Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

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

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning , and ending

Name of foundation: JOY FAMILY FOUNDATION

A Employer identification number: 16-6335211

Number and street (or P O box number if mail is not delivered to street address): S 6086 OLD LAKE SHORE ROAD

Room/suite:

B Telephone number: 716-627-5868

City or town, state or province, country, and ZIP or foreign postal code: LAKE VIEW, NY 14085

C If exemption application is pending, check here ▶ ☐

G Check all that apply: ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change

D 1. Foreign organizations, check here ▶ ☐

2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ ☐

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶$ 2,133,270.

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

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

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	Part I **Analysis of Revenue and Expenses** (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received			N/A	
	2 Check ▶ ☒ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	779.	779.		STATEMENT 1
	4 Dividends and interest from securities	55,646.	55,646.		STATEMENT 2
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	50,943.			
	b Gross sales price for all assets on line 6a 767,882.				
	7 Capital gain net income (from Part IV, line 2)		50,943.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss)				
	11 Other income				
	12 **Total.** Add lines 1 through 11	107,368.	107,368.		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0.	0.		0.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees STMT 3	2,900.	1,450.		1,450.
	b Accounting fees STMT 4	5,200.	2,600.		2,600.
	c Other professional fees STMT 5	34,552.	34,552.		0.
	17 Interest				
	18 Taxes STMT 6	1,239.	739.		0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses STMT 7	250.	0.		250.
	24 **Total operating and administrative expenses.** Add lines 13 through 23	44,141.	39,341.		4,300.
	25 Contributions, gifts, grants paid	144,292.			144,292.
	26 **Total expenses and disbursements.** Add lines 24 and 25	188,433.	39,341.		148,592.
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	-81,065.			
	b **Net investment income** (if negative, enter -0-)		68,027.		
	c **Adjusted net income** (if negative, enter -0-)			N/A	

323501
10-10-13 LHA For Paperwork Reduction Act Notice, see instructions.

18 614

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

			Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing			
	2	Savings and temporary cash investments	123,074.	90,234.	90,234.
	3	Accounts receivable ▶ Less: allowance for doubtful accounts ▶			
	4	Pledges receivable ▶ Less: allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons			
	7	Other notes and loans receivable ▶ Less: allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments - U.S. and state government obligations STMT 8	305,965.	305,965.	349,996.
	b	Investments - corporate stock			
	c	Investments - corporate bonds			
	11	Investments - land, buildings, and equipment: basis ▶ Less accumulated depreciation ▶			
	12	Investments - mortgage loans			
	13	Investments - other STMT 9	1,611,086.	1,557,177.	1,690,332.
	14	Land, buildings, and equipment: basis ▶ 13,991. Less accumulated depreciation STMT 10▶ 11,283.	2,708.	2,708.	2,708.
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers - see the instructions. Also, see page 1, item 1)	2,042,833.	1,956,084.	2,133,270.
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable			
	22	Other liabilities (describe ▶)			
	23	**Total liabilities** (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here** ▶ ☐ **and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☒ **and complete lines 27 through 31.**			
	27	Capital stock, trust principal, or current funds	5,891,058.	5,891,058.	
	28	Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29	Retained earnings, accumulated income, endowment, or other funds	-3,848,225.	-3,934,974.	
	30	**Total net assets or fund balances**	2,042,833.	1,956,084.	
	31	**Total liabilities and net assets/fund balances**	2,042,833.	1,956,084.	

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	2,042,833.
2	Enter amount from Part I, line 27a	2	-81,065.
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	1,961,768.
5	Decreases not included in line 2 (itemize) ▶ ADJUSTMENT TO BEGINNING FUND BALANCE	5	5,684.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	1,956,084.

Part IV Capital Gains and Losses for Tax on Investment Income

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

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a				
b				
c				
d				
e	767,882.		695,834.	50,943.

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) 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				50,943.

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	50,943.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8		3	N/A

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2012	4,321,855.	2,133,218.	2.025979
2011	322,259.	4,904,093.	.065712
2010	328,332.	4,731,282.	.069396
2009	296,293.	4,269,633.	.069395
2008	424,824.	5,200,346.	.081691

2 **Total** of line 1, column (d)	2	2.312173
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	.462435
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	2,151,486.
5 Multiply line 4 by line 3	5	994,922.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	680.
7 Add lines 5 and 6	7	995,602.
8 Enter qualifying distributions from Part XII, line 4	8	148,592.

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter: ________ (attach copy of letter if necessary-see instructions)			
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b		1	1,361.
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3	Add lines 1 and 2		3	1,361.
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	1,361.
6	Credits/Payments:			
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a 3,185.		
b	Exempt foreign organizations - tax withheld at source	6b		
c	Tax paid with application for extension of time to file (Form 8868)	6c 1,000.		
d	Backup withholding erroneously withheld	6d		
7	Total credits and payments. Add lines 6a through 6d		7	4,185.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☒ if Form 2220 is attached		8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶		9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶		10	2,824.
11	Enter the amount of line 10 to be: **Credited to 2014 estimated tax** ▶	2,824. **Refunded** ▶	11	0.

Part VII-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)?	1b		X
	If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.			
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ $ 0. (2) On foundation managers. ▶ $ 0.			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0.			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.*	2		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*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b	If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		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?	6	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*	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ 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*	8b	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*	9		X
10	Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		X

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

			Yes	No
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.JOYFAMILYFOUNDATION.ORG

14 The books are in care of ▶ PAULA JOY REINHOLD Telephone no.▶716-627-5868

Located at ▶S 6086 OLD LAKE SHORE ROAD, LAKE VIEW, NY ZIP+4 ▶14085

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** - Check here ▶☐

and enter the amount of tax-exempt interest received or accrued during the year ▶ 15 N/A

			Yes	No
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		X
	See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ▶			

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

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

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

5a During the year did the foundation pay or incur any amount to:

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? ☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? N/A | 5b | |

Organizations relying on a current notice regarding disaster assistance check here ▶ ☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A ☐ Yes ☐ No

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

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | 6b | | X

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

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? N/A. | 7b | |

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

1 List all officers, directors, trustees, foundation managers and their compensation.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
PAULA JOY REINHOLD S 6086 OLD LAKE SHORE ROAD LAKE VIEW, NY 14085	TRUSTEE 5.00	0.	0.	0.

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

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

Total number of other employees paid over $50,000 ▶ 0

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

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

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

Total number of others receiving over $50,000 for professional services ▶ 0

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
1 N/A	
2	
3	
4	

Part IX-B Summary of Program-Related Investments

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.	Amount
1 N/A	
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3 ▶	0.

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:				
a	Average monthly fair market value of securities			1a	1,703,866.
b	Average of monthly cash balances			1b	117,173.
c	Fair market value of all other assets			1c	363,211.
d	**Total** (add lines 1a, b, and c)			1d	2,184,250.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.		
2	Acquisition indebtedness applicable to line 1 assets			2	0.
3	Subtract line 2 from line 1d			3	2,184,250.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)			4	32,764.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4			5	2,151,486.
6	**Minimum investment return.** Enter 5% of line 5			6	107,574.

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	107,574.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	1,361.		
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b			
c	Add lines 2a and 2b			2c	1,361.
3	Distributable amount before adjustments. Subtract line 2c from line 1			3	106,213.
4	Recoveries of amounts treated as qualifying distributions			4	0.
5	Add lines 3 and 4			5	106,213.
6	Deduction from distributable amount (see instructions)			6	0.
7	**Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1			7	106,213.

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	148,592.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	148,592.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	148,592.

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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7				106,213.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			0.	
b Total for prior years: ______, ______, ______		0.		
3 Excess distributions carryover, if any, to 2013:				
a From 2008 167,255.				
b From 2009 84,634.				
c From 2010 99,549.				
d From 2011 82,447.				
e From 2012 4,220,624.				
f Total of lines 3a through e	4,654,509.			
4 Qualifying distributions for 2013 from Part XII, line 4: ▶ $ 148,592.				
a Applied to 2012, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2013 distributable amount				106,213.
e Remaining amount distributed out of corpus	42,379.			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	4,696,888.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7	167,255.			
9 **Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a	4,529,633.			
10 Analysis of line 9:				
a Excess from 2009 84,634.				
b Excess from 2010 99,549.				
c Excess from 2011 82,447.				
d Excess from 2012 4,220,624.				
e Excess from 2013 42,379.				

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

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

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

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

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

1 **Information Regarding Foundation Managers:**

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

NONE

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

NONE

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

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

a The name, address, and telephone number or e-mail address of the person to whom applications should be addressed:

PAULA JOY REINHOLD, 716-627-5868
S 6086 OLD LAKE SHORE ROAD, LAKE VIEW, NY 14085

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

APPLICATIONS SHOULD BE REQUESTED

c Any submission deadlines:

NONE

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

NONE

Part XV **Supplementary Information** (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
SEE ATTACHED SCHEDULE	N/A	PUBLIC CHARITY	VARIOUS	144,292.
Total			▶ 3a	144,292.
b *Approved for future payment*				
NONE				
Total			▶ 3b	0.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income
	(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	779.	
4 Dividends and interest from securities			14	55,646.	
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	50,943.	
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)		0.		107,368.	0.

13 **Total.** Add line 12, columns (b), (d), and (e) 13 107,368.

(See worksheet in line 13 instructions to verify calculations.)

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes).
	NOT APPLICABLE

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

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

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

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

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

b If "Yes," complete the following schedule.

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

Sign Here

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

Paula Joy Reinhold | 7/10/14 | BOARD CHAIR

Signature of officer or trustee | Date | Title

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
MARIA T. SCAROZZA	Maria Scarozza	6/10/14		P01240837

Firm's name ▶ SZYMKOWIAK & ASSOCIATES CPAS, PC

Firm's EIN ▶ 16-1600045

Firm's address ▶ 6325 MAIN STREET, SUITE 100
WILLIAMSVILLE, NY 14221

Phone no. 716-626-2626

Form **4562**

Department of the Treasury
Internal Revenue Service (99)

Depreciation and Amortization 990-PF

(Including Information on Listed Property)

▶ See separate instructions. ▶ Attach to your tax return.

OMB No 1545-0172

2013

Attachment
Sequence No 179

Name(s) shown on return	Business or activity to which this form relates	Identifying number
JOY FAMILY FOUNDATION	FORM 990-PF PAGE 1	16-6335211

Part I Election To Expense Certain Property Under Section 179 **Note:** *If you have any listed property, complete Part V before you complete Part I.*

1	Maximum amount (see instructions)	1	500,000.
2	Total cost of section 179 property placed in service (see instructions)	2	
3	Threshold cost of section 179 property before reduction in limitation	3	2,000,000.
4	Reduction in limitation. Subtract line 3 from line 2. If zero or less, enter -0-	4	
5	Dollar limitation for tax year Subtract line 4 from line 1 If zero or less, enter -0- If married filing separately, see instructions	5	

6	(a) Description of property	(b) Cost (business use only)	(c) Elected cost

7	Listed property. Enter the amount from line 29	7			
8	Total elected cost of section 179 property. Add amounts in column (c), lines 6 and 7			8	
9	Tentative deduction. Enter the **smaller** of line 5 or line 8			9	
10	Carryover of disallowed deduction from line 13 of your 2012 Form 4562			10	
11	Business income limitation. Enter the smaller of business income (not less than zero) or line 5			11	
12	Section 179 expense deduction. Add lines 9 and 10, but do not enter more than line 11			12	
13	Carryover of disallowed deduction to 2014. Add lines 9 and 10, less line 12 ▶	13			

Note: *Do not use Part II or Part III below for listed property. Instead, use Part V.*

Part II **Special Depreciation Allowance and Other Depreciation (Do not** include listed property.)

14	Special depreciation allowance for qualified property (other than listed property) placed in service during the tax year	14	
15	Property subject to section 168(f)(1) election	15	
16	Other depreciation (including ACRS)	16	

Part III **MACRS Depreciation (Do not** include listed property.) (See instructions.)

Section A

17	MACRS deductions for assets placed in service in tax years beginning before 2013	17	
18	If you are electing to group any assets placed in service during the tax year into one or more general asset accounts, check here ▶ ☐		

Section B - Assets Placed in Service During 2013 Tax Year Using the General Depreciation System

	(a) Classification of property	(b) Month and year placed in service	(c) Basis for depreciation (business/investment use only - see instructions)	(d) Recovery period	(e) Convention	(f) Method	(g) Depreciation deduction
19a	3-year property						
b	5-year property						
c	7-year property						
d	10-year property						
e	15-year property						
f	20-year property						
g	25-year property			25 yrs.		S/L	
h	Residential rental property	/		27.5 yrs.	MM	S/L	
		/		27.5 yrs.	MM	S/L	
i	Nonresidential real property	/		39 yrs.	MM	S/L	
		/			MM	S/L	

Section C - Assets Placed in Service During 2013 Tax Year Using the Alternative Depreciation System

20a	Class life					S/L	
b	12-year			12 yrs.		S/L	
c	40-year	/		40 yrs.	MM	S/L	

Part IV **Summary** (See instructions.)

21	Listed property. Enter amount from line 28			21	
22	**Total.** Add amounts from line 12, lines 14 through 17, lines 19 and 20 in column (g), and line 21. Enter here and on the appropriate lines of your return. Partnerships and S corporations - see instr.			22	0.
23	For assets shown above and placed in service during the current year, enter the portion of the basis attributable to section 263A costs	23			

316251
12-19-13 LHA **For Paperwork Reduction Act Notice, see separate instructions.** Form **4562** (2013)

Part V **Listed Property** (Include automobiles, certain other vehicles, certain computers, and property used for entertainment, recreation, or amusement.)

Note: *For any vehicle for which you are using the standard mileage rate or deducting lease expense, complete only 24a, 24b, columns (a) through (c) of Section A, all of Section B, and Section C if applicable.*

Section A - Depreciation and Other Information (Caution: *See the instructions for limits for passenger automobiles* **)**

24a Do you have evidence to support the business/investment use claimed? ☐ Yes ☐ No 24b If "Yes," is the evidence written? ☐ Yes ☐ No

(a) Type of property (list vehicles first)	(b) Date placed in service	(c) Business/ investment use percentage	(d) Cost or other basis	(e) Basis for depreciation (business/investment use only)	(f) Recovery period	(g) Method/ Convention	(h) Depreciation deduction	(i) Elected section 179 cost
25 Special depreciation allowance for qualified listed property placed in service during the tax year and used more than 50% in a qualified business use						25		
26 Property used more than 50% in a qualified business use:								
		%						
		%						
		%						
27 Property used 50% or less in a qualified business use:								
		%				S/L -		
		%				S/L -		
		%				S/L -		
28 Add amounts in column (h), lines 25 through 27. Enter here and on line 21, page 1						28		
29 Add amounts in column (i), line 26. Enter here and on line 7, page 1							29	

Section B - Information on Use of Vehicles

Complete this section for vehicles used by a sole proprietor, partner, or other "more than 5% owner," or related person If you provided vehicles to your employees, first answer the questions in Section C to see if you meet an exception to completing this section for those vehicles.

	(a) Vehicle		(b) Vehicle		(c) Vehicle		(d) Vehicle		(e) Vehicle		(f) Vehicle	
30 Total business/investment miles driven during the year (**do not** include commuting miles)												
31 Total commuting miles driven during the year												
32 Total other personal (noncommuting) miles driven												
33 Total miles driven during the year. Add lines 30 through 32												
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No
34 Was the vehicle available for personal use during off-duty hours?												
35 Was the vehicle used primarily by a more than 5% owner or related person?												
36 Is another vehicle available for personal use?												

Section C - Questions for Employers Who Provide Vehicles for Use by Their Employees

Answer these questions to determine if you meet an exception to completing Section B for vehicles used by employees who **are not** more than 5% owners or related persons.

	Yes	No
37 Do you maintain a written policy statement that prohibits all personal use of vehicles, including commuting, by your employees?		
38 Do you maintain a written policy statement that prohibits personal use of vehicles, except commuting, by your employees? See the instructions for vehicles used by corporate officers, directors, or 1% or more owners		
39 Do you treat all use of vehicles by employees as personal use?		
40 Do you provide more than five vehicles to your employees, obtain information from your employees about the use of the vehicles, and retain the information received?		
41 Do you meet the requirements concerning qualified automobile demonstration use?		

Note: *If your answer to 37, 38, 39, 40, or 41 is "Yes," do not complete Section B for the covered vehicles.*

Part VI **Amortization**

(a) Description of costs	(b) Date amortization begins	(c) Amortizable amount	(d) Code section	(e) Amortization period or percentage	(f) Amortization for this year
42 Amortization of costs that begins during your 2013 tax year:					
43 Amortization of costs that began before your 2013 tax year				43	
44 **Total.** Add amounts in column (f). See the instructions for where to report				44	

2013 DEPRECIATION AND AMORTIZATION REPORT

FORM 990-PF PAGE 1

990-PF

Asset No	Description	Date Acquired	Method	Life	Conv	Line No	Unadjusted Cost Or Basis	Bus % Excl	Section 179 Expense	* Reduction In Basis	Basis For Depreciation	Beginning Accumulated Depreciation	Current Sec 179 Expense	Current Year Deduction	Ending Accumulated Depreciation
1	EQUIPMENT	VARIOUS	200DB	7.00	HY	17	11,283.				11,283.	11,283.		0.	11,283.
2	LAND	VARIOUS	L				2,708.				2,708.			0.	
	* TOTAL 990-PF PG 1 DEPR						13,991.				13,991.	11,283.		0.	11,283.

(D) - Asset disposed

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

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

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
MORGAN STANLEY	708.	708.	
UBS FINANCIAL SVCS	71.	71.	
TOTAL TO PART I, LINE 3	779.	779.	

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
UBS FINANCIAL SERVICES	43,707.	0.	43,707.	43,707.	
UBS FINANCIAL SERVICES	18,814.	18,814.	0.	0.	
UBS FINANCIAL SERVICES	11,939.	0.	11,939.	11,939.	
TO PART I, LINE 4	74,460.	18,814.	55,646.	55,646.	

FORM 990-PF LEGAL FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL	2,900.	1,450.		1,450.
TO FM 990-PF, PG 1, LN 16A	2,900.	1,450.		1,450.

FORM 990-PF ACCOUNTING FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING	5,200.	2,600.		2,600.
TO FORM 990-PF, PG 1, LN 16B	5,200.	2,600.		2,600.

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT ADVISORY FEES	34,552.	34,552.		0.
TO FORM 990-PF, PG 1, LN 16C	34,552.	34,552.		0.

FORM 990-PF TAXES STATEMENT 6

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES PAID	739.	739.		0.
FEDERAL TAXES	500.	0.		0.
TO FORM 990-PF, PG 1, LN 18	1,239.	739.		0.

FORM 990-PF OTHER EXPENSES STATEMENT 7

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
NYS FILING FEE	250.	0.		250.
TO FORM 990-PF, PG 1, LN 23	250.	0.		250.

FORM 990-PF U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS STATEMENT 8

DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE
MORGAN STANLEY - 001257	X		305,965.	349,996.
TOTAL U.S. GOVERNMENT OBLIGATIONS			305,965.	349,996.
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS				
TOTAL TO FORM 990-PF, PART II, LINE 10A			305,965.	349,996.

FORM 990-PF OTHER INVESTMENTS STATEMENT 9

DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
UBS FINANCIAL SERVICES - 95316	COST	354,212.	376,796.
UBS FINANCIAL SERVICES - 95318	COST	0.	0.
UBS FINANCIAL SERVICES - 95317	COST	601,990.	587,542.
UBS FINANCIAL SERVICES - 95315	COST	600,975.	725,994.
TOTAL TO FORM 990-PF, PART II, LINE 13		1,557,177.	1,690,332.

FORM 990-PF DEPRECIATION OF ASSETS NOT HELD FOR INVESTMENT STATEMENT 10

DESCRIPTION	COST OR OTHER BASIS	ACCUMULATED DEPRECIATION	BOOK VALUE
EQUIPMENT	11,283.	11,283.	0.
LAND	2,708.	0.	2,708.
TOTAL TO FM 990-PF, PART II, LN 14	13,991.	11,283.	2,708.

NOTICE OF INSPECTION

CORRECTION

The Annual Report of Joy Family Foundation for the year ended December 31, 2013 is available for public inspection at S-6086 Old Lake Shore Road, Lake View, NY 14085, (716-627-5868), during regular business hours by any citizen who requests inspection within 180 days of publication thereof.

The Joy Family Foundation

14-0831 jun9

JOY FAMILY FOUNDATION

2013

16-6335211

	119616	118859	118891	118998	118932	1257	TOTAL
COST	95316		95317	95315	95318	95319	
Cash	37	-	68,478	19,071	2,148	500	90,234
U.S. Govt Money Market							
Money Funds				-			0
							90,234
Stocks		-	601,990	600,975		305,965	1,508,930
Mutual Funds	354,213	-					354,213
Total Cash & Invest	**354,250**	**0**	**670,468**	**620,046**	**2,148**	**306,465**	**1,953,376**
Land							2,708
							1,956,084
FMV							
Cash	37	-	68,478	19,071	2,148	500	90,234
U.S. Govt Money Market							
Money Funds							0
							90,234
Stocks		-	587,542	725,994		349,996	1,663,531
Mutual Funds	376,797	-					376,797
Total Cash & Invest	**376,834**	**0**	**656,020**	**745,065**	**2,148**	**350,496**	**2,130,562**
Land							2,708
							2,133,270

Joy Family Foundation
Form 990-PF, Part IV
Recap of Capital Gains and Losses
2013

16-6335211

			Gain / Loss		
Account Number	**Gross Sales Price**	**Cost Basis**	**Short-Term**	**Long-Term**	**Capital Gain Distrib**
8998	47,583	45,597	1,986		4,512
8998	3,451	3,252	199		
8998	184,623	146,639		37,984	
FF 95315	396	413	(17)		7,935
FF 95315	36,087	29,447		6,640	
9616	27,443	27,538	(95)		
9616	37,979	38,048		(69)	
FF 95316					3,826
8891	47,273	48,093	(820)		1,963
8891	186,927	182,836		4,091	
FF 95317	10,515	10,810	(295)		577
FF 95317	154,680	151,013		3,667	
8859	1,123	1,137	(14)		
8859	10,988	11,011		(23)	
36657			(8,442)		
36657				(12,663)	
Sub total	**749,068**	**695,834**	**(7,498)**	**39,627**	**18,814**
CGD	18,814			18,814	
Total	**767,882**			**50,943**	

Joy Family Foundation
I.D. # 16-6335211

Schedule of Appropriations and Payments
December 31, 2013

Recipient and/or Purpose	Relationship to Substantial Contributor	Foundation Status	Amount Paid 2013
The BISON Scholarship Fund 320 Porter Avenue Buffalo, NY 14201 Renewal Request: Funding support in the amount of $30,000; $10,000 per year for three years - Matching challenge by the Children's Scholarship Fund (to begin in 2012). 2013	None	501c(3)	$ 10,000.00
Buffalo Niagara Medical Campus, Inc. John E. Friedlander Memorial Sculpture Fund BNMC Innovation Center 640 Ellicott Street Buffalo, NY 14203 General fund contribution 2013	None	501c(3)	$ 2,500.00
Buffalo Niagara Riverkeeper 1250 Niagara Street Buffalo, NY 14213 Support to bolster Riverkeeper's invaluable and innovative work in 2013. General fund contribution 2013	None	501c(3)	$ 5,000.00
Buffalo Niagara Riverkeeper 1250 Niagara Street Buffalo, NY 14213 Support to bolster Riverkeeper's invaluable and innovative work in 2013. General fund contribution 2013	None	501c(3)	$ 5,000.00

Recipient and/or Purpose	Relationship to Substantial Contributor	Foundation Status	Amount Paid 2013
Buffalo Niagara Riverkeeper 1250 Niagara Street Buffalo, NY 14213 Support to bolster Riverkeeper's invaluable and innovative work in 2013. General fund contribution 2013	None	501c(3)	$ 5,000.00
Buffalo Niagara Riverkeeper 1250 Niagara Street Buffalo, NY 14213 Support to bolster Riverkeeper's invaluable and innovative work in 2013. General fund contribution 2013	None	501c(3)	$ 2,000.00
Buffalo Philharmonic Orchestra Attn: Daniel Hart 499 Franklin Street Buffalo, NY 14202 General fund contribution 2013	None	501c(3)	$ 3,000.00
BUILD Attn: Rod Hsiao 2385 Bay Road Redwood City, CA 94063 General fund grant. 2013	None	501c(3)	$ 3,334.00
Burchfield-Penney Art Center Rockwell Hall - Buffalo State College, 1300 Elmwood Avenue Buffalo, NY 14222-1095 General fund contribution 2013	None	501c(3)	$ 5,000.00

Recipient and/or Purpose	Relationship to Substantial Contributor	Foundation Status	Amount Paid 2013
Burchfield-Penney Art Center Rockwell Hall - Buffalo State College, 1300 Elmwood Avenue Buffalo, NY 14222-1095 General fund contribution 2013	None	501c(3)	$ 5,000.00
Burchfield-Penney Art Center Rockwell Hall - Buffalo State College, 1300 Elmwood Avenue Buffalo, NY 14222-1095 General fund contribution 2013	None	501c(3)	$ 5,000.00
CASA of San Mateo County 330 Twin Dolphin Drive, Suite 139 Redwood City, CA 94065 General fund contribution 2013	None	501c(3)	$ 6,667.00
Catholic Charities of Buffalo Attn: Appeal Department, Acct. #17571 741 Delaware Avenue Buffalo, NY 14209 General fund grant $15,000 for 2012; $6,667 for 2013 2013	None	501c(3)	$ 6,667.00
Every Woman Opportunity Center 237 Main Street #330 Buffalo, NY 14203 General fund contribution 2013	None	501c(3)	$ 500.00
Francis Center, Inc. 335 24th Street Niagara Falls, NY 14303 General fund contribution 2013	None	501c(3)	$ 900.00

Recipient and/or Purpose	Relationship to Substantial Contributor	Foundation Status	Amount Paid 2013
Heart and Soul Attn: Sister Beth Brosmer 939 Ontario Ave. Niagara Falls, NY 14305 General Fund Contribution 2013	None	501c(3)	$ 1,666.00
The Center for Hospice & Palliative Care Attn: Patrick Flynn 225 Como Park Blvd. Cheektowaga, NY 14227 General Fund Contribution 2013	None	501c(3)	$ 20,000.00
The Center for Hospice Attn: Patrick Flynn 225 Como Park Blvd. Cheektowaga, NY 14227 General Fund Contribution 2013	None	501c(3)	$ 5,767.00
Hospice Foundation Attn: Patrick Flynn 225 Como Park Blvd. Cheektowaga, NY 14227 General fund contribution 2013	None	501c(3)	$ 2,800.00
Hospice Foundation Attn: Patrick Flynn 225 Como Park Blvd. Cheektowaga, NY 14227 General fund contribution 2013	None	501c(3)	$ 2,000.00

Recipient and/or Purpose	Relationship to Substantial Contributor	Foundation Status	Amount Paid 2013
Niagara Catholic High School 520 - 66th Street Niagara Falls, NY 14304 Establish an innovative computer-based Financial and Investment Literacy/Entrepreneurship Program. Two year grant. 2013	None	501c(3)	$ 10,000.00
Niagara Hospice Attn: Patricia Degan 4675 Sunset Drive Lockport, NY 14094 General fund grant $3,334 for 2012 - 2014 2013	None	501c(3)	$ 3,334.00
Elizabeth Pierce Olmsted M.D. Center for the Visually Impaired 1170 Main Street, P.O. Box 398 Buffalo, NY 14209-0398 Support the affiliation and merger of Olmstead Center for Sight and Central Referral Service/211 Western New York. Two year grant. 2013	None	501c(3)	$ 8,000.00
United Way of Bay Area Attn: Anne Wilson, CEO 2212 Main Street, Suite 300 San Francisco, CA 94105 General fund grant approved $3,334 for 2012 - 2014 2013	None	501c(3)	$ 3,334.00
Western New York Women's Fund 742 Delaware Avenue Buffalo, NY 14209 General fund contribution 2013	None	501c(3)	$ 3,334.00

Recipient and/or Purpose	Relationship to Substantial Contributor	Foundation Status	Amount Paid 2013
Western New York Women's Fund 742 Delaware Avenue Buffalo, NY 14209 General fund contribution 2013	None	501c(3)	$ 3,334.00
Western New York Women's Fund 742 Delaware Avenue Buffalo, NY 14209 General fund contribution 2013	None	501c(3)	$ 5,000.00
Western New York Women's Fund 742 Delaware Avenue Buffalo, NY 14209 General fund contribution 2013	None	501c(3)	$ 1,155.00
Western New York Women's Fund 742 Delaware Avenue Buffalo, NY 14209 General fund contribution 2013	None	501c(3)	$ 5,000.00
WNY Public Broadcasting 140 Lower Terrace Buffalo, NY 14202 General fund contribution 2013	None	501c(3)	$ 4,000.00
		Total	$ 144,292.00

Account Detail

Basic Securities Account
230-001257-067

JOY FAMILY FOUNDATION
NPO/UAD 12/20/89

Investment Objectives†: Capital Appreciation, Aggressive Income, Speculation, Income

Brokerage Account

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

HOLDINGS

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

GOVERNMENT SECURITIES

TREASURY SECURITIES

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj. Unit Cost	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
UNITED STATES TREASURY NOTE-INFLATION INDEXED CUSIP 912828MF4	—	300 000 000	— —	Please Provide Please Provide	$347,949 91	N/A	$4,455 37 $2,046 08	1 28

Unit Price $107 383, Coupon Rate 1 375%, Matures 01/15/2020, Int. Semi-Annually Jan/Jul 15, Factor 1 08009000, Moody AAA, Issued 01/15/10, Current Face 324,027 000

	Face Value Percentage of Assets %	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
GOVERNMENT SECURITIES	300,000 000	$0 00 $0.00	$347,949.91	$0.00 ST	$4,455.37 $2,046 08	1 28%
TOTAL GOVERNMENT SECURITIES (incl accr int)	100.0%		$349,995.99			

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
TOTAL MARKET VALUE	100.0%	$0.00	$347,949.91	$0.00 ST	$4,455.37 $2,046.08	1.27%

TOTAL VALUE (includes accrued interest) $349,995 99

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

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 BUS ACCT	36 93	36 93					250,000 00

Equities

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
HARDING LOEVNER									
EMERGING MARKETS									
PORTFOLIO ADVISOR CLASS									
Symbol: HLEMX									
Trade date. Dec 31, 10	213 721	51.799	11,070 74	11,070 74	48 770	10,423 17	-647 57		LT
Trade date. Jan 3, 12	101 520	43.410	4,407.00	4,407 00	48.770	4,951.13	544.13		LT
Trade date. Mar 29, 12	513.136	48 720	25,000 00	25,000.00	48.770	25,025.64	25 64		LT

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Your assets › **Equities** › **Mutual funds** (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
Total reinvested	97 714	47 980		4,688 37	48 770	4,765 51	77 14		
Security total	926 091	48.771	40,477.74	45,166 11		45,165 45	-0.66	4,687 71	
INVESCO DEVLG MKTS FD									
CL Y									
Symbol GTDYX									
Trade date. Feb 21, 13	1,249.665	34.469	43,075.94	43,075.94	32 440	40,539.13	-2,536.81		ST
Total reinvested	18 006	32 029		576 73	32.440	584.11	7.38		
EAI: $464 Current yield· 1 13%									
Security total	1,267 671	34.435	43,075.94	43,652.67		41,123 24	-2,529.43	-1,952.70	
Total			**$83,553.68**	**$88,818.78**		**$86,288.69**	**-$2,530.09**	**$2,735.01**	

Total estimated annual income: $464

Fixed income

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
LOOMIS SAYLES BOND									
FUND CLASS INSTITUTIONAL									
Symbol LSBDX									
Trade date. Feb 10, 12	2,436 833	14.570	35,504.66	35,504 66	15 160	36,942 39	1,437 73		LT
Trade date. Feb 22, 12	2,814 001	14.570	41,000 00	41,000.00	15 160	42,660.25	1,660 25		LT
Trade date: Feb 22, 13	91 895	15 229	1,399.56	1,399.56	15 160	1,393 13	-6 43		ST
Total reinvested	620 679	14.974		9,294 55	15 160	9,409 49	114 94		
EAI $4,544 Current yield· 5 03%									
Security total	5,963 408	14.622	77,904 22	87,198 77		90,405 26	3,206 49	12,501 04	

Your assets (continued)

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
BLACKROCK GLOBAL									
ALLOCATION FUND INC									
INSTITUTIONAL									
Symbol MALOX									
Trade date. May 13, 10	1,230.346	18.039	22,195 44	22,195 44	21.430	26,366 31	4,170 87		LT
Trade date: Jan 27, 12	74 491	19.170	1,428 00	1,428 00	21 430	1,596 34	168.34		LT
Trade date· Mar 29, 12	1,634.944	19.660	32,143 00	32,143 00	21 430	35,036 85	2,893.85		LT
Trade date. Feb 22, 13	29 892	20 380	609.20	609 20	21 430	640.59	31.39		ST
Total reinvested	230 929	20.637		4,765 86	21 430	4,948.81	182.95		
EAI. $1,050 Current yield· 1 53%									
Security total	3,200 602	19 103	56,375 64	61,141 50		68,588.90	7,447.40	12,213.26	
IVY ASSET STRATEGY FUND									
CLASS I									
Symbol· IVAEX									
Trade date May 13, 10	939.755	21 960	20,637.02	20,637 02	32.280	30,335 29	9,698.27		LT
Trade date: Mar 29, 12	1,259 029	25 529	32,143 00	32,143 00	32.280	40,641 45	8,498.45		LT
Total reinvested	84.865	26.553		2,253.46	32 280	2,739.44	485.98		
EAI. $443 Current yield 0 60%									
Security total	2,283 649	24.099	52,780 02	55,033 48		73,716 18	18,682 70	20,936 16	
PIMCO ALL ASSET ALL									
AUTHORITY FUND CLASS P									
Symbol: PAUPX									
Trade date. Feb 10, 12	2,163.985	10.659	23,068.07	23,068 07	9 900	21,423 45	-1,644.62		LT

continued next page

Your assets › **Other** › **Mutual funds** (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 29, 12	3,032 358	10.600	32,143 00	32,143.00	9 900	30,020.34	-2,122.66		LT
Total reinvested	641.699	10.609		6,808 39	9 900	6,352 82	-455 57		
EAI. $3,346 Current yield 5 79%									
Security total	5,838 042	10 623	55,211.07	62,019 46		57,796 61	-4,222 85	2,585 54	
Total			**$164,366.73**	**$178,194.44**		**$200,101.69**	**$21,907.25**	**$35,734.96**	

Total estimated annual income: $4,839

Your total assets

		Value on Dec 31 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	36.93	0.01%	36.93		
Equities	**Mutual funds**	86,288.69	22.90%	88,818.78	464.00	-2,530.09
Fixed income	**Mutual funds**	90,405.26	23.99%	87,198.77	4,544.00	3,206.49
Other	**Mutual funds**	200,101.69	53.10%	178,194.44	4,839.00	21,907.25
Total		**$376,832.57**	**100.00%**	**$354,248.92**	**$9,847.00**	**$22,583.65**

376,796

Account activity this month

For more information about the price/value shown for restricted securities, see *Important information about your statement* at the end of this document

Date	Activity	Description	Your expense code	Quantity/ Face value	Price/Value ($)	Cash amount ($)	Cash and money balance ($)
Nov 29		**Cash and money balance**					**$36.93**
Dec 9	Transfer	MISCELLANEOUS ADJUSTMENT				95.00	131 93
Dec 11	Cancel Of Transfer	MISCELLANEOUS ADJUSTMENT AS OF 12/09/13				-95 00	36 93
Dec 13	Dividend	IVY ASSET STRATEGY FUND CLASS I AS OF 12/12/13				440 29	
Dec 13	Reinvestment	IVY ASSET STRATEGY FUND CLASS I DIVIDEND REINVESTED AT 31.18 NAV ON 12/12/13 AS OF 12/12/13		14.121		-440 29	36 93
Dec 16	Lt Cap Gain	INVESCO DEVLG MKTS FD CL Y LONG TERM CAPITAL GAIN AS OF 12/13/13				119 09	
Dec 16	Dividend	INVESCO DEVLG MKTS FD CL Y AS OF 12/13/13				457 63	

continued next page

Account name: JOY FAMILY FOUNDATION
Friendly account name: Checking
Account number: FF 95318 RG

Your Financial Advisor:
THE REINHOLD GROI "
716-849-0800/800-537-7398

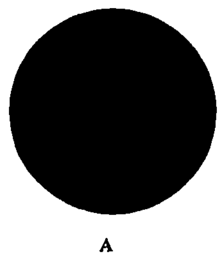
Your account balance sheet

Summary of your assets

		Value on December 31 ($)	Percentage of your account
A	Cash and money balances	2,147.64	100.00%
B	Cash alternatives	0.00	0 00%
C	Equities	0 00	0.00%
D	Fixed income	0.00	0.00%
E	Non-traditional	0.00	0.00%
F	Commodities	0.00	0.00%
G	Other	0.00	0.00%
Total assets		**$2,147.64**	**100.00%**

Value of your account **$2,147.64**

Your current asset allocation



- *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. See the *Important information about your statement* on the last two pages of this statement for details about those balances

Eye on the markets

Index	Percentage change December 2013	Percentage change Year to date
S&P 500	2.53%	32.39%
Russell 3000	2.64%	33.55%
MSCI - Europe, Australia & Far East	1.51%	23.29%
Barclays Capital U.S. Aggregate Bond Index	-0.57%	-2.02%

Interest rates on December 31, 2013

3-month Treasury bills: 0.07%

One-month LIBOR: 0.17%

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

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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 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
Cash	0 47	67,001 45					
UBS BANK USA BUS ACCT	16,865 08	1,476 81					250,000 00
Total	**$16,865.55**	**$68,478.26**					

Fixed income

Auction rate securities

Prices reflected are obtained from sources within and external to UBS These prices are indicative and may differ from the price at which the security may be bought or sold, and may not necessarily reflect the value you would receive upon liquidation The accuracy is not guaranteed. Actual market values may vary and thus gains/losses may not be accurately reflected If there is no value indicated for any ARS, it is because UBS has not been able to determine a valuation for that security This does not mean that we believe the security has no value, but rather reflects the fact that we cannot provide a price that we believe is accurate

Holding	Trade date	Face value/ Number of shares	Purchase price($)	Cost basis ($)	Price on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
EATON VANCE SENIOR FLTG RT TR MON 7-DAY SER B AUCT PFD 0 075% EAI· $19 Current yield 0.11%	Mar 21, 12	1.000	21,000 000	21,000.00	17,158 750	17,158 75	-3,841 25	LT
NEUBERGER BERMAN INT MUN 7DAY SER A AUCT PFD 0 098% EAI $2 Current yield 0 01%	Oct 06, 08	1.000	23,000.000	23,000.00	21,269.000	21,269 00	-1,731 00	LT

continued next page

Your assets › Fixed income › Auction rate securities (continued)

Holding	Trade date	Face value/ Number of shares	Purchase price($)	Cost basis ($)	Price on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
PIMCO MUNICIPAL INCOME FUND II								
(FRI) SER E AUCT PFD 0.098%								
EAI $25 Current yield. 0 12%	Apr 16, 09	1 000	18,750 000	18,750 00	21,269.000	21,269.00	2,519 00	LT
Total				**$62,750.00**		**$59,696.75**	**-$3,053.25**	

Total estimated annual income: $46

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
ABERDEEN ASIA PAC INCOME FD									
INC									
Symbol FAX									
Trade date: Jun 5, 13	900.000	6.515	5,863 77	5,863 77	5 760	5,184 00	-679 77		ST
Trade date· Jun 12, 13	200 000	6 338	1,267.70	1,267.70	5 760	1,152 00	-115 70		ST
Trade date. Oct 16, 13	1,000 000	6.048	6,048 40	6,048 40	5 760	5,760.00	-288 40		ST
EAI. $882 Current yield. 7.29%									
Security total	2,100 000	6 276	13,179 87	13,179 87		12,096.00	-1,083 87	-1,083.87	
ALLIANCEBERNSTEIN INCOME FUND									
Symbol: ACG									
Trade date Jul 29, 11	1,700 000	7.850	13,345 00	13,345 00	7 130	12,121.00	-1,224 00		LT
Trade date: Aug 8, 11	2,900 000	7 673	22,254 31	22,254.31	7.130	20,677 00	-1,577.31		LT
Trade date: Dec 31, 12	2,200 000	8 130	17,886 00	17,886 00	7.130	15,686 00	-2,200 00		ST
Trade date Jun 11, 13	400 000	7.498	2,999 44	2,999 44	7.130	2,852.00	-147 44		ST
Trade date: Jun 12, 13	100 000	7.462	746.22	746 22	7 130	713.00	-33 22		ST
Trade date. Aug 14, 13	1,800 000	6 978	12,561 84	12,561.84	7.130	12,834 00	272.16		ST
Trade date Aug 15, 13	100.000	6 932	693.22	693 22	7.130	713 00	19.78		ST
Trade date: Oct 22, 13	1,700 000	7 079	12,035.83	12,035 83	7 130	12,121.00	85.17		ST

continued next page

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
EAI: $4,524 Current yield· 5.82%									
Security total	10,900 000	7 571	82,521 86	82,521 86		77,717.00	-4,804 86	-4,804 86	
BLACKROCK INCOME TRUST INC									
Symbol. BKT									
Trade date. Aug 23, 13	1,000 000	6 350	6,350 00	6,350.00	6.480	6,480 00	130.00		ST
Trade date· Oct 22, 13	900 000	6.619	5,957 73	5,957 73	6 480	5,832.00	-125.73		ST
Trade date Dec 12, 13	1,100.000	6 379	7,017 67	7,017 67	6.480	7,128.00	110 33		ST
EAI· $1,332 Current yield. 6.85%									
Security total	3,000.000	6 442	19,325 40	19,325 40		19,440 00	114.60	114 60	
BLACKROCK MUN TARGET TERM TR									
Symbol BTT									
Trade date· Dec 11, 13	1,000 000	16 528	16,528 90	16,528 90	17.120	17,120 00	591.10	591 10	ST
EAI· $1,125 Current yield 6 57%									
BLACKROCK CORE BOND TRUST									
Symbol BHK									
Trade date. Dec 11, 13	1,000.000	12.629	12,629 90	12,629 90	12 880	12,880.00	250.10	250 10	ST
EAI $906 Current yield. 7.03%									
BLACKROCK BUILD AMER BOND									
Symbol BBN									
Trade date Jun 5, 13	325 000	20.659	6,714 44	6,714.44	19.150	6,223.75	-490.69	-490.69	ST
EAI· $514 Current yield: 8.26%									
BLACKROCK INCOME OPPORTUNITY TRUST									
Symbol BNA									
Trade date. Aug 21, 13	700 000	9.542	6,679.75	6,679 75	9.700	6,790.00	110.25		ST
Trade date. Oct 24, 13	600 000	9 868	5,921 22	5,921.22	9.700	5,820 00	-101 22		ST
EAI. $928 Current yield. 7 36%									
Security total	1,300.000	9 693	12,600 97	12,600 97		12,610.00	9 03	9 03	
CUTWATER SELECT INCOME FD									
Symbol. CSI									
Trade date: Oct 23, 13	700.000	17.939	12,557 44	12,557.44	18.310	12,817.00	259 56	259.56	ST

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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
EAI· $742 Current yield 5 79%									
EATON VANCE SHORT DURATION									
DIVERSIFIED INCOME FUND									
Symbol EVG									
Trade date Dec 11, 13	850.000	15 129	12,860 42	12,860 42	15 270	12,979.50	119 08	119 08	ST
EAI $918 Current yield 7 07%									
FEDERATED ENHANCED TREAS									
INCOME FUND									
Symbol. FTT									
Trade date Jul 27, 11	450.000	14 614	6,576 33	6,576 33	12 780	5,751 00	-825.33		LT
Trade date· Nov 16, 11	700 000	13.734	9,613 84	9,613.84	12.780	8,946.00	-667 84		LT
EAI $676 Current yield· 4 60%									
Security total	1,150 000	14 078	16,190 17	16,190 17		14,697 00	-1,493 17	-1,493 17	
FIRST TR INTER DURATION PFD									
INCOME FD									
Symbol. FPF									
Trade date Dec 11, 13	1,250.000	20 440	25,550.00	25,550 00	21 250	26,562 50	1,012 50	1,012.50	ST
EAI. $2,288 Current yield 8 61%									
INVESCO BOND FUND									
Symbol· VBF									
Trade date Dec 11, 13	725.000	17.419	12,629 43	12,629 43	17 690	12,825 25	195 82	195.82	ST
EAI. $644 Current yield 5.02%									
ISHARES 1-3 YEAR CREDIT BOND									
ETF									
Symbol CSJ									
Trade date· May 31, 12	250.000	104.590	26,147 50	26,147 50	105 460	26,365 00	217.50	217 50	LT
EAI. $308 Current yield 1 17%									
ISHARES MBS ETF									
Symbol MBB									
Trade date: Dec 28, 12	300.000	108.100	32,430 00	32,430 00	104.570	31,371 00	-1,059.00	-1,059 00	LT
EAI: $399 Current yield 1 27%									

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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
MFS INTERMEDIATE INCOME									
TR SBI									
Symbol: MIN									
Trade date· Sep 12, 13	1,250.000	5 140	6,425 63	6,425 63	5.180	6,475 00	49 37		ST
Trade date Dec 11, 13	1,250 000	5.150	6,437.50	6,437.50	5 180	6,475 00	37.50		ST
Trade date Dec 12, 13	1,300.000	5 119	6,655.74	6,655.74	5 180	6,734 00	78.26		ST
EAI· $1,851 Current yield: 9 40%									
Security total	3,800 000	5.137	19,518.87	19,518 87		19,684.00	165 13	165 13	
MFS INTERMARKET INCOME TRUST I									
SBI									
Symbol CMK									
Trade date: Jul 30, 13	800 000	8 209	6,567 76	6,567 76	8.110	6,488 00	-79 76	-79.76	ST
EAI: $336 Current yield. 5.18%									
NUVEEN BUILD AMERN BOND									
Symbol NBB									
Trade date Oct 24, 13	400.000	18 355	7,342.36	7,342.36	18 440	7,376.00	33 64	33.64	ST
EAI: $557 Current yield. 7.55%									
NUVEEN MUNICIPAL OPPORT FUND									
Symbol. NIO									
Trade date Dec 11, 13	1,275 000	12 640	16,116 00	16,116 00	13 220	16,855.50	739 50	739.50	ST
EAI $1,117 Current yield 6 63%									
VANGUARD SHORT TERM CORPORATE									
BD ETF									
Symbol. VCSH									
Trade date: Aug 23, 13	100.000	79.034	7,903.40	7,903.40	79.780	7,978 00	74.60		ST
Trade date: Aug 26, 13	375.000	79 228	29,710 84	29,710.84	79.780	29,917 50	206 66		ST
EAI $692 Current yield 1.83%									
Security total	475 000	79 188	37,614 24	37,614 24		37,895.50	281 26	281 26	
WESTERN ASSET/CLAYMORE									
INFLATION LINKED SECS &									
INCOME FUND									

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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
Symbol. WIA									
Trade date Dec 28, 12	300.000	13 118	3,935 49	3,935.49	11.420	3,426 00	-509 49		LT
Trade date Dec 31, 12	800 000	13 112	10,490 16	10,490 16	11.420	9,136 00	-1,354 16		ST
EAI. $422 Current yield 3.36%									
Security total	1,100 000	13.114	14,425 65	14,425 65		12,562.00	-1,863.65	-1,863 65	
WESTERN ASSET/CLAYMORE INFLATION LINKED OPPORTUNITIES &INCOME FD									
Symbol: WIW									
Trade date. Dec 26, 06	1,000 000	11.416	11,416 68	11,416.68	11.270	11,270.00	-146.68		LT
Trade date Jun 7, 13	100 000	12 430	1,243 04	1,243 04	11.270	1,127.00	-116 04		ST
EAI. $442 Current yield 3.57%									
Security total	1,100 000	11.509	12,659.72	12,659 72		12,397.00	-262.72	-262.72	
WESTERN ASSET INCOME FUND									
Symbol PAI									
Trade date Oct 24, 13	1,000 000	12 926	12,926 40	12,926.40	13.182	13,182.00	255.60	255.60	ST
EAI $690 Current yield. 5 23%									
WESTERN ASSET INFALTN MGMT FUND INC									
Symbol: IMF									
Trade date. Jun 19, 06	99.000	15.760	1,560 26	1,560.26	16 930	1,676.07	115.81		LT
Trade date: Aug 8, 11	1,301 000	17.418	22,661 73	22,661.73	16 930	22,025 93	-635 80		LT
EAI $840 Current yield: 3 54%									
Security total	1,400.000	17 301	24,221 99	24,221 99		23,702.00	-519.99	-519.99	
Total			**$453,259.29**	**$453,259.29**		**$445,846.00**	**-$7,413.29**	**-$7,413.29**	

Total estimated annual income: $23,133

Your assets › **Fixed income** (continued)

Preferred securities

Holding	Trade date	Number of shares	Purchase price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
GAMCO GLOBAL GOLD NAT RES & IN 5.000% PREFERRED CLBL PAR VALUE - 25 00 USD Symbol GGN.PRB Exchange· NYSE EAI. $375 Current yield 6 39%	May 6, 13	300 000	25 070	7,521 00	19 550	5,865 00	-1,656 00	ST
MVC CAPITAL INC (MVC) 7 250% DUE 01/15/23 CALLABLE Symbol. MVCB Exchange. NYSE EAI. $997 Current yield: 7.22%	Mar 13, 13	550.000	25 149	13,832 18	25.120	13,816.00	-16 18	ST
NUVEEN MD PREM INCOME MU 2 600% SER 15-1 DUE 05/01/15 Symbol. NMY.PRF Exchange· NYSE EAI· $962 Current yield. 2 59%	Jun 9, 10	3,700.000	10 018	37,068 45	10 040	37,148 00	79.55	LT
OXFORD LANE CAPITAL CORP 7 500% SER 2023 DUE 06/30/23 CALLABLE Symbol: OXLCO Exchange OTC EAI· $281 Current yield 8.18%	Jun 17, 13	150 000	24.800	3,720 00	22 897	3,434 55	-285 45	ST
SARATOGA INVESTMENT CORP 7.500% DUE 05/31/20 CALLABLE Symbol. SAQ Exchange: NYSE EAI· $281 Current yield 7.38%	May 6, 13	150.000	24 800	3,720 00	25.390	3,808 50	88.50	ST
TORTOISE ENERGY MAND PFD 4 375% DUE 12/31/27 CALLABLE Symbol TYG.PRB Exchange· NYSE EAI· $307 Current yield. 5 26%	Mar 5, 13	700 000	9 969	6,978 72	8 330	5,831.00	-1,147.72	ST
Total				**$72,840.35**		**$69,903.05**	**-$2,937.30**	

Total estimated annual income: $3,203

Your assets (continued)

Non-traditional

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
NUVEEN DIVERSIFIED CURRENCY									
OPPORTUNITIES FUND									
Symbol: JGT									
Trade date: Jun 13, 13	100 000	11.309	1,130.91	1,130.91	10 080	1,008.00	-122.91		ST
Trade date. Jun 14, 13	200 000	11 569	2,313.96	2,313.96	10 080	2,016.00	-297 96		ST
Trade date Jun 18, 13	200.000	11.504	2,300 90	2,300.90	10.080	2,016 00	-284 90		ST
Trade date Jun 20, 13	100.000	10.946	1,094 62	1,094 62	10.080	1,008 00	-86 62		ST
Trade date Aug 28, 13	600 000	10.499	6,299.64	6,299.64	10.080	6,048 00	-251.64		ST
EAI· $1,128 Current yield· 9 33%									
Security total	1,200.000	10 950	13,140 03	13,140 03		12,096 00	-1,044.03	-1,044 03	

Your total assets

		Value on Dec 31 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**68,478.26**	**10.44%**	**68,478.26**		
Fixed income	Auction rate securities	59,696 75		62,750.00	46.00	-3,053 25
	Closed end funds & Exchange traded products	445,846 00		453,259 29	23,133 00	-7,413 29
	Preferred securities	69,903.05		72,840.35	3,203.00	-2,937.30
	Total fixed Income	**575,445.80**	**87.72%**	**588,849.64**	**26,382.00**	**-13,403.84**
Non-traditional	**Closed end funds & Exchange traded products**	**12,096.00** 587,542	**1.84%**	**13,140.03**	**1,128.00**	**-1,044.03**
Total		**$656,020.06**	**100.00%**	**$670,467.93**	**$27,510.00**	**-$14,447.87**

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 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
Cash	0 00	615.77					
UBS BANK USA BUS ACCT	14,760 06	18,455 08					250,000.00
Total	**$14,760.06**	**$19,070.85**					

Equities

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
ABERDEEN SINGAPORE FD INC									
Symbol: SGF									
	500.000	---This information was unavailable---			12.770	6,385 00			
EAI. $460 Current yield: 7 20%									
ADAMS EXPRESS CO									

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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
Symbol: ADX									
Trade date Dec 1, 10	325 000	10 199	3,314.97	3,314 97	13.070	4,247 75	932 78		LT
Trade date: Jul 22, 11	450 000	11 298	5,084 19	5,084.19	13.070	5,881 50	797.31		LT
Trade date Apr 2, 12	900 000	11 079	9,971 91	9,971.91	13.070	11,763.00	1,791 09		LT
Trade date Dec 27, 12	75.000	10 455	784 13	784 13	13 070	980 25	196 12		LT
EAI $630 Current yield: 2.75%									
Security total	1,750 000	10 946	19,155.20	19,155 20		22,872.50	3,717.30	3,717.30	
ASIA PACIFIC FUND INC									
Symbol. APB									
Trade date. Nov 30, 10	280 000	11 320	3,169 60	3,169 60	10 510	2,942 80	-226 80		LT
Trade date. Mar 30, 12	300.000	10 580	3,174 00	3,174 00	10.510	3,153.00	-21 00		LT
Security total	580.000	10 937	6,343 60	6,343 60		6,095 80	-247 80	-247.80	
BLACKROCK ENERGY & RES TR									
Symbol. BGR									
Trade date Jun 26, 13	150 000	24.799	3,719 99	3,719 99	24 300	3,645 00	-74.99	-74 99	ST
EAI $243 Current yield 6.67%									
BLACKROCK CAP & INCOME STRATEGIES FUND INC									
Symbol. CII									
Trade date Dec 20, 13	500 000	13.639	6,819 75	6,819 75	13 670	6,835.00	15 25	15 25	ST
EAI $600 Current yield 8.78%									
BLACKROCK INTL GROWTH & INCOME TRUST									
Symbol: BGY									
Trade date Dec 21, 11	600.000	6 562	3,937 29	3,937 29	8 130	4,878 00	940 71		LT
Trade date. Mar 30, 12	500 000	7 438	3,719 17	3,719 17	8 130	4,065.00	345 83		LT
Trade date Dec 20, 13	625.000	7.889	4,930 94	4,930 94	8.130	5,081 25	150 31		ST
EAI. $1,157 Current yield 8.25%									
Security total	1,725.000	7 297	12,587.40	12,587 40		14,024 25	1,436 85	1,436.85	
BLACKROCK ENHANCED EQUITY DIVID TR									

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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
Symbol· BDJ									
Trade date. Sep 25, 13	500.000	7 540	3,770.00	3,770.00	7.940	3,970 00	200 00		ST
Trade date. Oct 3, 13	1,100.000	7.524	8,276 84	8,276 84	7.940	8,734 00	457 16		ST
Trade date Dec 20, 13	700.000	7 849	5,494 93	5,494 93	7 940	5,558.00	63 07		ST
EAI. $1,288 Current yield 7 05%									
Security total	2,300 000	7 627	17,541 77	17,541 77		18,262.00	720 23	720 23	
BOULDER TOTAL RETURN FUND INC									
Symbol BTF									
Trade date: Nov 7, 12	285 000	17.993	5,128.03	5,128.03	23.010	6,557 85	1,429.82		LT
Trade date: Jul 18, 13	50 000	22 470	1,123 50	1,123 50	23.010	1,150 50	27 00		ST
Security total	335 000	18 661	6,251 53	6,251.53		7,708.35	1,456 82	1,456 82	
CHINA FUND INC									
Symbol. CHN									
Trade date· Jul 25, 13	325.000	20 698	6,727 05	6,727.05	20.810	6,763 25	36.20	36.20	ST
EAI: $143 Current yield 2 11%									
COHEN & STEERS INFRASTRUCTURE FUND INC									
Symbol UTF									
Trade date Sep 23, 13	480 000	19.439	9,330 77	9,330 77	20.600	9,888.00	557.23	557.23	ST
EAI: $691 Current yield 6 99%									
COHEN & STEERS DIVID MAJORS FUND INC									
Symbol· DVM									
Trade date. Oct 16, 13	300 000	13 878	4,163 61	4,163.61	14 580	4,374 00	210 39	210 39	ST
EAI. $276 Current yield: 6.31%									
EATON VANCE ENHANCED EQUITY INCOME FUND									
Symbol. EOI									
Trade date. Mar 30, 12	720 000	10 452	7,526 11	7,526 11	13 000	9,360 00	1,833 89	1,833 89	LT
EAI $747 Current yield 7.98%									
EATON VANCE TAX MANAGED									

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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
DIVERSIFIED EQUITY INCOME FUND									
Symbol ETY									
Trade date Mar 30, 12	440.000	8 868	3,901 99	3,901.99	10.920	4,804 80	902.81	902 81	LT
EAI. $445 Current yield 9.26%									
EUROPEAN EQUITY FUND INC									
Symbol EEA									
Trade date. Mar 30, 12	901 000	6 764	6,094 75	6,094.75	8 942	8,056.74	1,961 99		LT
Trade date. Mar 30, 12	621 000	6 767	4,202 74	4,202.74	8 942	5,552.98	1,350.24		LT
Trade date Jun 22, 12	38 000	6 010	228 38	228 38	8.942	339 80	111 42		LT
Trade date Jun 22, 12	34 000	6.049	205 67	205 67	8 942	304.03	98.36		LT
Security total	1,594 000	6 732	10,731 54	10,731 54		14,253 54	3,522 01	3,522 01	
GENL AMER INV CO									
Symbol. GAM									
Trade date Apr 18, 11	70.000	27 520	1,926 40	1,926 40	35 200	2,464 00	537 60		LT
Trade date. Jul 22, 11	180.000	28.570	5,142.60	5,142.60	35 200	6,336.00	1,193 40		LT
Trade date Mar 30, 12	300 000	29.023	8,706 90	8,706.90	35 200	10,560 00	1,853 10		LT
Trade date Dec 28, 12	30 000	28 135	844 05	844 05	35.200	1,056 00	211 95		LT
Trade date. Dec 20, 13	100.000	34 439	3,443.99	3,443.99	35.200	3,520 00	76.01		ST
EAI· $143 Current yield. 0 60%									
Security total	680.000	29 506	20,063 94	20,063.94		23,936.00	3,872 06	3,872 06	
ING EMERGING MARKETS HIGH DI									
Symbol IHD									
Trade date· Dec 18, 13	200.000	11.916	2,383.34	2,383 34	11.750	2,350 00	-33 34	-33 34	ST
EAI $230 Current yield 9 79%									
ISHARES MSCI CANADA ETF									
Symbol EWC									
Trade date Jun 30, 10	10 000	25 110	251 10	251.10	29 160	291 60	40.50		LT
Trade date Aug 23, 10	100 000	26 079	2,607.99	2,607.99	29 160	2,916.00	308 01		LT
Trade date. May 31, 11	70 000	32.850	2,299 50	2,299 50	29.160	2,041.20	-258.30		LT
Trade date Apr 2, 12	275.000	28.810	7,922 75	7,922 75	29 160	8,019.00	96.25		LT

continued next page

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 15, 13	100 000	28 700	2,870 00	2,870 00	29.160	2,916 00	46 00		ST
EAI: $384 Current yield· 2 37%									
Security total	555.000	28.741	15,951 34	15,951 34		16,183.80	232 46	232 46	
ISHARES MSCI JAPAN ETF									
Symbol· EWJ									
Trade date. Nov 24, 09	750 000	9 249	6,937 05	6,937 05	12 139	9,104.25	2,167.20		LT
Trade date· Feb 28, 13	150 000	10.239	1,535 94	1,535.94	12.139	1,820.85	284 91		ST
EAI. $122 Current yield. 1.12%									
Security total	900 000	9 414	8,472 99	8,472 99		10,925 10	2,452.11	2,452 11	
ISHARES MSCI UNTD KINGDOM ETF									
Symbol: EWU									
Trade date Nov 24, 09	270.000	16 769	4,527.74	4,527.74	20 880	5,637 60	1,109 86	1,109 86	LT
EAI: $135 Current yield 2 39%									
ISHARES MSCI EMU ETF									
Symbol. EZU									
Trade date: Feb 8, 13	150.000	33.680	5,052 00	5,052 00	41 380	6,207.00	1,155 00		ST
Trade date. Mar 1, 13	70 000	32 937	2,305 63	2,305 63	41 380	2,896 60	590.97		ST
EAI: $203 Current yield. 2 23%									
Security total	220.000	33 444	7,357.63	7,357.63		9,103 60	1,745.97	1,745.97	
ISHARES MSCI PAC EX JAPAN ETF									
Symbol EPP									
Trade date Oct 4, 12	65 000	45 080	2,930 20	2,930 20	46 730	3,037.45	107.25	107 25	LT
EAI: $124 Current yield· 4 08%									
JAPAN EQUITY FUND INC									
Symbol. JEQ									
Trade date. Nov 24, 09	520 000	4.820	2,506 40	2,506.40	6 990	3,634.80	1,128 40		LT
Trade date Mar 30, 12	500 000	5.680	2,840 00	2,840.00	6.990	3,495 00	655 00		LT
EAI $152 Current yield 2 13%									
Security total	1,020 000	5 242	5,346.40	5,346 40		7,129.80	1,783.40	1,783 40	
KOREA EQUITY FUND									
Symbol KEF									

continued next page

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 Nov 24, 09	262 000	8 817	2,310 11	2,310 11	8.320	2,179 84	-130 27		LT
Trade date. Nov 30, 11	50 000	9 335	466 79	466.79	8.320	416 00	-50.79		LT
Trade date: Nov 30, 11	8.000	9 336	74.69	74 69	8.320	66.56	-8.13		LT
Security total	320 000	8 911	2,851 59	2,851.59		2,662.40	-189 19	-189 19	
LAZARD GLOBAL TOTAL RETURN &									
INCOME FUND INC									
Symbol. LGI									
Trade date. Mar 30, 12	110 000	14.769	1,624 66	1,624.66	17 620	1,938 20	313.54	313 54	LT
EAI $120 Current yield 6 19%									
LIBERTY ALL STAR EQUITY									
FUND SBI									
Symbol USA									
Trade date Nov 24, 09	685.000	4 035	2,764.00	2,764 00	5.970	4,089 45	1,325 45		LT
Trade date Jul 26, 11	400 000	5 222	2,089.00	2,089.00	5.970	2,388 00	299 00		LT
Trade date· Jul 26, 11	312 000	5 230	1,632 03	1,632 03	5.970	1,862 64	230.61		LT
Trade date· Sep 17, 12	30.000	4 729	141 88	141 88	5 970	179 10	37 22		LT
Trade date Sep 17, 12	23 000	4 819	110 84	110 84	5.970	137 31	26.47		LT
EAI $580 Current yield 6.70%									
Security total	1,450 000	4.647	6,737.75	6,737 75		8,656.50	1,918.75	1,918.75	
MACQUARIE GLOBAL									
INFRASTRUCTURE TOTAL RETURN									
FUND INC									
Symbol MGU									
Trade date· Mar 30, 13	126 000	18 348	2,311 95	2,311.95	22.100	2,784 60	472.65	472 65	ST
EAI $176 Current yield 6.32%									
NEW GERMANY FD INC									
Symbol· GF									
Trade date Mar 30, 12	423.000	15.054	6,368 26	6,368 26	19 930	8,430 39	2,062 13		LT
Trade date Mar 30, 12	262.000	15 063	3,946.62	3,946.62	19 930	5,221.66	1,275.04		LT
Trade date· Jan 28, 13	25 000	16.925	423.13	423.13	19.930	498.25	75.12		ST
EAI: $466 Current yield 3.29%									

continued next page

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
Security total	710 000	15 124	10,738 01	10,738 01		14,150 30	3,412 29	3,412.29	
ROYCE VALUE TRUST INC									
Symbol· RVT									
Trade date Mar 30, 12	265.000	13.910	3,686 15	3,686.15	16.010	4,242 65	556.50		LT
Trade date Jun 25, 12	19 000	12.180	231 42	231.42	16.010	304 19	72.77		LT
Trade date· Sep 24, 12	17 000	13.180	224 06	224.06	16 010	272 17	48.11		LT
Trade date Dec 24, 12	24 000	12.980	311 52	311.52	16.010	384 24	72 72		LT
EAI· $273 Current yield. 5 25%									
Security total	325.000	13.702	4,453 15	4,453.15		5,203 25	750.10	750 10	
SPDR S&P 500 ETF TR									
Symbol· SPY									
Trade date. Nov 24, 09	185.000	110 659	20,471 95	20,471.95	184 690	34,167 65	13,695 70		LT
Trade date. Feb 9, 12	30.000	135 400	4,062 00	4,062 00	184 690	5,540 70	1,478.70		LT
Trade date· Mar 30, 12	150 000	140.729	21,109 43	21,109.43	184 690	27,703 50	6,594 07		LT
Trade date Oct 4, 12	50 000	146 040	7,302.00	7,302.00	184 690	9,234.50	1,932 50		LT
Trade date: Jan 28, 13	20 000	150.102	3,002 05	3,002 05	184.690	3,693.80	691.75		ST
Trade date· Feb 8, 13	20.000	151.760	3,035 20	3,035.20	184 690	3,693 80	658.60		ST
Trade date Mar 13, 13	10.000	156.010	1,560.10	1,560 10	184.690	1,846.90	286 80		ST
Trade date. Jun 28, 13	10.000	161.040	1,610.40	1,610 40	184 690	1,846.90	236.50		ST
Trade date. Aug 12, 13	130.000	169.046	21,976 02	21,976 02	184.690	24,009.70	2,033 68		ST
Trade date. Oct 25, 13	20.000	175.630	3,512.60	3,512 60	184.690	3,693 80	181.20		ST
EAI. $2,094 Current yield 1.81%									
Security total	625 000	140.227	87,641 75	87,641.75		115,431.25	27,789.50	27,789.50	
SWISS HELVETIA FUND INC									
Symbol SWZ									
Trade date. Nov 25, 09	78.000	12 012	937.00	937 00	13 950	1,088.10	151 10		LT
Trade date Sep 30, 10	200 000	12.599	2,519 96	2,519.96	13 950	2,790 00	270.04		LT
Trade date. May 31, 11	200 000	15 140	3,028.00	3,028.00	13 950	2,790 00	-238.00		LT
Trade date: Mar 30, 12	1,000.000	11 206	11,206 20	11,206 20	13 950	13,950 00	2,743.80		LT
EAI· $98 Current yield. 0 48%									
Security total	1,478 000	11.970	17,691.16	17,691 16		20,618.10	2,926 94	2,926 94	

continued next page

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
TEMPLETON DRAGON FUND INC									
Symbol TDF									
Trade date Jun 6, 13	95 000	26.188	2,487.93	2,487.93	25.880	2,458 60	-29.33	-29.33	ST
EAI. $100 Current yield 4 07%									
TRI CONTL CORP									
Symbol TY									
Trade date Nov 24, 09	405 000	11 294	4,574.07	4,574 07	19 980	8,091 90	3,517.83		LT
Trade date. Apr 2, 12	314 000	16.050	5,039.70	5,039.70	19 980	6,273.72	1,234.02		LT
Trade date: Apr 3, 12	311.000	16 020	4,982 22	4,982 22	19.980	6,213.78	1,231 56		LT
EAI $670 Current yield 3 26%									
Security total	1,030 000	14.171	14,595.99	14,595 99		20,579.40	5,983.41	5,983 41	
VANGUARD INDEX FUNDS VANGUARD SMALL CAP ETF									
Symbol. VB									
Trade date Mar 30, 12	125 000	79 053	9,881.63	9,881.63	109.950	13,743.75	3,862.12		LT
Trade date. Oct 4, 12	25 000	80.610	2,015 25	2,015.25	109 950	2,748 75	733 50		LT
Trade date. Jan 24, 13	45 000	86.267	3,882 02	3,882 02	109.950	4,947.75	1,065 73		ST
Trade date Jan 25, 13	45 000	86.187	3,878.45	3,878 45	109.950	4,947 75	1,069 30		ST
Trade date Mar 13, 13	30.000	90.174	2,705.24	2,705 24	109 950	3,298.50	593 26		ST
EAI $384 Current yield. 1 29%									
Security total	270 000	82.824	22,362 59	22,362.59		29,686.50	7,323.91	7,323.91	
VANGUARD INDEX FUNDS VANGUARD MID CAP ETF									
Symbol VO									
Trade date Nov 24, 09	65.000	57 386	3,730.11	3,730 11	110 020	7,151.30	3,421 19		LT
Trade date: Mar 30, 12	115.000	81.670	9,392.05	9,392 05	110.020	12,652 30	3,260.25		LT
EAI $229 Current yield 1.16%									
Security total	180 000	72 901	13,122 16	13,122 16		19,803 60	6,681.44	6,681.44	
VANGUARD INDEX FDS S&P 500 ETF									
Symbol VOO									
Trade date. Aug 1, 12	67 000	127 397	8,535 60	8,535.60	169 150	11,333.05	2,797.45		LT

continued next page

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 Aug 15, 12	37.000	130 849	4,841.42	4,841 42	169 150	6,258.55	1,417.13		LT
Trade date: Sep 10, 12	115 000	131 560	15,129 40	15,129 40	169 150	19,452 25	4,322.85		LT
Trade date. Sep 13, 12	70.000	132 293	9,260.55	9,260.55	169.150	11,840 50	2,579.95		LT
Trade date Sep 20, 12	90 000	134 110	12,069 97	12,069 97	169.150	15,223 50	3,153 53		LT
Trade date. Jan 9, 13	22.000	136 840	3,010.50	3,010 50	169.150	3,721 30	710 80		ST
Trade date Jan 30, 13	92 000	138 548	12,746 50	12,746 50	169 150	15,561.80	2,815 30		ST
Trade date' Mar 8, 13	20 000	142 040	2,840 80	2,840.80	169 150	3,383 00	542 20		ST
Trade date. Mar 22, 13	75 000	142 197	10,664 79	10,664 79	169.150	12,686 25	2,021 46		ST
Trade date: Apr 1, 13	26 000	142 814	3,713.17	3,713 17	169 150	4,397.90	684.73		ST
Trade date Apr 2, 13	44 000	143 783	6,326 46	6,326.46	169.150	7,442 60	1,116.14		ST
Trade date' Apr 16, 13	12.000	149.979	1,799.75	1,799.75	169.150	2,029 80	230 05		ST
Trade date May 2, 13	10 000	145 805	1,458 05	1,458 05	169.150	1,691.50	233.45		ST
Trade date' Oct 2, 13	37.000	156.709	5,798 25	5,798 25	169.150	6,258 55	460 30		ST
Trade date Oct 15, 13	33 000	142 127	4,690 20	4,690 20	169.150	5,581 95	891.75		ST
Trade date. Oct 29, 13	20 000	162 101	3,242.03	3,242.03	169 150	3,383.00	140.97		ST
Trade date Dec 23, 13	30 000	168 030	5,040.90	5,040 90	169.150	5,074.50	33 60		ST
Trade date. Dec 26, 13	35 000	168 157	5,885 52	5,885 52	169.150	5,920.25	34.73		ST
EAI' $2,595 Current yield. 1 84%									
Security total	835.000	140 184	117,053 86	117,053 86		141,240.25	24,186.39	24,186.39	
VANGUARD FTSE PAC ETF									
Symbol. VPL									
Trade date. Nov 24, 09	135 000	50.495	6,816.89	6,816.89	61.300	8,275.50	1,458.61		LT
Trade date Sep 10, 12	100 000	50 320	5,032 00	5,032.00	61 300	6,130 00	1,098 00		LT
Trade date. Dec 10, 13	100.000	60 629	6,062 98	6,062 98	61 300	6,130.00	67.02		ST
EAI' $512 Current yield. 2 49%									
Security total	335 000	53 468	17,911 87	17,911 87		20,535 50	2,623.63	2,623 63	
VANGUARD FTSE EUROPE ETF									
Symbol VGK									
Trade date: Nov 24, 09	140 000	51.797	7,251 58	7,251 58	58 800	8,232.00	980 42		LT
Trade date: Sep 21, 12	125 000	48.080	6,010.00	6,010 00	58 800	7,350.00	1,340.00		LT
Trade date' Oct 4, 12	65.000	46 390	3,015 35	3,015 35	58 800	3,822 00	806 65		LT

continued next page

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 Feb 28, 13	50 000	49.448	2,472 44	2,472 44	58 800	2,940.00	467 56		ST
Trade date: Mar 5, 13	75.000	49 970	3,747 75	3,747 75	58 800	4,410 00	662.25		ST
Trade date Mar 15, 13	25 000	50.750	1,268 75	1,268 75	58 800	1,470.00	201.25		ST
Trade date: May 20, 13	25 000	52.666	1,316 66	1,316.66	58 800	1,470 00	153 34		ST
Trade date: Jul 8, 13	25 000	48.846	1,221.16	1,221 16	58.800	1,470.00	248 84		ST
EAI. $863 Current yield 2 77%									
Security total	530 000	49 630	26,303 69	26,303 69		31,164 00	4,860 31	4,860 31	
VANGUARD FTSE EMERGING MARKETS									
ETF									
Symbol· VWO									
Trade date· Nov 24, 09	40.000	40 849	1,633 97	1,633 97	41 140	1,645 60	11 63		LT
Trade date Apr 2, 12	100.000	43 966	4,396 65	4,396 65	41 140	4,114 00	-282.65		LT
Trade date Sep 13, 12	120 000	41.624	4,994 99	4,994 99	41 140	4,936 80	-58 19		LT
Trade date: Oct 4, 12	70 000	42 223	2,955 65	2,955.65	41 140	2,879.80	-75 85		LT
Trade date. Jan 29, 13	200.000	44 720	8,944 00	8,944.00	41 140	8,228 00	-716 00		ST
EAI. $596 Current yield: 2.73%									
Security total	530 000	43 255	22,925 26	22,925 26		21,804.20	-1,121.06	-1,121 06	
VANGUARD FTSE DEVELOPED MKT									
ETF									
Symbol· VEA									
Trade date· Sep 13, 12	120.000	34 061	4,087.37	4,087 37	41 680	5,001 60	914 23		LT
Trade date. Mar 12, 13	100 000	36.780	3,678.00	3,678 00	41 680	4,168.00	490.00		ST
Trade date Mar 15, 13	200 000	37 200	7,440.00	7,440 00	41.680	8,336.00	896.00		ST
Trade date Mar 22, 13	70.000	36 680	2,567 60	2,567.60	41 680	2,917 60	350.00		ST
Trade date Oct 25, 13	330 000	41.155	13,581 18	13,581 18	41 680	13,754 40	173 22		ST
EAI $888 Current yield: 2 60%									
Security total	820 000	38 237	31,354.15	31,354 15		34,177 60	2,823.45	2,823 45	
ZWEIG FD INC									
Symbol· ZF									
Trade date Oct 8, 13	600 000	13 420	8,052.00	8,052.00	14 860	8,916 00	864.00	864 00	ST
EAI. $559 Current yield· 6.27%									

continued next page

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
Total			**$592,053.41**	**$592,053.41**		**$715,385.09**	**$116,946.69**	**$116,946.69**	

Total estimated annual income: $19,376

Other

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 notinclude 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
JPMORGAN CHINA REGION FD INC									
Symbol JFC									
Trade date Feb 9, 12	300 000	12.850	3,855.00	3,855 00	15 155	4,546 50	691 50		LT
Trade date. Mar 30, 12	400.000	12.666	5,066 48	5,066.48	15 155	6,062.00	995 52		LT
EAI. $90 Current yield· 0 85%									
Security total	700 000	12 745	8,921.48	8,921 48		10,608.50	1,687 02	1,687.02	

Your total assets

		Value on Dec 31 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	19,070.85	2.56%	19,070.85		
Equities	*** Closed end funds & Exchange traded products**	715,385.09	96.02%	592,053.41	19,376.00	116,946.69
Other	**Closed end funds & Exchange traded products**	10,608.50 725,994	1.42%	8,921.48 600,974.89	90.00	1,687.02
Total		**$745,064.44**	**100.00%**	**$620,045.74**	**$19,466.00**	**$118,633.71**

* Missing cost basis information

Form **8868**
(Rev. January 2014)

Department of the Treasury
Internal Revenue Service

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 ▶ ☒
- 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.

Type or print

File by the due date for filing your return See instructions

Name of exempt organization or other filer, see instructions.
JOY FAMILY FOUNDATION

Enter filer's identifying number
Employer identification number (EIN) or
16-6335211

Number, street, and room or suite no. If a P.O. box, see instructions.
S 6086 OLD LAKE SHORE ROAD

Social security number (SSN)

City, town or post office, state, and ZIP code. For a foreign address, see instructions.
LAKE VIEW, NY 14085

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

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 ▶ PAULA JOY REINHOLD
S 6086 OLD LAKE SHORE ROAD - LAKE VIEW, NY 14085

Telephone No. ▶ 716-627-5868 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 AUGUST 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 ______________ , and ending ______________ .

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 Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	**3a**	$ 4,185.
b	If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	**3b**	$ 3,185.
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**	$ 1,000.

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.

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a				
b	PUBLICLY TRADED SECURITY			
c	PUBLICLY TRADED SECURITY			
d	PUBLICLY TRADED SECURITY			
e	PUBLICLY TRADED SECURITY			
f	PUBLICLY TRADED SECURITY			
g	PUBLICLY TRADED SECURITY			
h	PUBLICLY TRADED SECURITY			
i	PUBLICLY TRADED SECURITY			
j	PUBLICLY TRADED SECURITY			
k	PUBLICLY TRADED SECURITY			
l	PUBLICLY TRADED SECURITY			
m	PUBLICLY TRADED SECURITY			
n	PUBLICLY TRADED SECURITY			
o	PUBLICLY TRADED SECURITY			

	(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				-8,442.
b				-12,663.
c	47,583.		45,597.	1,986.
d	3,451.		3,252.	199.
e	184,623.		146,639.	37,984.
f	396.		413.	-17.
g	36,087.		29,447.	6,640.
h	27,443.		27,538.	-95.
i	37,979.		38,048.	-69.
j	47,273.		48,093.	-820.
k	186,927.		182,836.	4,091.
l	10,515.		10,810.	-295.
m	154,680.		151,013.	3,667.
n	1,123.		1,137.	-14.
o	10,988.		11,011.	-23.

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
	(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				-8,442.
b				-12,663.
c				1,986.
d				199.
e				37,984.
f				-17.
g				6,640.
h				-95.
i				-69.
j				-820.
k				4,091.
l				-295.
m				3,667.
n				-14.
o				-23.

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter "-0-" in Part I, line 7 } 2

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

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CONTINUATION FOR 990-PF, PART IV
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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	CAPITAL GAINS DIVIDENDS			
b				
c				
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	18,814.			18,814.
b				
c				
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
	(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				18,814.
b				
c				
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter "-0-" in Part I, line 7 }	2	50,943.
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8	3	N/A