCURED INTEREST \$33 85 | | | | | | | | |
| CUSIP 3136G1EG0 | | | | | | | | |
| EAI \$4,063 Current yield 3 67% | | | | | | | | |
| Original cost basis \$75,005 25 | Feb 11, 13 | 75,000 000 | 100 006 | 75,005.09 | 88 633 | 56,474 75 | -8,530 34 | ST |
| | Mar 25, 13 | 50,000 000 | 99 910 | 49,955 25 | 88 633 | 44,316 50 | -5,638 75 | ST |
| Security total | | 125,000 000 | | 124,960 34 | | 110,791 25 | -14,169.09 | |
| Total | | 138,000.000 | | \$137,972.99 | | \$124,245.47 | -\$13,727.52 | |
| Total accrued interest: \$160.78 | | | | | | | | |
| Total estimated annual income: \$4,664 | | | | | | | | |



Resource Management Account
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock
Account number: JG 18245 18

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets (continued)

Other

Structured products

There may be little or no secondary market for structured products. Prices are estimated values obtained from third parties or issuers and do not reflect adjustments taken by such third parties or issuers for financial reporting purposes arising from changes in the market value of such transactions. The value at which you

would be able to purchase, sell, enter into, assign or terminate any instrument will be impacted by other factors, such as hedging and transaction costs, credit considerations, bid-ask spreads and market liquidity.

| Holding | Trade date | Quantity | Purchase price per share (\$) | Cost basis (\$) | Price per share on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|-----------------------------------|------------|-------------|-------------------------------|-------------------------|--------------------------------|----------------------|------------------------------|----------------|
| MORGAN STANLEY NTS | | | | | | | | |
| DEX | | | | | | | | |
| RATE 08 000% MATURES 02/23/37 | | | | | | | | |
| ACCURED INTEREST \$844.44 | | | | | | | | |
| EAI \$8,000 Current yield: 8.74% | | | | | | | | |
| Original cost basis: \$100,000.00 | Feb 14, 07 | 100,000 000 | 86 106 | 86,106 06 ¹ | 91 500 | 91,500 00 | 5,393 94 | LT |
| MORGAN STANLEY | | | | | | | | |
| Exchange OTC | | | | | | | | |
| Original cost basis: \$100,000.00 | May 23, 07 | 4,000 000 | 36 434 | 145,736.52 ¹ | 20 500 | 82,000 00 | -63,736 52 | LT |
| MORGAN STANLEY | | | | | | | | |
| 9.4500% | | | | | | | | |
| DUE 09/26/22 | | | | | | | | |
| Exchange OTC | | | | | | | | |
| Original cost basis \$50,000 00 | Jul 24, 07 | 2,000 000 | 20 719 | 41,439 08 ¹ | 15,000 | 30,000 00 | -11,439 08 | LT |
| Total | | | | \$273,281.66 | | \$203,500.00 | -\$69,781.66 | |

Total estimated annual income: \$8,000

Total accrued interest: \$844.44

¹ Indicates cost basis information provided by you or another third party. UBS FS has not verified this information and does not guarantee its accuracy.

Your total assets

| Cash | Value on Dec 31 (\$) | Percentage of your account | Cost basis (\$) | Estimated annual income (\$) | Unrealized gain or loss (\$) |
|-------------------------|---|----------------------------|-----------------|------------------------------|------------------------------|
| Cash and money balances | | | | | |
| 253,904.79 | | | | | |
| 7.33% | | | | | |
| 253,904.79 | | | | | |
| Fixed income | Corporate bonds and notes | | B 2,562,681.50 | 143,583 00 | -96,339 94 |
| | Asset backed securities | | A 96,916.27 | 3,381.00 | -4,723 58 |
| | Closed end funds & Exchange traded products | | B 185,480.00 | 9,319 00 | -8,364 55 |
| | Government securities | | A 124,245.47 | 4,664 00 | -13,727.52 |
| | | | | | |

continued next page



Resource Management Account
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock
Account number: JG 18245 1B

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets, Your total assets (continued)

| | Value on Dec 31 (\$) | Percentage of your account | Cost basis (\$) | Estimated annual income (\$) | Unrealized gain or loss (\$) |
|---------------------------|-----------------------|-------------------------------|-----------------------|---------------------------------|---------------------------------|
| Total accrued interest | B 35,434.69 | | | | |
| Total fixed income | 3,004,757.93 | 86.77% | 3,092,478.83 | 160,947.00 | -123,155.59 |
| Other | | | | | |
| Structured products | 203,500.00 | | B 273,281.66 | 8,000.00 | -69,781.66 |
| Total accrued interest | 844.44 | | | | |
| Total other | B 204,344.44 | 5.90% | 273,281.66 | 8,000.00 | -69,781.66 |
| Total | \$3,463,007.16 | 100.00% | \$3,619,665.28 | \$168,947.00 | -\$192,937.25 |

TOTAL OF A

221,162

239,442

TOTAL OF B

2,987,941

3,126,147

FORM 990PF, PART II - U.S. AND STATE OBLIGATIONS

| <u>DESCRIPTION</u> | <u>BEGINNING BOOK VALUE</u> | <u>ATTACHMENT 7</u> | |
|---------------------------------|---------------------------------|------------------------------|-----------------------|
| | | <u>ENDING BOOK VALUE</u> | <u>ENDING FMV</u> |
| GOVERNMENT SECURITIES (STMT 6A) | 189,711. | 239,442. | 221,162. |
| US OBLIGATIONS TOTAL | <u>189,711.</u> | <u>239,442.</u> | <u>221,162.</u> |



Portfolio Management Program
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock PMP
Account number: JG 19426 18

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

| Holding | Opening balance on Dec 1 (\$) | Closing balance on Dec 31 (\$) | Price per share on Dec 31 (\$) | Average rate | Dividend/Interest period | Days in period | Cap amount (\$) |
|--------------------------|----------------------------------|-----------------------------------|-----------------------------------|-----------------|-----------------------------|-------------------|-----------------|
| UBS BANK USA DEP ACCT | 250,000.00 | 250,000.00 | | | | | 250,000.00 |
| UBS SELECT PRIME CAPITAL | 920,590.25 | 1,253,601.44 | 1.00 | 0.01% | Nov 1 to Nov 30 | 30 | |
| Total | \$1,170,590.25 | \$1,503,601.44 | | | | | |

Equities

Common stock

| Holding | Trade date | Number of shares | Purchase price/ Average price per share (\$) | Cost basis (\$) | Price per share on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|---------------------------------|---------------|---------------------|--|-----------------|-----------------------------------|-------------------------|---------------------------------|-------------------|
| ANADARKO PETROLEUM CORP | | | | | | | | |
| Symbol APC Exchange NYSE | | | | | | | | |
| EAI \$549 Current yield 0.91% | Jul 13, 10 | 763 000 | 48.256 | 36,819.95 | 79.320 | 60,521.16 | 23,701.21 | LT |
| ANALOG DEVICES INC | | | | | | | | |
| Symbol ADI Exchange OTC | | | | | | | | |
| EAI \$2,448 Current yield 2.67% | May 10, 10 | 1,800 000 | 28.966 | 52,140.24 | 50.930 | 91,674.00 | 39,533.76 | LT |
| APPLE INC | | | | | | | | |
| Symbol AAPL Exchange OTC | | | | | | | | |
| EAI \$3,660 Current yield 2.17% | Jul 13, 10 | 113 000 | 248.454 | 28,075.35 | 561.020 | 63,395.26 | 35,319.91 | LT |
| | Dec 12, 12 | 187 000 | 542.403 | 101,429.40 | 561.020 | 104,910.74 | 3,481.34 | LT |
| Security total | | 300 000 | 431.683 | 129,504.75 | | 168,306.00 | 38,801.25 | |

continued next page



Portfolio Management Program
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock PMP
Account number: JG 19426 18

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets • Equities • Common stock (continued)

| Holding | Trade date | Number of shares | Purchase price/ Average price per share (\$) | Cost basis (\$) | Price per share on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|-----------------------------------|------------|------------------|--|-----------------|-----------------------------------|-------------------------|---------------------------------|-------------------|
| AT&T INC | | | | | | | | |
| Symbol T Exchange NYSE | | | | | | | | |
| EAI: \$6,550 Current yield: 5.23% | Oct 21, 09 | 2,000,000 | 26.017 | 52,035.00 | 35 160 | 70,320.00 | 18,285 00 | LT |
| | Dec 29, 09 | 543 000 | 28.338 | 15,388 01 | 35 160 | 19,091 88 | 3,703 87 | LT |
| | Jan 21, 10 | 491 000 | 25.853 | 12,694.04 | 35 160 | 17,263.56 | 4,569 52 | LT |
| | Jul 13, 10 | 526 000 | 24.990 | 13,144 88 | 35 160 | 18,494 16 | 5,349 28 | LT |
| Security total | | 3,560 000 | 26.197 | 93,261 93 | | 125,169 60 | 31,907 67 | |
| CELGENE CORP | | | | | | | | |
| Symbol CELG Exchange OTC | Dec 21, 10 | 1,507 000 | 58.940 | 88,824.03 | 168 968 | 254,634 77 | 165,810 74 | LT |
| CHEVRON CORP | | | | | | | | |
| Symbol CVX Exchange NYSE | | | | | | | | |
| EAI: \$3,560 Current yield: 3.20% | Oct 21, 09 | 505 000 | 77.918 | 39,348 84 | 124.910 | 63,079 55 | 23,730 71 | LT |
| | Dec 29, 09 | 150 000 | 77.408 | 11,611 28 | 124 910 | 18,736 50 | 7,125 22 | LT |
| | Jan 21, 10 | 125 000 | 77 984 | 9,748 00 | 124 910 | 15,613 75 | 5,865 75 | LT |
| | Jul 13, 10 | 110 000 | 72.850 | 8,013 59 | 124 910 | 13,740 10 | 5,726.51 | LT |
| Security total | | 890 000 | 77.215 | 68,721 71 | | 111,169 90 | 42,448.19 | |
| COCA COLA CO COM | | | | | | | | |
| Symbol KO Exchange NYSE | | | | | | | | |
| EAI: \$5,302 Current yield: 2.71% | Sep 5, 07 | 400 000 | 26 835 | 10,734 00 | 41 310 | 16,524 00 | 5,790 00 | LT |
| | Sep 20, 07 | 2,000 000 | 28 133 | 56,266 10 | 41 310 | 82,620.00 | 26,353.90 | LT |
| | Jan 21, 10 | 450 000 | 27 741 | 12,483 51 | 41.310 | 18,589 50 | 6,105 99 | LT |
| | Jul 13, 10 | 360 000 | 26 419 | 9,510 91 | 41 310 | 14,871 60 | 5,360 69 | LT |
| | Feb 24, 11 | 1,524,000 | 32 079 | 48,888 85 | 41 310 | 62,956.44 | 14,067.59 | LT |
| Security total | | 4,734 000 | 29 126 | 137,883 37 | | 195,561 54 | 57,678 17 | |
| COMCAST CORP NEW SPECIAL CL A | | | | | | | | |
| Symbol CMCSK Exchange OTC | | | | | | | | |
| EAI: \$8,227 Current yield: 1.56% | Jun 27, 08 | 559 000 | 18 483 | 10,332 05 | 49 880 | 27,882 92 | 17,550 87 | LT |
| | Aug 1, 11 | 5,989 000 | 23.118 | 138,457 82 | 49 880 | 298,731 32 | 160,273 50 | LT |
| | Aug 3, 11 | 4,000 000 | 22.310 | 89,240 00 | 49 880 | 199,520 00 | 110,280 00 | LT |
| Security total | | 10,548 000 | 22.566 | 238,029 87 | | 526,134 24 | 288,104 37 | |
| CSX CORPORATION | | | | | | | | |
| Symbol CSX Exchange NYSE | | | | | | | | |
| EAI: \$1,694 Current yield: 2.09% | Jan 21, 10 | 420 000 | 15.489 | 6,505 56 | 28 770 | 12,083 40 | 5,577 84 | LT |

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Portfolio Management Program
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock PMP
Account number: JG 19426 1B

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets • Equities • Common stock (continued)

| Holding | Trade date | Number of shares | Purchase price/ Average price per share (\$) | Cost basis (\$) | Price per share on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|---------------------------------|------------|------------------|--|-----------------|-----------------------------------|-------------------------|---------------------------------|-------------------|
| Security total | Jul 13, 10 | 2,403 000 | 17 522 | 42,107 37 | 28 770 | 69,134 31 | 27,026 94 | LT |
| Security total | | 2,823 000 | 17 220 | 48,612 93 | | 81,217 71 | 32,604 78 | |
| EMC CORP MASS | | | | | | | | |
| Symbol EMC Exchange NYSE | Jul 13, 10 | 2,356 000 | 19 840 | 46,744 48 | 25 150 | 59,253 40 | 12,508 92 | LT |
| EAI \$942 Current yield 1 59% | | | | | | | | |
| EXPRESS SCRIPTS HLDG CO | | | | | | | | |
| Symbol ESRX Exchange OTC | Nov 26, 12 | 3,032 000 | 51 910 | 157,391 12 | 70 240 | 212,967 68 | 55,576 56 | LT |
| | Nov 26, 12 | 1,068 000 | 51 338 | 54,829 08 | 70 240 | 75,016 32 | 20,187 24 | LT |
| | Dec 7, 12 | 1,350 000 | 53 983 | 72,877 05 | 70 240 | 94,824 00 | 21,946 95 | LT |
| | Jan 23, 13 | 932 000 | 53 894 | 50,229 29 | 70 240 | 65,463 68 | 15,234 39 | ST |
| | Feb 11, 13 | 2,097 000 | 55 043 | 115,426 78 | 70 240 | 147,293 28 | 31,866 50 | ST |
| | Oct 25, 13 | 2,400 000 | 61 330 | 147,193 68 | 70 240 | 168,576 00 | 21,382 32 | ST |
| Security total | | 10,879 000 | 54 963 | 597,947 00 | | 764,140 96 | 166,193 96 | |
| EXXON MOBIL CORP | | | | | | | | |
| Symbol XOM Exchange NYSE | Oct 1, 07 | 762 000 | 92 500 | 70,485 00 | 101 200 | 77,114 40 | 6,629 40 | LT |
| EAI \$3,243 Current yield 2 49% | Jan 21, 10 | 181 000 | 67 778 | 12,267 82 | 101 200 | 18,317 20 | 6,049 38 | LT |
| | Jul 13, 10 | 344 000 | 59 309 | 20,402 38 | 101 200 | 34,812 80 | 14,410 42 | LT |
| Security total | | 1,287 000 | 80 152 | 103,155 20 | | 130,244 40 | 27,089 20 | |
| FISERV INC | | | | | | | | |
| Symbol FISV Exchange OTC | Apr 7, 11 | 2,514 000 | 31 178 | 78,382 18 | 59 050 | 148,451 70 | 70,069 52 | LT |
| HALLIBURTON CO | | | | | | | | |
| (HOLDING COMPANY) | | | | | | | | |
| Symbol HAL Exchange NYSE | Mar 25, 13 | 6,164 000 | 39 798 | 245,317 82 | 50 750 | 312,823 00 | 67,505 18 | ST |
| EAI \$8,146 Current yield 1 18% | Apr 5, 13 | 3,099 000 | 38 479 | 119,248 91 | 50 750 | 157,274 25 | 38,025 34 | ST |
| | Apr 15, 13 | 3,094 000 | 39 235 | 121,395 06 | 50 750 | 157,020 50 | 35,625 44 | ST |
| | Jun 21, 13 | 1,219 000 | 41 975 | 51,167 65 | 50 750 | 61,864 25 | 10,696 60 | ST |
| Security total | | 13,576 000 | 39 565 | 537,129 44 | | 688,982 00 | 151,852 56 | |
| INTEL CORP | | | | | | | | |
| Symbol INTC Exchange OTC | Nov 29, 11 | 3,712 000 | 23 630 | 87,714 56 | 25 955 | 96,344 96 | 8,630 40 | LT |
| EAI \$3,341 Current yield 3 47% | | | | | | | | |

continued next page



Portfolio Management Program
December 2013

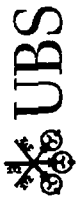
Account name: JANET BENTON TTEE
Friendly account name: Frog Rock PMP
Account number: JG 19426 18

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

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

| Holding | Trade date | Number of shares | Purchase price/ Average price per share (\$) | Cost basis (\$) | Price per share on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|-----------------------------------|------------|------------------|--|-----------------|-----------------------------------|-------------------------|---------------------------------|-------------------|
| INTERCONTINENTAL EXCHANGE GROUP | | | | | | | | |
| COM | | | | | | | | |
| Symbol: ICE Exchange, NYSE | | | | | | | | |
| EAI: \$1,154 Current yield: 1.16% | Jul 13, 10 | 444,000 | 107.638 | 47,791.69 | 224.920 | 99,864.48 | 52,072.79 | LT |
| INTL BUSINESS MACH | | | | | | | | |
| Symbol: IBM Exchange, NYSE | | | | | | | | |
| EAI: \$2,291 Current yield: 2.03% | Oct 21, 09 | 340,000 | 122.972 | 41,810.65 | 187.570 | 63,773.80 | 21,963.15 | LT |
| | Dec 29, 09 | 94,000 | 132.107 | 12,418.06 | 187.570 | 17,631.58 | 5,213.52 | LT |
| | Jan 21, 10 | 85,000 | 129.979 | 11,048.29 | 187.570 | 15,943.45 | 4,895.16 | LT |
| | Jul 13, 10 | 84,000 | 129.434 | 10,872.51 | 187.570 | 15,755.88 | 4,883.37 | LT |
| Security total | | 603,000 | 126.284 | 76,149.51 | | 113,104.71 | 36,955.20 | |
| JOHNSON & JOHNSON COM | | | | | | | | |
| Symbol: JNJ Exchange, NYSE | | | | | | | | |
| EAI: \$2,751 Current yield: 2.88% | Oct 21, 09 | 590,000 | 60.759 | 35,848.15 | 91.590 | 54,038.10 | 18,189.95 | LT |
| | Dec 29, 09 | 163,000 | 65.057 | 10,604.37 | 91.590 | 14,929.17 | 4,324.80 | LT |
| | Jan 21, 10 | 143,000 | 64.878 | 9,277.66 | 91.590 | 13,097.37 | 3,819.71 | LT |
| | Jul 13, 10 | 146,000 | 60.789 | 8,875.32 | 91.590 | 13,372.14 | 4,496.82 | LT |
| Security total | | 1,042,000 | 62.001 | 64,605.50 | | 95,436.78 | 30,831.28 | |
| JPMORGAN CHASE & CO | | | | | | | | |
| Symbol: JPM Exchange, NYSE | | | | | | | | |
| EAI: \$2,183 Current yield: 2.60% | Oct 21, 09 | 840,000 | 46.109 | 38,731.73 | 58.480 | 49,123.20 | 10,391.47 | LT |
| | Dec 29, 09 | 274,000 | 41.687 | 11,422.24 | 58.480 | 16,023.52 | 4,601.28 | LT |
| | Jan 21, 10 | 211,000 | 42.093 | 8,881.78 | 58.480 | 12,339.28 | 3,457.50 | LT |
| | Jul 13, 10 | 111,000 | 40.065 | 4,447.26 | 58.480 | 6,491.28 | 2,044.02 | LT |
| Security total | | 1,436,000 | 44.208 | 63,483.01 | | 83,977.28 | 20,494.27 | |
| KINDER MORGAN MGMT LLC | | | | | | | | |
| Symbol: KMR Exchange, NYSE | | | | | | | | |
| | Dec 16, 13 | 1,000,000 | 73.550 | 73,550.00 | 75.660 | 75,660.00 | 2,110.00 | ST |
| MCDONALDS CORP | | | | | | | | |
| Symbol: MCD Exchange, NYSE | | | | | | | | |
| EAI: \$3,263 Current yield: 3.34% | Oct 21, 09 | 585,000 | 58.747 | 34,367.29 | 97.030 | 56,762.55 | 22,395.26 | LT |
| | Dec 29, 09 | 159,000 | 63.758 | 10,137.60 | 97.030 | 15,427.77 | 5,290.17 | LT |
| | Jan 21, 10 | 139,000 | 63.317 | 8,801.09 | 97.030 | 13,487.17 | 4,686.08 | LT |
| | Jul 13, 10 | 124,000 | 70.659 | 8,761.75 | 97.030 | 12,031.72 | 3,269.97 | LT |

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Portfolio Management Program
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock PMP
Account number: JG 19426 18

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets • Equities • Common stock (continued)

| Holding | Trade date | Number of shares | Purchase price/Average price per share (\$) | Cost basis (\$) | Price per share on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|----------------------------------|------------|------------------|---|-----------------|--------------------------------|----------------------|------------------------------|----------------|
| Security total | | 1,007,000 | 61.636 | 62,067.73 | | 97,709.21 | 35,641.48 | |
| MEDTRONIC INC | | | | | | | | |
| Symbol: MDT Exchange: NYSE | | | | | | | | |
| EAI \$1,966 Current yield 1.95% | Apr 15, 11 | 1,755,000 | 40.936 | 71,844.26 | 57.390 | 100,719.45 | 28,875.19 | LT |
| METLIFE INC | | | | | | | | |
| Symbol: MET Exchange: NYSE | | | | | | | | |
| EAI \$1,865 Current yield 2.04% | Dec 10, 10 | 1,695,000 | 43.810 | 74,257.95 | 53.920 | 91,394.40 | 17,136.45 | LT |
| MICROSOFT CORP | | | | | | | | |
| Symbol: MSFT Exchange: OTC | | | | | | | | |
| EAI \$13,928 Current yield 2.99% | Oct 21, 09 | 780,000 | 26.568 | 20,723.04 | 37.410 | 29,179.80 | 8,456.76 | LT |
| | Dec 29, 09 | 533,000 | 31.389 | 16,730.82 | 37.410 | 19,939.53 | 3,208.71 | LT |
| | Jan 21, 10 | 523,000 | 30.667 | 16,039.23 | 37.410 | 19,565.43 | 3,526.20 | LT |
| | Oct 21, 13 | 5,000,000 | 35.000 | 175,000.00 | 37.410 | 187,050.00 | 12,050.00 | ST |
| | Nov 5, 13 | 5,600,000 | 36.459 | 204,175.03 | 37.410 | 209,496.00 | 5,320.97 | ST |
| Security total | | 12,436,000 | 34.792 | 432,668.12 | | 465,230.76 | 32,562.64 | |
| NEXTERA ENERGY INC COM | | | | | | | | |
| Symbol: NEE Exchange: NYSE | | | | | | | | |
| EAI \$3,477 Current yield 3.08% | Jul 13, 10 | 1,317,000 | 52.235 | 68,793.72 | 85.620 | 112,761.54 | 43,967.82 | LT |
| NOVARTIS AG SPON ADR | | | | | | | | |
| Symbol: NVS Exchange: NYSE | | | | | | | | |
| EAI \$1,627 Current yield 2.56% | Oct 21, 09 | 435,000 | 52.128 | 22,675.94 | 80.380 | 34,965.30 | 12,289.36 | LT |
| | Dec 29, 09 | 249,000 | 54.866 | 13,661.88 | 80.380 | 20,014.62 | 6,352.74 | LT |
| | Jan 21, 10 | 107,000 | 54.162 | 5,795.36 | 80.380 | 8,600.66 | 2,805.30 | LT |
| Security total | | 791,000 | 53.266 | 42,133.18 | | 63,580.58 | 21,447.40 | |
| OCCIDENTAL PETROLEUM CRP | | | | | | | | |
| Symbol: OXY Exchange: NYSE | | | | | | | | |
| EAI \$1,495 Current yield 2.69% | Oct 21, 09 | 330,000 | 83.513 | 27,559.42 | 95.100 | 31,383.00 | 3,823.58 | LT |
| | Dec 29, 09 | 98,000 | 82.280 | 8,063.44 | 95.100 | 9,319.80 | 1,256.36 | LT |
| | Jan 21, 10 | 82,000 | 77.980 | 6,394.36 | 95.100 | 7,798.20 | 1,403.84 | LT |
| | Jul 13, 10 | 74,000 | 81.908 | 6,061.25 | 95.100 | 7,037.40 | 976.15 | LT |
| Security total | | 584,000 | 82.326 | 48,078.47 | | 55,538.40 | 7,459.93 | |

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Portfolio Management Program
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock PMP
Account number: JG 19426 18

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets • Equities • Common stock (continued)

| Holding | Trade date | Number of shares | Purchase price/ Average price per share (\$) | Cost basis (\$) | Price per share on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|-------------------------------------|------------|------------------|--|-----------------|-----------------------------------|-------------------------|---------------------------------|-------------------|
| ORACLE CORP | | | | | | | | |
| Symbol: ORCL Exchange NYSE | | | | | | | | |
| EAI: \$11,505 Current yield: 1.25% | | | | | | | | |
| | Jan 3, 12 | 4,028 000 | 26.400 | 106,339 20 | 38 260 | 154,111.28 | 47,772.08 | LT |
| | Mar 9, 12 | 4,701 000 | 30.220 | 142,064 22 | 38 260 | 179,860 26 | 37,796 04 | LT |
| | May 7, 12 | 4,345 000 | 28 255 | 122,767 98 | 38 260 | 166,239 70 | 43,471.72 | LT |
| | Mar 21, 13 | 3,894 000 | 32 790 | 127,684 26 | 38 260 | 148,984 44 | 21,300 18 | ST |
| | Jun 21, 13 | 1,700 000 | 30.295 | 51,501 67 | 38 260 | 65,042 00 | 13,540.33 | ST |
| | Aug 15, 13 | 2,000 000 | 32.836 | 65,673 00 | 38 260 | 76,520 00 | 10,847.00 | ST |
| | Sep 11, 13 | 3,300 000 | 32 905 | 108,587 82 | 38 260 | 126,258 00 | 17,670.18 | ST |
| Security total | | 23,968,000 | 30.233 | 724,618 15 | | 917,015 68 | 192,397 53 | |
| PEPSICO INC | | | | | | | | |
| Symbol: PEP Exchange NYSE | | | | | | | | |
| EAI: \$3,307 Current yield: 2.74% | | | | | | | | |
| | Jun 13, 07 | 281 000 | 65.796 | 18,488 85 | 82 940 | 23,306 14 | 4,817 29 | LT |
| | Jun 20, 07 | 149 000 | 65.987 | 9,832.21 | 82.940 | 12,358 06 | 2,525 85 | LT |
| | Oct 1, 07 | 400 000 | 73.540 | 29,416 00 | 82 940 | 33,176 00 | 3,760.00 | LT |
| | Jan 21, 10 | 201 000 | 62 083 | 12,478 77 | 82 940 | 16,670 94 | 4,192 17 | LT |
| | Jul 13, 10 | 426,000 | 63.998 | 27,263.57 | 82 940 | 35,332 44 | 8,068 87 | LT |
| Security total | | 1,457 000 | 66 904 | 97,479 40 | | 120,843 58 | 23,364.18 | |
| PNC FINANCIAL SERVICES GROUP | | | | | | | | |
| Symbol: PNC Exchange: NYSE | | | | | | | | |
| EAI: \$1,769 Current yield: 2.27% | | | | | | | | |
| | Apr 14, 11 | 1,005 000 | 61.906 | 62,216 43 | 77.580 | 77,967.90 | 15,751.47 | LT |
| PRIMERICA INC | | | | | | | | |
| Symbol: PRI Exchange: NYSE | | | | | | | | |
| EAI: \$3,300 Current yield: 1.03% | | | | | | | | |
| | Nov 14, 11 | 1,000 000 | 22 986 | 22,986 50 | 42.910 | 42,910 00 | 19,923.50 | LT |
| | Oct 25, 12 | 3,000 000 | 28.053 | 84,161 52 | 42 910 | 128,730 00 | 44,568.48 | LT |
| | Nov 5, 12 | 1,125 000 | 28.339 | 31,882.39 | 42 910 | 48,273 75 | 16,391 36 | LT |
| | Nov 5, 12 | 900 000 | 28.395 | 25,555 80 | 42 910 | 38,619 00 | 13,063 20 | LT |
| | Nov 5, 12 | 600 000 | 28 243 | 16,945 80 | 42 910 | 25,746 00 | 8,800 20 | LT |
| | Nov 5, 12 | 530 000 | 28.156 | 14,923 14 | 42 910 | 22,742 30 | 7,819 16 | LT |
| | Nov 5, 12 | 241 000 | 28 395 | 6,843 36 | 42 910 | 10,341.31 | 3,497 95 | LT |
| | Nov 5, 12 | 59 000 | 28.287 | 1,668 96 | 42 910 | 2,531 69 | 862 73 | LT |
| | Nov 5, 12 | 45,000 | 28.316 | 1,274 24 | 42 910 | 1,930 95 | 656 71 | LT |
| Security total | | 7,500,000 | 27.499 | 206,241 71 | | 321,825.00 | 115,583.29 | |
| | | | | | | | continued next page | |



Portfolio Management Program
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock PMP
Account number: JG 19426 1B

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets • Equities • Common stock (continued)

| Holding | Trade date | Number of shares | Purchase price/ Average price per share (\$) | Cost basis (\$) | Price per share on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|--|------------|------------------|--|-----------------|-----------------------------------|-------------------------|---------------------------------|-------------------|
| SCHLUMBERGER LTD NETHERLANDS ANTILLES | | | | | | | | |
| Symbol SLB Exchange NYSE | | | | | | | | |
| EAI \$1,103 Current yield: 1.39% | Mar 11, 10 | 802 000 | 63.548 | 50,965.66 | 90.110 | 72,268.22 | 21,302.56 | LT |
| | Jul 13, 10 | 80 000 | 58.950 | 4,716.00 | 90.110 | 7,208.80 | 2,492.80 | LT |
| Security total | | 882 000 | 63.131 | 55,681.66 | | 79,477.02 | 23,795.36 | |
| SCHWAB CHARLES CORP NEW | | | | | | | | |
| Symbol SCHW Exchange NYSE | | | | | | | | |
| EAI \$6,949 Current yield: 0.92% | Sep 17, 12 | 5,757 000 | 14.170 | 81,578.23 | 26.000 | 149,682.00 | 68,103.77 | LT |
| | Sep 17, 12 | 5,748 000 | 14.190 | 81,564.12 | 26.000 | 149,448.00 | 67,883.88 | LT |
| | Sep 20, 12 | 1,200 000 | 13.496 | 16,196.28 | 26.000 | 31,200.00 | 15,003.72 | LT |
| | Oct 4, 12 | 8,235 000 | 12.999 | 107,054.85 | 26.000 | 214,110.00 | 107,055.15 | LT |
| | Oct 12, 12 | 8,015 000 | 12.966 | 103,925.28 | 26.000 | 208,390.00 | 104,464.72 | LT |
| Security total | | 28,955 000 | 13.480 | 390,318.76 | | 752,830.00 | 362,511.24 | |
| TEVA PHARMACEUTICALS IND LTD | | | | | | | | |
| ISRAEL ADR | | | | | | | | |
| Symbol: TEVA Exchange OTC | | | | | | | | |
| EAI \$1,117 Current yield: 2.71% | Oct 21, 09 | 75 000 | 51.595 | 3,869.63 | 40.080 | 3,006.00 | -863.63 | LT |
| | Dec 29, 09 | 321 000 | 55.668 | 17,869.59 | 40.080 | 12,865.68 | -5,003.91 | LT |
| | Jan 21, 10 | 292 000 | 58.390 | 17,050.10 | 40.080 | 11,703.36 | -5,346.74 | LT |
| | Jul 13, 10 | 341 000 | 54.278 | 18,508.92 | 40.080 | 13,667.28 | -4,841.64 | LT |
| Security total | | 1,029 000 | 55.683 | 57,298.24 | | 41,242.32 | -16,055.92 | |
| THERMO FISHER SCIENTIFIC INC | | | | | | | | |
| Symbol: TMO Exchange NYSE | | | | | | | | |
| EAI \$802 Current yield: 0.54% | Oct 21, 09 | 745 000 | 47.714 | 35,547.38 | 111.350 | 82,955.75 | 47,408.37 | LT |
| | Dec 29, 09 | 217 000 | 48.537 | 10,532.64 | 111.350 | 24,162.95 | 13,630.31 | LT |
| | Jan 21, 10 | 177 000 | 48.930 | 8,660.74 | 111.350 | 19,708.95 | 11,048.21 | LT |
| | Jul 13, 10 | 197 000 | 49.111 | 9,674.93 | 111.350 | 21,935.95 | 12,261.02 | LT |
| Security total | | 1,336 000 | 48.215 | 64,415.69 | | 148,763.60 | 84,347.91 | |
| TIX COS INC NEW | | | | | | | | |
| Symbol TIX Exchange NYSE | | | | | | | | |
| EAI \$1,745 Current yield: 0.91% | Nov 29, 11 | 3,008 000 | 30.223 | 90,910.93 | 63.730 | 191,699.84 | 100,788.91 | LT |

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Portfolio Management Program
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock PMP
Account number: JG 19426 18

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

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

| Holding | Trade date | Number of shares | Purchase price/ Average price per share (\$) | Cost basis (\$) | Price per share on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|---------------------------------------|------------|------------------|--|-----------------|-----------------------------------|-------------------------|---------------------------------|-------------------|
| TRAVELERS COS INC/THE | | | | | | | | |
| Symbol: TRV Exchange NYSE | | | | | | | | |
| EAI \$2,552 Current yield: 2.21% | Oct 21, 09 | 725 000 | 48.704 | 35,310.84 | 90.540 | 65,641.50 | 30,330.66 | LT |
| | Dec 29, 09 | 209,000 | 49.947 | 10,439.03 | 90.540 | 18,922.86 | 8,483.83 | LT |
| | Jan 21, 10 | 175 000 | 48.908 | 8,558.90 | 90.540 | 15,844.50 | 7,285.60 | LT |
| | Jul 13, 10 | 167 000 | 51.472 | 8,595.92 | 90.540 | 15,120.18 | 6,524.26 | LT |
| Security total | | 1,276 000 | 49.298 | 62,904.69 | | 115,529.04 | 52,624.35 | |
| UNITD TECHNOLOGIES CORP | | | | | | | | |
| Symbol: UTX Exchange NYSE | | | | | | | | |
| EAI \$3,793 Current yield 2.07% | Oct 1, 07 | 600 000 | 80.740 | 48,444.00 | 113.800 | 68,280.00 | 19,836.00 | LT |
| | Jan 21, 10 | 222 000 | 71.440 | 15,859.85 | 113.800 | 25,263.60 | 9,403.75 | LT |
| | Jul 13, 10 | 785 000 | 67.774 | 53,202.59 | 113.800 | 89,333.00 | 36,130.41 | LT |
| Security total | | 1,607 000 | 73.122 | 117,506.44 | | 182,876.60 | 65,370.16 | |
| VALEANT PHARMACEUTICALS INTL I | | | | | | | | |
| CAD | | | | | | | | |
| Symbol: VRX Exchange NYSE | | | | | | | | |
| CAD Exchange rate: 1.06250 | Jun 7, 11 | 1,627 000 | 53.390 | 86,865.53 | 117.400 | 191,009.80 | 104,144.27 | LT |
| | Jun 8, 11 | 2,000 000 | 52.735 | 105,470.00 | 117.400 | 234,800.00 | 129,330.00 | LT |
| | Jun 21, 11 | 2,000 000 | 51.437 | 102,875.50 | 117.400 | 234,800.00 | 131,924.50 | LT |
| | May 7, 12 | 771 000 | 52.429 | 40,423.45 | 117.400 | 90,515.40 | 50,091.95 | LT |
| | May 24, 12 | 2,166 000 | 47.899 | 103,749.65 | 117.400 | 254,288.40 | 150,538.75 | LT |
| | May 24, 12 | 390 000 | 47.698 | 18,602.56 | 117.400 | 45,786.00 | 27,183.44 | LT |
| | Oct 4, 12 | 1,988,000 | 56.800 | 112,918.40 | 117.400 | 233,391.20 | 120,472.80 | LT |
| | Nov 27, 12 | 1,500 000 | 55.236 | 82,854.00 | 117.400 | 176,100.00 | 93,246.00 | LT |
| Security total | | 12,442 000 | 52.545 | 653,759.09 | | 1,460,690.80 | 806,931.71 | |
| VISTAPRINT N V EUR | | | | | | | | |
| Symbol: VPRT Exchange OTC | | | | | | | | |
| EUR Exchange rate: 0.72571 | Oct 4, 12 | 816 000 | 35.500 | 28,968.00 | 56.850 | 46,389.60 | 17,421.60 | LT |
| | Oct 26, 12 | 4,274 000 | 31.309 | 133,814.96 | 56.850 | 242,976.90 | 109,161.94 | LT |
| Security total | | 5,090 000 | 31.981 | 162,782.96 | | 289,366.50 | 126,583.54 | |

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Portfolio Management Program
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock PMP
Account number: JG 19426 1B

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

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

| Holding | Trade date | Number of shares | Purchase price/ Average price per share (\$) | Cost basis (\$) | Price per share on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized gain or loss (\$) | Holding period |
|---------------------------------|------------|------------------|--|-------------------------|--------------------------------|--------------------------|------------------------------|----------------|
| WALT DISNEY CO (HOLDING CO) | | | | | | | | |
| DISNEY COM | | | | | | | | |
| Symbol DIS Exchange NYSE | | | | | | | | |
| EAI \$2,224 Current yield 1.13% | Oct 21, 09 | 1,465 000 | 29 767 | 43,609 39 | 76 400 | 111,926 00 | 68,316 61 | LT |
| | Dec 29, 09 | 397 000 | 32 377 | 12,853 67 | 76 400 | 30,330 80 | 17,477 13 | LT |
| | Jan 21, 10 | 351 000 | 31 292 | 10,983 67 | 76 400 | 26,816 40 | 15,832 73 | LT |
| | Jul 13, 10 | 373 000 | 34 272 | 12,783 54 | 76 400 | 28,497 20 | 15,713 66 | LT |
| Security total | | 2,586 000 | 31 025 | 80,230 27 | | 197,570 40 | 117,340 13 | |
| YUM! BRANDS INC | | | | | | | | |
| Symbol YUM Exchange NYSE | | | | | | | | |
| EAI \$2,073 Current yield 1.96% | Oct 21, 09 | 815 000 | 35 107 | 28,612 61 | 75 610 | 61,622 15 | 33,009 54 | LT |
| | Dec 29, 09 | 240 000 | 35 357 | 8,485 80 | 75 610 | 18,146 40 | 9,660 60 | LT |
| | Jan 21, 10 | 200 000 | 35 211 | 7,042 25 | 75 610 | 15,122 00 | 8,079 75 | LT |
| | Jul 13, 10 | 146 000 | 41 330 | 6,034 25 | 75 610 | 11,039 06 | 5,004 81 | LT |
| Security total | | 1,401 000 | 35 814 | 50,174 91 | | 105,929 61 | 55,754 70 | |
| 3M CO | | | | | | | | |
| Symbol MMM Exchange NYSE | | | | | | | | |
| EAI \$3,280 Current yield 2.44% | Jul 13, 10 | 959 000 | 83 976 | 80,533 85 | 140 250 | 134,499 75 | 53,965 90 | LT |
| Total | | | | A \$6,427,367.96 | | A \$10,094,911.57 | \$3,667,543.61 | |

Total estimated annual income: \$129,181

Closed end funds & Exchange traded products

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

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

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

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

| Holding | Number of shares | Purchase price/ Average price per share (\$) | Client investment (\$) | Cost basis (\$) | Price per share on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized (tax) gain or loss (\$) | Investment return (\$) | Holding period |
|--------------------------------|------------------|--|------------------------|-----------------|--------------------------------|----------------------|------------------------------------|------------------------|----------------|
| ISHARES TRUST CORE S&P 500 ETF | | | | | | | | | |
| Symbol: IWV | | | | | | | | | |
| Trade date Feb 10, 12 | 854 C00 | 134 750 | 115,076 50 | 115,076 50 | 185 650 | 158,545 10 | 43,468 60 | | LT |

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Portfolio Management Program
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock PMP
Account number: JG 19426 18

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

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

| Holding | Number of shares | Purchase price/ Average price per share (\$) | Client investment (\$) | Cost basis (\$) | Price per share on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized (tax) gain or loss (\$) | Investment return (\$) | Holding period |
|--|------------------|--|------------------------|-----------------------|--------------------------------|-----------------------|------------------------------------|------------------------|----------------|
| Trade date: Mar 6, 12 | 2,000 C00 | 135.239 | 270,479.80 | 270,479.80 | 185.650 | 371,300.00 | 100,820.20 | | LT |
| Trade date: May 14, 12 | 2,000 C00 | 134.770 | 269,541.82 | 269,541.82 | 185.650 | 371,300.00 | 101,758.18 | | LT |
| Trade date: Jun 26, 13 | 4,000 C00 | 160.750 | 643,000.00 | 643,000.00 | 185.650 | 742,600.00 | 99,600.00 | | ST |
| EAI \$29,617 Current yield 1.80% | | | | | | | | | |
| Security total | 8,854 C00 | 146.611 | 1,298,098.12 | 1,298,098.12 | | 1,643,745.10 | 345,646.98 | 345,646.98 | |
| ISHARES RUSSELL MID-CAP VALUE | | | | | | | | | |
| ETF | | | | | | | | | |
| Symbol IWS | | | | | | | | | |
| Trade date: Apr 19, 12 | 4,375 C00 | 46.860 | 205,012.79 | 205,012.79 | 65.710 | 287,481.25 | 82,468.46 | 82,468.46 | LT |
| EAI \$4,913 Current yield 1.71% | | | | | | | | | |
| Total | | | \$1,503,110.91 | \$1,503,110.91 | | \$1,931,226.35 | \$428,115.44 | \$428,115.44 | |
| Total estimated annual income: \$34,530 | | | | | | | | | |

Mutual funds

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

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

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

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

| Holding | Number of shares | Purchase price/ Average price per share (\$) | Client investment (\$) | Cost basis (\$) | Price per share on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized (tax) gain or loss (\$) | Investment return (\$) | Holding period |
|---------------------------------|------------------|--|------------------------|-----------------|--------------------------------|----------------------|------------------------------------|------------------------|----------------|
| AMERICAN INDEPENDENCE | | | | | | | | | |
| STOCK FUND - CLASS A | | | | | | | | | |
| Symbol IFCSX | | | | | | | | | |
| Trade date: Mar 12, 12 | 5,179 558 | 14.480 | 75,000.00 | 75,000.00 | 14.050 | 72,772.79 | -2,227.21 | | LT |
| Trade date: Feb 14, 13 | 14,461 316 | 13.829 | 200,000.00 | 200,000.00 | 14.050 | 203,181.49 | 3,181.49 | | ST |
| Total reinvested | 4,934 326 | 13.374 | 65,995.53 | 65,995.53 | 14.050 | 69,327.28 | 3,331.75 | | |
| EAI \$1,917 Current yield 0.56% | | | | | | | | | |
| Security total | 24,575 200 | 13.876 | 275,000.00 | 340,995.53 | | 345,281.56 | 4,286.03 | 70,281.56 | |
| MFS INTERNATIONAL | | | | | | | | | |
| DIVERSIFICATION FUND | | | | | | | | | |
| CLASS A | | | | | | | | | |

continued next page



Portfolio Management Program
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock PMP
Account number: JG 19426 18

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets • Equities • Mutual funds (continued)

| Holding | Symbol | MDIDX | Number of shares | Purchase price/ Average price per share (\$) | Client investment (\$) | Cost basis (\$) | Price per share on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized (tax) gain or loss (\$) | Investment return (\$) | Holding period |
|---------|--|---------------------|------------------|---|------------------------|-----------------------|--------------------------------|-----------------------|------------------------------------|------------------------|----------------|
| | Trade date | Nov 30, 12 | 11,476 | 206 | 13 910 | 159,634 03 | 16 460 | 188,898.35 | 29,264 32 | | LT |
| | Total reinvested | | 218 | 194 | 15 187 | 3,313 86 | 16 460 | 3,591 47 | 277 61 | | |
| | EAI \$1,684 | Current yield 0 87% | | | | | | | | | |
| | Security total | | 11,694 | 400 | 13 934 | 159,634 03 | 162,947 89 | 192,489.82 | 29,541 93 | 32,855 79 | |
| | Total | | | | | A \$434,634.03 | A \$503,943.42 | A \$537,771.38 | \$33,827.96 | \$103,137.35 | |
| | Total estimated annual income: \$3,601 | | | | | | | | | | |

Other

Mutual funds

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

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

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

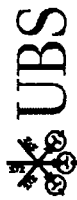
Investment return is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividends that were not reinvested.

| Holding | Number of shares | Purchase price/ Average price per share (\$) | Client investment (\$) | Cost basis (\$) | Price per share on Dec 31 (\$) | Value on Dec 31 (\$) | Unrealized (tax) gain or loss (\$) | Investment return (\$) | Holding period |
|-------------------------|------------------|--|---------------------------|--------------------|-----------------------------------|-------------------------|---------------------------------------|---------------------------|-------------------|
| FIRST EAGLE GLOBAL FUND | | | | | | | | | |
| CLASS A | | | | | | | | | |
| Symbol | SGENX | | | | | | | | LT |
| Trade date | Mar 30, 11 | 47 950 | 250,000 00 | 250,000 00 | 53 610 | 279,509.89 | 29,509 89 | | |
| Trade date | Feb 14, 13 | 49 919 | 250,000 00 | 250,000 00 | 53 610 | 268,479 58 | 18,479 58 | | ST |
| Total reinvested | 865 257 | 49 722 | | 43,022 44 | 53 610 | 46,386.43 | 3,363 99 | | |
| Security total | 11,087 C34 | 48 978 | 500,000 00 | A 543,022 44 | | A 594,375.89 | 51,353 46 | 94,375 90 | |

TOTAL OF A - COMMON STOCK

8,977,444

13,158,285



Portfolio Management Program
December 2013

Account name: JANET BENTON TTEE
Friendly account name: Frog Rock PMP
Account number: JG 19426 18

Your Financial Advisor:
JAMES P. BUSTERUD
212-713-7800/800-225-2971

Your assets (continued)

Your total assets

| Cash | Value on Dec 31 (\$) | Percentage of your account | Cost basis (\$) | Estimated annual income (\$) | Unrealized gain or loss (\$) |
|---|------------------------|----------------------------|------------------------|------------------------------|------------------------------|
| Cash and money balances | 1,503,601.44 | 10.26% | 1,503,601.44 | | |
| Common stock | 10,094,911.57 | | 6,427,367.96 | 129,181.00 | 3,667,543.61 |
| Closed end funds & Exchange Traded products | 1,931,226.35 | | 1,503,110.91 | 34,530.00 | 428,115.44 |
| Mutual funds | 537,771.38 | | 503,943.42 | 3,601.00 | 33,827.96 |
| Total equities | 12,563,909.30 | 85.69% | 8,434,422.29 | 167,312.00 | 4,129,487.01 |
| Mutual funds | 594,375.89 | 4.05% | 543,022.44 | | 51,353.46 |
| Total | \$14,661,886.63 | 100.00% | \$10,481,046.17 | \$167,312.00 | \$4,180,840.47 |

Account activity this month

| Date | Activity | Description | Amount (\$) |
|--------|------------------|--|-------------|
| Dec 2 | Dividend | INTEL CORP PAID ON 3712 AS OF 12/01/13 | 835.20 |
| Dec 3 | Foreign Dividend | TEVA PHARMACEUTICALS LTD ISRAEL ADR PAID ON CUSIP: 881624209 | 335.99 |
| Dec 4 | Dividend | UBS SELECT PRIME CAPITAL FUND AS OF 12/03/13 | 8.03 |
| Dec 5 | Dividend | TIX COS INC NEW PAID ON 3008 | 436.16 |
| Dec 10 | Dividend | CHEVRON CORP PAID ON 890 | 890.00 |
| Dec 10 | Dividend | EXXON MOBIL CORP PAID ON 1287 | 810.81 |
| Dec 10 | Dividend | INTL BUSINESS MACH PAID ON 603 | 572.85 |
| Dec 10 | Dividend | JOHNSON & JOHNSON COM PAID ON 1042 | 687.72 |
| Dec 10 | Dividend | PRIMERICA INC PAID ON 7500 | 825.00 |
| Dec 10 | Dividend | UNITD TECHNOLOGIES CORP PAID ON 1607 | 948.13 |
| Dec 12 | Dividend | MICROSOFT CORP PAID ON 12436 | 3,482.08 |
| Dec 12 | St Cap Gain | UBS SELECT PRIME CAPITAL FUND AS OF 12/11/13 | 14.63 |
| Dec 12 | Dividend | 3M CO PAID ON 959 | 608.97 |
| Dec 13 | Dividend | CSX CORPORATION PAID ON 2823 | 423.45 |
| Dec 13 | Dividend | METLIFE INC PAID ON 1695 | 466.13 |
| Dec 16 | Dividend | COCA COLA CO COM PAID ON 4734 | 1,325.52 |
| Dec 16 | Dividend | MCDONALDS CORP PAID ON 1007 | 815.67 |

continued next page

ATTACHMENT 8FORM 990PF, PART II - CORPORATE STOCK

| <u>DESCRIPTION</u> | <u>BEGINNING BOOK VALUE</u> | <u>ENDING BOOK VALUE</u> | <u>ENDING FMV</u> |
|-----------------------|---------------------------------|------------------------------|-----------------------|
| UBS # 19426 (STMT 7A) | 8,589,868. | 8,977,444. | 13,158,285. |
| TOTALS | <u>8,589,868.</u> | <u>8,977,444.</u> | <u>13,158,285.</u> |

ATTACHMENT 9FORM 990PF, PART II - CORPORATE BONDS

| <u>DESCRIPTION</u> | <u>BEGINNING BOOK VALUE</u> | <u>ENDING BOOK VALUE</u> | <u>ENDING FMV</u> |
|-----------------------------|---------------------------------|------------------------------|-----------------------|
| CORPORATE BONDS - UBS#18245 | 3,111,482. | 3,126,147. | 2,987,941. |
| (STMT 6A) | | | |
| TOTALS | <u>3,111,482.</u> | <u>3,126,147.</u> | <u>2,987,941.</u> |

THE FROG ROCK FOUNDATION

13-4127228

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 10

| NAME AND ADDRESS | TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION | COMPENSATION | CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS | EXPENSE ACCT AND OTHER ALLOWANCES |
|---|---|--------------|---|---|
| JANET INSKEEP BENTON 30 FROG ROCK ROAD ARMONK, NY 10504 | PRESIDENT | 0 | 0 | 0 |
| ELISABETH C. NAMAN 87 DEVOE ROAD CHAPPAQUA, NY 10514 | TRUSTEE | 0 | 0 | 0 |
| MARGERY ORELL 5 LUDLOW DRIVE CHAPPAQUA, NY 10514 | TRUSTEE | 18,000. | 0 | 0 |
| GRAND TOTALS | | 18,000. | 0 | 0 |

FORM 990PF, PART XV - NAME, ADDRESS AND PHONE FOR APPLICATIONS

THE FROG ROCK FOUNDATION

P.O. BOX 865

CHAPPAQUA, NY 10514

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- [What We Fund](#)
- [Recent Grants](#)
- [The Grant Process](#)
- [Apply For A Grant](#)



What We Fund

History

Since its inception, Frog Rock has supported organizations in Westchester County serving low-income children. Initially, our grantmaking was broad in focus, providing funding in areas ranging from medical and mental health services to educational remediation and recreation programs. This open-ended grantmaking strategy enabled us to learn about the needs of the children we wish to help, and introduced us to many wonderful service providers in the county.

Our philanthropy has been greatly influenced by the work of Dr. Jack Shonkoff at the Center on the Developing Child at Harvard University. Dr. Shonkoff is a leader in the work identifying the impact of early childhood experiences on the development of a child's brain architecture. Experiences of positive relationships with adults, rich learning opportunities, and safe environments all work to promote healthy brain development and build a foundation for all future learning, behavior and health.

Dr. Robert Anda, Co-Investigator of the Adverse Childhood Experiences (ACE) Study takes this work further. Utilizing data collected from over 17,000 Kaiser Permanente members, the study shows that the incidence of trauma and stress experienced during childhood correlates strongly with the likelihood of serious mental and medical health issues in adulthood.

We consider this new understanding of brain development and the critical importance of the early childhood years to be compelling reasons to focus much of our grant making on efforts to improve the quality of care given to young children in low-income communities, both at home and in away-from-home settings.

Grant Focus

In an effort to increase the impact of our grant making, our focus has narrowed to these areas of support for low-income children in Westchester County:

- **Early learning and development** – Programs and services for young children, prenatal through age 5, and their families, which address social, emotional and cognitive development.
- **Intellectual and personal enrichment** – Programs which utilize innovative education strategies, usually in collaboration with schools, to expand opportunities for learning and growth beyond academic basics.
- **Early childhood systems change** – On a selective basis, advocacy work and broader based initiatives focused on systemic change to improve outcomes for children in New York State.

Applicant Eligibility

Organizations must be classified as tax-exempt under Section 501(c)(3) of the Internal Revenue Code and as public charities under Section 509(a). Individuals and for-profit organizations are not eligible for funding, and government agencies are not generally funded. Churches and religious organizations may be eligible to receive funding for activities that are non-sectarian and benefit the larger community.

Project eligibility

Grants must serve primarily low-income children in Westchester County, New York, and will not be considered for less than \$10,000. One-year and multi-year requests will be considered. Examples of the types of grants awarded include:

- New programs or continuation/expansion of existing programs
- Organizational capacity building
- Collaborative efforts with and technical assistance to other nonprofits
- Operating support in some circumstances
- Capital projects in some circumstances

Examples of projects we will not fund include:

- Work that does not fit our funding priorities
- Institutions that discriminate, in policy or in practice, on the basis of age, color, gender, sexual orientation, national origin, race, religion, marital status, disability, veteran or other legally protected status
- Scholarships or grants to individuals
- Endowments
- Programs or research to address specific physical conditions, or medical or psychological diagnoses
- Sectarian religious activities, political lobbying or legislative activities

[Learn more about our grant process](#)

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The Grant Process

1 Review the parameters

Grantseekers are urged to review our parameters for grantmaking See [What We Fund](#)

2 The Initial Request form

If your organization's project falls within our parameters, we welcome you to submit an Initial Request online This is the only submission format that will be accepted You may submit an Initial Request at any time

Please note that, while there are no word limits in the online submission form, we value conciseness and clarity of communication We expect a submission roughly equivalent to a 1-2 page letter You may find it helpful to prepare your Initial Request in a Microsoft Word or similar document format, and then paste it into the online form

3 Full proposal – by invitation only

We will review your Initial Request, and, generally within 30 days, we will let you know if you are invited to submit a formal proposal In some cases we may request more information or require a personal meeting before our decision

If you are asked to submit a full proposal, please refer to the [Instructions for Full Proposal, which can be downloaded as a Word document here](#)

4 Grant decision

Typically, we meet with applicants at least once during the application process Depending on whether modifications to the proposal are required, we usually are able to notify applicants of our final grant decision within 2 months of the Initial Request

[Apply for a Grant here](#)

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THE FROG ROCK FOUNDATION

13-4127228

FORM 990BF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEARATTACHMENT 12

| RECIPIENT NAME AND ADDRESS | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND | | FOUNDATION STATUS OF RECIPIENT | PURPOSE OF GRANT OR CONTRIBUTION | AMOUNT |
|--|--|----|--------------------------------|----------------------------------|---------|
| | | | | | |
| WESTCHESTER JEWISH COMMUNITY SERVICES 6 GRAMATAN AVE MT VERNON, NY 10550 | N/A | PC | | GENERAL SUPPORT | 195,421 |
| WESTCOP - WESTCHESTER COMM OPPORTUNITY PROGRAM 2 WESTCHESTER PLAZA ELMSFORD, NY 10523 | N/A | PC | | GENERAL SUPPORT | 41,450 |
| WESTCHESTER CHILDREN'S ASSOCIATION 470 MAMARONECK AVENUE SUITE 304 WHITE PLAINS, NY 10605 | N/A | PC | | GENERAL SUPPORT | 55,000 |
| HUDSON VALLEY SHAKESPEARE FESTIVAL, INC 155 MAIN STREET COLD SPRING, NY 10516 | N/A | PC | | GENERAL SUPPORT | 43,560 |
| PRO BONO PARTNERSHIP 237 MAMARONECK AVENUE SUITE 300 WHITE PLAINS, NY 10605 | N/A | PC | | GENERAL SUPPORT | 25,000 |
| JACOB BURNS FILM CENTER 364 MANVILLE ROAD PLEASANTVILLE, NY 10570 | N/A | PC | | GENERAL SUPPORT | 100,000 |

ATTACHMENT 12

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEARATTACHMENT 12 (CONT'D)

| RECIPIENT NAME AND ADDRESS | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT | | PURPOSE OF GRANT OR CONTRIBUTION | AMOUNT |
|---|--|----|----------------------------------|----------------|
| | | | | |
| ANDRUS CHILDREN'S CENTER 1156 NORTH BORADWAY YONKERS, NY 10701 | N/A | PC | GENERAL SUPPORT | 8,280 |
| PERFORMING ARTS CENTER FOUNDATION PURCHASE COLLEGE THE PERFORMING ARTS CENTER, PO BOX 140 PURCHASE, NY 10577 | N/A | PC | GENERAL SUPPORT | 40,000 |
| TEATOWN LAKE RESERVATION 1600 SPRING VALLEY RD SUITE 1 OSSINING, NY 10562 | N/A | PC | GENERAL SUPPORT | 69,278 |
| CHILD CARE COUNCIL OF WESTCHESTER 313 CENTRAL PARK AVE HARTSDALE, NY 10530 | N/A | PC | GENERAL SUPPORT | 105,000 |
| OSSINING CHILDREN'S CENTER 90 S HIGHLAND AVE OSSINING, NY 10562 | N/A | PC | GENERAL SUPPORT | 15,150 |
| NEIGHBOR'S LINK 27 COLUMBUS AVE MT KISCO, NY 10549 | N/A | PC | GENERAL SUPPORT | 102,275 |
| TOTAL CONTRIBUTIONS PAID | | | | <u>800,414</u> |

**Application for Extension of Time To File an
Exempt Organization Return**

► **File a separate application for each return.**
► **Information about Form 8868 and its instructions is at www.irs.gov/form8868**

OMB No. 1545-1709

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** and check this box ☒ **X**
- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** (on page 2 of this form)

Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868

Electronic filing (e-file). You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit www.irs.gov/efile and click on *e-file for Charities & Nonprofits*

Part I Automatic 3-Month Extension of Time. Only submit original (no copies needed).

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete

Part I only ☐

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns

Enter filer's identifying number, see instructions

| | | |
|--|---|---|
| Type or print File by the due date for filing your return. See instructions. | Name of exempt organization or other filer, see instructions | Employer identification number (EIN) or |
| | THE FROG ROCK FOUNDATION | 13-4127228 |
| | Number, street, and room or suite no. If a P.O. box, see instructions | Social security number (SSN) |
| | PO BOX 865 | |
| | City, town or post office, state, and ZIP code. For a foreign address, see instructions | |
| | CHAPPAQUA, NY 10514 | |

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

| Application Is For | Return Code | Application Is For | Return Code |
|--|-------------|-----------------------------------|-------------|
| Form 990 or Form 990-EZ | 01 | Form 990-T (corporation) | 07 |
| Form 990-BL | 02 | Form 1041-A | 08 |
| Form 4720 (individual) | 03 | Form 4720 (other than individual) | 09 |
| Form 990-PF | 04 | Form 5227 | 10 |
| Form 990-T (sec. 401(a) or 408(a) trust) | 05 | Form 6069 | 11 |
| Form 990-T (trust other than above) | 06 | Form 8870 | 12 |

- The books are in the care of ► JANET INSKEEP BENTON

Telephone No ► 914 273-1375

FAX No ►

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

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

- 1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until 08/15, 2014, to file the exempt organization return for the organization named above. The extension is for the organization's return for
- ☒ calendar year 2013 or
- ☐ tax year beginning _____, 20____, and ending _____, 20____.

- 2 If the tax year entered in line 1 is for less than 12 months, check reason ☐ Initial return ☐ Final return ☐ Change in accounting period

| | | |
|---|-------|---------|
| 3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions. | 3a \$ | 58,051. |
| b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit. | 3b \$ | 10,051. |
| c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions. | 3c \$ | 48,000. |

Caution. If you are going to make an electronic funds withdrawal (direct debit) with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

For Privacy Act and Paperwork Reduction Act Notice, see instructions.

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