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Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

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

OMB No 1545-0052

2013

Open to Public Inspection

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

Name of foundation
GARY PETERS FAMILY FOUNDATION INC

A Employer identification number
20-1067444

Number and street (or P O box number if mail is not delivered to street address) Room/suite
6013 LE LAC ROAD

B Telephone number (see instructions)
(561) 994-7330

City or town, state or province, country, and ZIP or foreign postal code
BOCA RATON, FL 33496

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 ▶ ☐

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

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

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶$ 8,643,877

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

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

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

			(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)	240,000			
	2	Check ▶ ☑ if the foundation is **not** required to attach Sch B				
	3	Interest on savings and temporary cash investments	171,837	171,837		
	4	Dividends and interest from securities	194,830	194,828		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	-290,495			
	b	Gross sales price for all assets on line 6a 3,232,823				
	7	Capital gain net income (from Part IV, line 2)		31,963		
	8	Net short-term capital gain				
	9	Income modifications				
	10a	Gross sales less returns and allowances				
	b	Less Cost of goods sold				
	c	Gross profit or (loss) (attach schedule)				
	11	Other income (attach schedule)				
	12	**Total.** Add lines 1 through 11	316,172	398,628		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc				
	14	Other employee salaries and wages	72,500	72,500		
	15	Pension plans, employee benefits	11,954	11,954		
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach schedule)	3,500	3,500		
	c	Other professional fees (attach schedule)				
	17	Interest				
	18	Taxes (attach schedule) (see instructions)	558	558		
	19	Depreciation (attach schedule) and depletion	1,650			
	20	Occupancy	35,277	35,277		
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule)	76,447	274,839		
	24	**Total operating and administrative expenses.** Add lines 13 through 23	201,886	398,628		0
	25	Contributions, gifts, grants paid	330,050			330,050
	26	**Total expenses and disbursements.** Add lines 24 and 25	531,936	398,628		330,050
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	-215,764			
	b	**Net investment income** (if negative, enter -0-)		0		
	c	**Adjusted net income** (if negative, enter -0-)				

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

			Beginning of year (a) Book Value	End of year (b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing			
	2	Savings and temporary cash investments	602,106	371,071	371,071
	3	Accounts receivable ▶ Less allowance for doubtful accounts ▶			
	4	Pledges receivable ▶ Less allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶ Less allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)	154,958	151,224	154,291
	b	Investments—corporate stock (attach schedule)	1,395,839	511,964	544,700
	c	Investments—corporate bonds (attach schedule)	2,861,353	3,490,903	3,524,888
	11	Investments—land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	3,517,670	3,795,238	4,036,781
	14	Land, buildings, and equipment basis ▶ 20,659 Less accumulated depreciation (attach schedule) ▶ 12,085	10,224	8,574	8,574
	15	Other assets (describe ▶)	3,572	3,572	3,572
	16	**Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I)	8,545,722	8,332,546	8,643,877
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)			
	23	**Total liabilities** (add lines 17 through 22)		0	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here** ▶ ☐ **and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☑ **and complete lines 27 through 31.**			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	8,545,722	8,332,546	
	30	**Total net assets or fund balances** (see page 17 of the instructions)	8,545,722	8,332,546	
	31	**Total liabilities and net assets/fund balances** (see page 17 of the instructions)	8,545,722	8,332,546	

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	8,545,722
2	Enter amount from Part I, line 27a	2	-215,764
3	Other increases not included in line 2 (itemize) ▶	3	2,588
4	Add lines 1, 2, and 3	4	8,332,546
5	Decreases not included in line 2 (itemize) ▶	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	8,332,546

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				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a				
b				
c				
d				
e				

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

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	31,963
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8		3	

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☐ No
If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

1 Enter the appropriate amount in each column for each year, see page 18 of the instructions before making any entries

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2012			
2011			
2010			
2009			
2008			

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

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

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)

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

Part VII-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		No
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)?	1b		No
	*If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year **(1)** On the foundation ▶ $ ________ **(2)** On foundation managers ▶ $ ________			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ________			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.*	2		No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		No
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		No
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either ● By language in the governing instrument, or ● By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes	
7	Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col. (c), and Part XV.*	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶FL			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? *If "No," attach explanation*	8b	Yes	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		No
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses.*	10		No

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

				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		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)		12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?		13	Yes	

Website address ▶N/A

14 The books are in care of ▶GARY PETERS Telephone no ▶(561) 994-7330

Located at ▶6013 LE LAC ROAD BOCA RATON FL ZIP+4 ▶33496

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** —Check here ▶ ☐
and enter the amount of tax-exempt interest received or accrued during the year ▶ | 15 |

			Yes	No
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		No
	See instructions for exceptions and filing requirements for Form TD F 90-22 1 If "Yes", enter the name of the foreign country ▶			

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

				Yes	No
	File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.				
1a	During the year did the foundation (either directly or indirectly)				
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ Yes ☑ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes ☑ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ Yes ☑ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☐ Yes ☑ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ Yes ☑ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days).	☐ Yes ☑ No			
b	If any answer is "Yes" to 1a(1)–(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)?		1b		
	Organizations relying on a current notice regarding disaster assistance check here. ▶ ☐				
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?		1c		
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))				
a	At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013?	☐ Yes ☑ No			
	If "Yes," list the years ▶ 20____, 20____, 20____, 20____				
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement—see instructions)		2b		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ 20____, 20____, 20____, 20____				
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☑ No			
b	If "Yes," did it have excess business holdings in 2013 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969, **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.)*		3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?		4b		No

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

5a	During the year did the foundation pay or incur any amount to			
	(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ **Yes** ☑ **No**			
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ **Yes** ☑ **No**			
	(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ **Yes** ☑ **No**			
	(4) Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ **Yes** ☑ **No**			
	(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ **Yes** ☑ **No**			
b	If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)?	**5b**		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ **Yes** ☐ **No**			
	If "Yes," attach the statement required by Regulations section 53.4945–5(d).			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ **Yes** ☑ **No**			
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	**6b**		**No**
	If "Yes" to 6b, file Form 8870.			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ **Yes** ☑ **No**			
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?	**7b**		

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

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

(a) Name and address	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation **(If not paid, enter -0-)**	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances
See Additional Data Table				

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

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

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

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

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

(a) Name and address of each person paid more than $50,000	**(b)** Type of service	**(c)** Compensation
NONE		
Total number of others receiving over $50,000 for professional services. . . . . ▶		

Part IX-A Summary of Direct Charitable Activities

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

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

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

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities	1a	7,889,129
b	Average of monthly cash balances	1b	521,812
c	Fair market value of all other assets (see instructions)	1c	0
d	**Total** (add lines 1a, b, and c)	1d	8,410,941
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e		
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	8,410,941
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	126,164
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	8,284,777
6	**Minimum investment return.** Enter 5% of line 5	6	414,239

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	414,239
2a	Tax on investment income for 2013 from Part VI, line 5 — 2a		
b	Income tax for 2013 (This does not include the tax from Part VI) — 2b		
c	Add lines 2a and 2b	2c	
3	Distributable amount before adjustments Subtract line 2c from line 1	3	414,239
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	414,239
6	Deduction from distributable amount (see instructions)	6	
7	**Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1	7	414,239

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	330,050
b	Program-related investments—total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	330,050
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions)	5	
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	330,050

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					414,239
2 Undistributed income, if any, as of the end of 2013					
a Enter amount for 2012 only.					
b Total for prior years 20___, 20___, 20___					
3 Excess distributions carryover, if any, to 2013					
a From 2008.	150,794				
b From 2009.	444,631				
c From 2010.	46,848				
d From 2011.					
e From 2012.					
f Total of lines 3a through e.		642,273			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ $ 330,050					
a Applied to 2012, but not more than line 2a					
b Applied to undistributed income of prior years (Election required—see instructions).					
c Treated as distributions out of corpus (Election required—see instructions).					
d Applied to 2013 distributable amount.					330,050
e Remaining amount distributed out of corpus					
5 Excess distributions carryover applied to 2013 *(If an amount appears in column (d), the same amount must be shown in column (a).)*		84,189			84,189
6 Enter the net total of each column as indicated below:					
a Corpus Add lines 3f, 4c, and 4e Subtract line 5		558,084			
b Prior years' undistributed income Subtract line 4b from line 2b					
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.					
d Subtract line 6c from line 6b Taxable amount —see instructions					
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions					
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014					0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)					
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions) . . .		66,605			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a		491,479			
10 Analysis of line 9					
a Excess from 2009. . . .	444,631				
b Excess from 2010. . . .	46,848				
c Excess from 2011. . . .					
d Excess from 2012. . . .					
e Excess from 2013. . . .					

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

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

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

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

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

1 Information Regarding Foundation Managers:

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

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

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

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

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

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

c Any submission deadlines

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

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
See Additional Data Table				
Total . . . . ▶ **3a**				330,050
b *Approved for future payment*				
Total . . . . ▶ **3b**				

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)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	Related or exempt function income (See instructions)
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments. . . .					
3 Interest on savings and temporary cash investments					171,837
4 Dividends and interest from securities. . . .			14	2	194,828
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	31,963	-322,458
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). .				31,965	44,207

13 Total. Add line 12, columns (b), (d), and (e). **13** 76,172

(See worksheet in line 13 instructions to verify calculations)

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

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

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

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

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

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

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

b If "Yes," complete the following schedule

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

Sign Here

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

******	2014-05-22	******
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
SCOTT T RHINE		2014-08-06		P00035886
Firm's name ▶ HINKLE RICHTER & RHINE LLP			Firm's EIN ▶ 59-1949459	
Firm's address ▶ 777 E ATLANTIC AVE STE 226 DELRAY BEACH, FL 334835359			Phone no (561) 314-2201	

Form 990PF Part VIII Line 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
GARY PETERS 6013 LE LAC ROAD BOCA RATON, FL 33496	DIRECTOR 2 00	0	0	0
CECILIA PETERS 6013 LE LAC ROAD BOCA RATON, FL 33496	DIRECTOR 1 00	0	0	0
WILLIAM GREGORY PETERS 2061 NW 25TH STREET BOCA RATON, FL 33431	DIRECTOR 1 00	0	0	0
JENNIFER SIMONS 1859 WILDWOOD LANE DEERFIELD BEACH, FL 33442	DIRECTOR 1 00	0	0	0
STEVEN MARK PETERS 3801 NW 5TH TERRACE BOCA RATON, FL 33431	DIRECTOR 0 00	0	0	0

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
4KIDS OF SOUTH FLORIDA 827 S STATE ROAD 7 NORTH LAUDERDALE, FL 33068	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	50,000
BOCA HELPING HANDS 1500 NW 1ST COURT BOCA RATON, FL 33432	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	21,200
FIREWALL MINISTRIES 13044 SPRING LAKE DRIVE FORT LAUDERDALE, FL 333302669	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	20,000
PALM BEACH COUNTY YOUTH FOR CHRIST 800 NORTHPOINT PARKWAY WEST PALM BEACH, FL 33407	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	18,200
SAINT ANDREWS SCHOOL 3900 JOG ROAD BOCA RATON, FL 33434	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	26,000
VANDERBILT UNIVERSITY 2301 VANDERBILT PLACE NASHVILLE, TN 37240	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	100,000
SECOND HARVEST FOOD BANK 331 GREAT CIRCLE ROAD NASHVILLE, TN 37228	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	13,500
WAYNE BARTON STUDY CENTER 269 NE 14TH STREET BOCA RATON, FL 33432	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	2,000
YOUNG LIFE POOX 520 COLORADO SPRINGS, CO 80901	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	5,000
ORDER OF ST JOHN OF JERUSALEM 790 ANDREWS AVE 301-C DELRAY BEACH, FL 33483	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	2,500
AFRICAN BIBLE COLLEGE PO BOX 103 CLINTON, MS 39060	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	1,200
CRU PO BOX 628222 ORLANDO, FL 32862	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	750
FAMILY PROMISE 840 GEORGE BUSH BLVD DELRAY BEACH, FL 33483	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	10,000
FLORENCE FULLER CHILD DEV 200 NE 14TH ST BOCA RATON, FL 33498	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	2,500
FLORIDA STATE UNIVERSITY 600 W COLLEGE AVE TALLAHASSEE, FL 32306	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	1,000
Total . . . . ▶ **3a**				330,050

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
HIGH POINT UNIVERSITY 833 MONTLIEU AVE HIGH POINT,NC 27262	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	10,000
JUNIOR LEAGUE OF BOCA RATON 261 NW 13TH ST BOCA RATON,FL 33432	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	2,400
JUNIOR ACHIEVEMENT 1130 COCONUT CREEK BLVD COCONUT CREEK,FL 33066	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	850
OPERATION STAND DOWN NASHVILLE 1125 12TH AVENUE SOUTH NASHVILLE,TN 37203	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	3,000
PALM BEACH COUNTY YOUTH FOR CHRIST 800 NORTHPOINT PKWY 202 WEST PALM BEACH,FL 33407	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	1,200
TOMORROW'S PROMISE 601 N CONGRESS AVE 110 DELRAY BEACH,FL 33445	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	20,000
WESTMINSTER ACADEMY 5601 N FEDERAL HWY FORT LAUDERDALE,FL 33308	NONE	PUBLIC	CHARITABLE/GENERAL PURPOSE	18,750
Total . . . . ▶ **3a**				330,050

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Form **4562**

Department of the Treasury
Internal Revenue Service (99)

Depreciation and Amortization
(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
GARY PETERS FAMILY FOUNDATION INC	INDIRECT DEPRECIATION	20-1067444

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 (see instructions)	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 (see instructions)	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 **)** (See instructions)

14	Special depreciation allowance for qualified property (other than listed property) placed in service during the tax year (see instructions)	14	
15	Property subject to section 168(f)(1) election	15	
16	Other depreciation (including ACRS)	16	714

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	936
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 instructions	22	1,650
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	

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 (see instructions)						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 1		(b) Vehicle 2		(c) Vehicle 3		(d) Vehicle 4		(e) Vehicle 5		(f) Vehicle 6	
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 (see instructions)

	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 vehicles, and retain the information received?		
41 Do you meet the requirements concerning qualified automobile demonstration use? (See instructions)		

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 (see instructions)					
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	

TY 2013 Accounting Fees Schedule

Name: GARY PETERS FAMILY FOUNDATION INC

EIN: 20-1067444

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INDIRECT ACCOUNTING FEES	3,500	3,500		

TY 2013 Compensation Explanation

Name: GARY PETERS FAMILY FOUNDATION INC

EIN: 20-1067444

Person Name	Explanation
GARY PETERS	
CECILIA PETERS	
WILLIAM GREGORY PETERS	
JENNIFER SIMONS	
STEVEN MARK PETERS	

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

TY 2013 Depreciation Schedule

Name: GARY PETERS FAMILY FOUNDATION INC

EIN: 20-1067444

Description of Property	Date Acquired	Cost or Other Basis	Prior Years' Depreciation	Computation Method	Rate / Life (# of years)	Current Year's Depreciation Expense	Net Investment Income	Adjusted Net Income	Cost of Goods Sold Not Included
IMPROVEMENTS	2009-06-30	10,708	2,496	S/L	15 0000	714			
FURNITURE	2008-02-01	445	346	200DB	7 0000	40			
PRINTER	2008-02-14	400	311	200DB	7 0000	35			
SHELVES	2008-03-13	530	412	200DB	7 0000	47			
SHELVES	2008-04-16	530	412	200DB	7 0000	47			
OFFICE FURNITURE	2010-10-07	1,073	544	200DB	7 0000	151			
TELEPHONE	2008-02-14	2,017	1,567	200DB	7 0000	180			
REFRIGERATOR	2008-03-04	216	168	200DB	7 0000	19			
COPIER/PRINTER/SCANNER	2008-03-13	559	527	200DB	5 0000	32			
LASER PRINTER	2008-04-04	219	206	200DB	5 0000	13			
DELL COMPUTER	2008-05-14	1,462	1,378	200DB	5 0000	84			
DESKTOP AND LAPTOP	2009-02-13	1,370	1,133	200DB	5 0000	158			
COMPUTER	2009-05-17	915	757	200DB	5 0000	105			
EQUIPMENT	2009-05-17	215	178	200DB	5 0000	25			

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

TY 2013 Gain/Loss from Sale of Other Assets Schedule

Name: GARY PETERS FAMILY FOUNDATION INC

EIN: 20-1067444

Name	Date Acquired	How Acquired	Date Sold	Purchaser Name	Gross Sales Price	Basis	Basis Method	Sales Expenses	Total (net)	Accumulated Depreciation
OPPENHEIMER 7556 ATTACHED		PURCHASE			165,106	168,911			-3,805	
OPPENHEIMER 7556 ATTACHED		PURCHASE			287,610	269,215			18,395	
OPPENHEIMER 3391 ATTACHED		PURCHASE			169,383	168,345			1,038	
OPPENHEIMER 3391 ATTACHED		PURCHASE			399,682	380,919			18,763	
OPPENHEIMER 3281 ATTACHED		PURCHASE			201,613	206,918			-5,305	
OPPENHEIMER 3281 ATTACHED		PURCHASE			582,694	581,843			851	
OPPENHEIMER 7665 ATTACHED		PURCHASE			180,096	184,724			-4,628	
OPPENHEIMER 7665 ATTACHED		PURCHASE			180,708	173,542			7,166	
OPPENHEIMER 7549 ATTACHED		PURCHASE			135,151	127,736			7,415	
OPPENHEIMER 7549 ATTACHED		PURCHASE			50,670	42,008			8,662	
OPPENHEIMER 7657 ATTACHED		PURCHASE			14,278	10,421			3,857	
OPPENHEIMER 7657 ATTACHED		PURCHASE			833,869	1,208,736			-374,867	

TY 2013 Investments Corporate Bonds Schedule

Name: GARY PETERS FAMILY FOUNDATION INC

EIN: 20-1067444

Name of Bond	End of Year Book Value	End of Year Fair Market Value
OPPENHEIMER 7657	247,506	264,655
OPPENHEIMER 7665	538,903	540,753
OPPENHEIMER 3991	2,704,494	2,719,480
.		

TY 2013 Investments Corporate Stock Schedule

Name: GARY PETERS FAMILY FOUNDATION INC

EIN: 20-1067444

Name of Stock	End of Year Book Value	End of Year Fair Market Value
OPPENHEIMER 7657	511,964	544,700

TY 2013 Investments Government Obligations Schedule

Name:	GARY PETERS FAMILY FOUNDATION INC
EIN:	20-1067444
US Government Securities - End of Year Book Value:	151,224
US Government Securities - End of Year Fair Market Value:	154,291
State & Local Government Securities - End of Year Book Value:	
State & Local Government Securities - End of Year Fair Market Value:	

TY 2013 Investments - Other Schedule

Name: GARY PETERS FAMILY FOUNDATION INC

EIN: 20-1067444

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
OPPENHEIMER 7549	AT COST	656,694	756,541
OPPENHEIMER 7665	AT COST	218,781	224,769
OPPENHEIMER 3281	AT COST	1,498,927	1,610,528
OPPENHEIMER 7556	AT COST	1,417,847	1,441,954
OPPENHEIMER 7657	AT COST	2,989	2,989

TY 2013 Land, Etc. Schedule

Name: GARY PETERS FAMILY FOUNDATION INC

EIN: 20-1067444

Category / Item	Cost / Other Basis	Accumulated Depreciation	Book Value	End of Year Fair Market Value
PROPERTY AND EQUIPMENT	20,659	12,085	8,574	8,574

TY 2013 Other Assets Schedule

Name: GARY PETERS FAMILY FOUNDATION INC

EIN: 20-1067444

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
SECURITY DEPOSIT	3,572	3,572	3,572

TY 2013 Other Expenses Schedule

Name: GARY PETERS FAMILY FOUNDATION INC

EIN: 20-1067444

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXPENSES				
INVESTMENT MANAGEMENT FEES	52,651	52,651		
PAYROLL SERVICE FEE	1,806	1,806		
INSURANCE	2,944	2,944		
LICENSE EXPENSE	224	224		
OFFICE EXPENSE	9,721	9,721		
UTILITIES	7,409	7,409		
CHARITABLE DEVELOPMENT	392	392		
POSTAGE	1,300	1,300		
EXEMPT INCOME UNDER				
SECTION 41(E)(6)		198,392		

TY 2013 Other Increases Schedule

Name: GARY PETERS FAMILY FOUNDATION INC

EIN: 20-1067444

Description	Amount
DEPRECIATION/TAXES NOT ON BOOKS	2,588

TY 2013 Taxes Schedule

Name: GARY PETERS FAMILY FOUNDATION INC

EIN: 20-1067444

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAX PAID	558	558		

7549

Oppenheimer & Co. Inc. — Account G511427549

Proceeds Not Reported to the IRS

2013

SHORT-TERM TRANSACTIONS ***NOT reported on Form 1099-B***

Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional Information
FIRST TR ISE WATER INDEX FD CLOSED END SBI/CBI ETF / CUSIP, 33733B100 / Symbol: FIW							
	6 tax lots for 06/14/13						
	358.000	*10,120.44*	*02/28/13*	*10,080.69*	..	*39 75*	*Sale*
	53.000	*1,498.28*	*03/04/13*	*1,489.30*	..	*8.98*	*Sale*
	57.000	*1,611.36*	*04/02/13*	*1,605.69*	...	*5.67*	*Sale*
	5.000	*141.35*	*04/08/13*	*139.54*	..	*1.81*	*Sale*
	75.000	*2,120.20*	*05/02/13*	*2,060 99*	...	*59.21*	*Sale*
	32 000	*904.62*	*06/04/13*	*921.92*	...	*-17.30*	*Sale*
06/14/13	580.000	16,396.25	VARIOUS	16,298.13	0.00	98.12	Total of 6 lots
ISHARES MSCI PAC JP ETF / CUSIP. 464286665 / Symbol: EPP							
	5 tax lots for 12/17/13.						
	147.000	*6,726.07*	*02/06/13*	*7,107.16*	..	*-381.09*	*Sale*
	45.000	*2,059.00*	*03/04/13*	*2,211.75*	..	*-152.75*	*Sale*
	59.000	*2,699 58*	*04/02/13*	*2,944.69*	...	*-245.11*	*Sale*
	5.000	*228.78*	*04/08/13*	*244.35*	...	*-15.57*	*Sale*
	18.000	*823.60*	*05/02/13*	*916.20*	...	*-92.60*	*Sale*
12/17/13	274.000	12,537 03	VARIOUS	13,424.15	0.00	-887 12	Total of 5 lots
ISHARES MSCI SPAN CP ETF / CUSIP. 464286764 / Symbol: EWP							
01/04/13	191.000	5,791.81	11/14/12	5,193.72	...	598.09	Sale
ISHARES S&P 500 GRWT ETF / CUSIP: 464287309 / Symbol: IVW							
	2 tax lots for 02/28/13.						
	16.000	*1,280.66*	*05/21/12*	*1,138.08*	...	*142.58*	*Sale*
	53.000	*4,242.18*	*05/25/12*	*3,816 37*	..	*425.80*	*Sale*
02/28/13	69.000	5,522.84	VARIOUS	4,954.45	0.00	568.38	Total of 2 lots
	10 tax lots for 09/18/13.						
	6.000	*541.70*	*11/14/12*	*441.89*	..	*99.81*	*Sale*
	9.000	*812.27*	*02/06/13*	*712.33*	...	*99.93*	*Sale*
	137.000	*12,368.77*	*02/06/13*	*10,843.28*	...	*1,525.49*	*Sale*
	30.000	*2,707.56*	*03/04/13*	*2,399.40*	...	*308.16*	*Sale*
	29.000	*2,617.30*	*04/02/13*	*2,391.05*	...	*226 25*	*Sale*

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. Account G511427549

Proceeds Not Reported to the IRS
(continued)

2013

SHORT-TERM TRANSACTIONS NOT reported on Form 1099-B
Report on Form 8949, Part I, with Box C checked

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
Description / CUSIP / Symbol							
ISHARES S&P 500 GRWT ETF / CUSIP: 464287309 / Symbol: IVW (cont'd)							
	29.000	2,617.30	05/02/13	2,438.90	...	178.40	Sale
	24.000	2,166.05	06/04/13	2,081.52	...	84 53	Sale
	27.000	2,436.80	07/02/13	2,289.87	...	146.93	Sale
	27.000	2,436.80	08/02/13	2,410.83	..	25.97	Sale
	27.000	2,436.80	08/09/13	2,408.40	...	28.40	Sale
09/18/13	345.000	31,141 35	VARIOUS	28,417.47	0.00	2,723.87	Total of 10 lots
Security total:		36,664.19		33,371.92	0.00	3,292.25	
ISHARES GLOBAL FINLS ETF / CUSIP: 464287333 / Symbol: IXG							
04/08/13	2.000	96.53	01/11/13	95.11	...	1.42	Sale
09/20/13	4.000	215.69	01/11/13	190 22	...	25.47	Sale
10/23/13	5.000	275.22	01/11/13	237.77	...	37.45	Sale
	9 tax lots for 12/17/13.						
	107.000	5,733.74	01/11/13	5,088.35	...	645 39	Sale
	89.000	4,769.19	02/06/13	4,254.20	.	514.99	Sale
	33 000	1,768.35	03/04/13	1,574.43	..	193.92	Sale
	35.000	1,875.52	04/02/13	1,700.30	...	175.22	Sale
	22.000	1,178.90	05/02/13	1,117.82	..	61 08	Sale
	33.000	1,768.35	06/04/13	1,694.55	..	73.80	Sale
	35.000	1,875.52	07/02/13	1,711.15	...	164.37	Sale
	22.000	1,178.90	08/02/13	1,151.70	..	27.20	Sale
	28 000	1,500.42	08/09/13	1,464 68	...	35.74	Sale
12/17/13	404.000	21,648.89	VARIOUS	19,757.18	0.00	1,891.71	Total of 9 lots
Security total:		22,236.33		20,280.28	0.00	1,956.05	
ISHARES MSCI EAFE ETF / CUSIP: 464287465 / Symbol: EFA							
04/08/13	7.000	412.22	05/25/12	337.25	...	74.97	Sale
ISHARES US HOME CONS ETF / CUSIP: 464288752 / Symbol: ITB							
09/20/13	29.000	667 27	06/14/13	697.06	..	-29.79	Sale
	5 tax lots for 12/17/13.						
	433.000	9,766.75	06/14/13	10,407.79	..	-641.04	Sale
	64.000	1,443.58	07/02/13	1,442.56	...	1.02	Sale
	78.000	1,759.37	08/02/13	1,762.02		-2.65	Sale

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. Account G511427549

Proceeds Not Reported to the IRS
(continued)

2013

SHORT-TERM TRANSACTIONS ***NOT reported on Form 1099-B***

Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
ISHARES US HOME CONS ETF / CUSIP: 464288752 / Symbol: ITB (cont'd)							
	63.000	*1,421.03*	*08/09/13*	*1,350 72*	..	*70.31*	*Sale*
	34.000	*766 90*	*10/23/13*	*770 10*	..	*-3 20*	*Sale*
12/17/13	672 000	15,157.63	VARIOUS	15,733.19	0.00	-575 56	Total of 5 lots
Security total:		15,824.90		16,430.25	0.00	-605.35	
POWERSHARES ETF TRUST FTSE US1500 SM / CUSIP: 73935X567 / Symbol: PRFZ							
	9 tax lots for 12/17/13						
	35.000	*3,283.39*	*02/06/13*	*2,590.00*	.	*693.39*	*Sale*
	13.000	*1,219.55*	*03/04/13*	*974.35*	...	*245 20*	*Sale*
	12 000	*1,125.73*	*04/02/13*	*921.84*	..	*203.89*	*Sale*
	1.000	*93.81*	*04/08/13*	*76.13*	..	*17.68*	*Sale*
	16.000	*1,500.98*	*05/02/13*	*1,230.40*	..	*270.58*	*Sale*
	4.000	*375.24*	*06/04/13*	*331.40*	...	*43.84*	*Sale*
	8.000	*750.49*	*07/02/13*	*660.80*	...	*89.69*	*Sale*
	9 000	*844.30*	*08/02/13*	*791.55*	...	*52.75*	*Sale*
	13.000	*1,219.55*	*08/09/13*	*1,134.64*	...	*84.91*	*Sale*
12/17/13	111.000	10,413.04	VARIOUS	8,711.11	0.00	1,701.93	Total of 9 lots
POWERSHARES GLOBAL ETF TRUST DEV MKTS EX-US / CUSIP: 73936T789 / Symbol: PXF							
04/08/13	1 000	36.76	05/25/12	30.36	...	6.40	Sale
SELECT SECTOR SPDR TR SBI CONS STPLS / CUSIP: 81369Y308 / Symbol: XLP							
04/08/13	1.000	40.00	09/14/12	35.92	...	4 08	Sale
06/14/13	7.000	284.96	09/14/12	251.44	...	33.52	Sale
	5 tax lots for 12/17/13.						
	154.000	*6,478 70*	*02/06/13*	*5,719.41*	...	*759.29*	*Sale*
	46 000	*1,935.20*	*03/04/13*	*1,760.88*	..	*174.32*	*Sale*
	42.000	*1,766.92*	*04/02/13*	*1,686.30*	.	*80.62*	*Sale*
	44.000	*1,851.06*	*05/02/13*	*1,804.00*	...	*47.06*	*Sale*
	59.000	*2,482.10*	*06/04/13*	*2,401.30*	..	*80.80*	*Sale*
12/17/13	345.000	14,513.98	VARIOUS	13,371.89	0.00	1,142 09	Total of 5 lots
Security total:		14,838 94		13,659.25	0.00	1,179.69	
Totals:		**135,151.47**		**127,736.42**	**0.00**	**7,415.03**	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes

Oppenheimer & Co. Inc. Account G511427549

Proceeds Not Reported to the IRS
(continued)

2013

LONG-TERM TRANSACTIONS *NOT reported on Form 1099-B*
Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional Information
ISHARES MSCI PAC JP ETF / CUSIP: 464286665 / Symbol: EPP							
09/20/13	38.000	1,844.56	05/25/12	1,472.04	...	372.52	Sale
10/23/13	14 000	698.59	05/25/12	542.33	...	156.26	Sale
	2 tax lots for 12/17/13.						
	70 000	*3,202.89*	*05/25/12*	*2,711.66*	...	*491 23*	*Sale*
	72.000	*3,294.40*	*07/26/12*	*3,020.12*	...	*274.28*	*Sale*
12/17/13	142.000	6,497.29	VARIOUS	5,731.78	0.00	765.51	Total of 2 lots
Security total:		9,040 44		7,746.15	0.00	1,294.29	
ISHARES S&P 500 GRWT ETF / CUSIP: 464287309 / Symbol: IVW							
	3 tax lots for 02/28/13						
	9 000	*720 37*	*05/03/11*	*636.84*	..	*83.53*	*Sale*
	28.000	*2,241.15*	*06/07/11*	*1,909.88*	..	*331.27*	*Sale*
	18.000	*1,440.74*	*11/04/11*	*1,214 82*	...	*225.92*	*Sale*
02/28/13	55.000	4,402.26	VARIOUS	3,761.54	0.00	640.72	Total of 3 lots
09/18/13	58.000	5,236 41	05/25/12	4,176.41	...	1,060.01	Sale
Security total:		9,638.67		7,937 95	0.00	1,700.73	
ISHARES GLOB HLTHCRE ETF / CUSIP: 464287325 / Symbol: IXJ							
10/23/13	1.000	82.18	11/04/11	53.99	..	28.19	Sale
12/17/13	4.000	331.35	11/04/11	215.95	..	115.40	Sale
Security total:		413.53		269.94	0.00	143.59	
ISHARES MSCI EAFE ETF / CUSIP: 464287465 / Symbol. EFA							
06/14/13	4 000	239.51	05/25/12	192.72	...	46.79	Sale
09/20/13	16.000	1,032.31	05/25/12	770.86	...	261 45	Sale
10/23/13	10.000	661.78	05/25/12	481 79	...	179.99	Sale
Security total:		1,933.60		1,445.37	0.00	488 23	
ISHARES U.S TECH ETF / CUSIP: 464287721 / Symbol: IYW							
10/23/13	1.000	81.24	06/07/11	64.57	.	16 67	Sale
12/17/13	14.000	1,196.28	06/07/11	903.98	...	292.30	Sale
Security total:		1,277.52		968.55	0.00	308.97	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. | Account G511427549

Proceeds Not Reported to the IRS
(continued)

2013

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part II, with Box F checked

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
Description / CUSIP / Symbol							
POWERSHARES ETF TRUST FTSE US1500 SM / CUSIP: 73935X567 / Symbol: PRFZ							
10/23/13	3.000	278.43	08/09/11	166.20	...	112.23	Sale
	2 tax lots for 12/17/13.						
	3.000	*281.43*	*08/09/11*	*166.20*		*115 23*	*Sale*
	48.000	*4,502.94*	*05/25/12*	*3,000.00*	...	*1,502.94*	*Sale*
12/17/13	51.000	4,784.37	VARIOUS	3,166.20	0.00	1,618.17	Total of 2 lots
Security total:		5,062.80		3,332.40	0.00	1,730.40	
POWERSHARES ETF TRUST FTSE RAFI 1000 / CUSIP: 73935X583 / Symbol: PRF							
06/14/13	4.000	293.54	06/07/11	230.39	..	63.15	Sale
POWERSHARES GLOBAL ETF TRUST DEV MKTS EX-US / CUSIP: 73936T789 / Symbol: PXF							
09/20/13	10.000	418.54	05/25/12	303.57	...	114.97	Sale
10/23/13	5.000	216.49	05/25/12	151.79	..	64.71	Sale
Security total:		635 03		455.36	0.00	179.68	
SPDR S&P 500 ETF TR TR UNIT / CUSIP: 78462F103 / Symbol: SPY							
06/14/13	5.000	816 67	06/07/11	649.74	...	166.93	Sale
SPDR S&P MIDCAP 400 ETF TR UTSER1 S&PDCRP / CUSIP: 78467Y107 / Symbol: MDY							
10/23/13	1.000	234.29	08/09/11	145.75	...	88 54	Sale
12/17/13	1.000	236.86	08/09/11	145.75	...	91.11	Sale
Security total		471.15		291.50	0 00	179.65	
SELECT SECTOR SPDR TR SBI CONS STPLS / CUSIP: 81369Y308 / Symbol: XLP							
12/17/13	194.000	8,161.48	09/14/12	6,968.48	..	1,193.00	Sale
VANGUARD SPECIALIZED PORTFOLIO DIV APP ETF / CUSIP: 921908844 / Symbol: VIG							
06/14/13	1.000	67.74	06/07/11	54.91	...	12 83	Sale
12/17/13	3.000	218.48	06/07/11	164.73	...	53.75	Sale
Security total:		286.22		219.64	0.00	66.58	
VANGUARD WHITEHALL FDS INC HIGH DIV YLD / CUSIP: 921946406 / Symbol: VYM							
04/08/13	1.000	54.79	08/09/11	39.67	...	15 12	Sale
06/14/13	4.000	229 64	08/09/11	158.68	...	70.96	Sale
12/17/13	8.000	486.33	08/09/11	317.35	...	168.98	Sale
Security total:		770.76		515.70	0.00	255.06	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. | Account G511427549

Proceeds Not Reported to the IRS
(continued)

2013

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
VANGUARD INTL EQUITY INDEX FD FTSE EMR MKT ETF / CUSIP· 922042858 / Symbol. VWO							
	2 tax lots for 09/20/13.						
	34.000	*1,435 46*	*06/07/11*	*1,653.42*	...	*-217.96*	*Sale*
	71.000	*2,997.57*	*08/09/11*	*2,920 17*	..	*77.40*	*Sale*
09/20/13	105.000	4,433.03	VARIOUS	4,573.59	0.00	-140.56	Total of 2 lots
	5 tax lots for 10/23/13.						
	12.000	*506.63*	*08/09/11*	*493.55*	..	*13.08*	*Sale*
	10.000	*422.19*	*11/04/11*	*415.70*	...	*6.49*	*Sale*
	7.000	*295.53*	*12/21/11*	*265.65*	...	*29.88*	*Sale*
	2.000	*84 44*	*03/26/12*	*87.66*	..	*-3.22*	*Sale*
	117 000	*4,939.65*	*05/25/12*	*4,408.44*	...	*531.21*	*Sale*
10/23/13	148.000	6,248.44	VARIOUS	5,671.00	0.00	577.44	Total of 5 lots
	Security total:	10,681.47		10,244.59	0.00	436 88	
VANGUARD INDEX FDS REIT ETF / CUSIP· 922908553 / Symbol: VNQ							
04/08/13	2.000	145.53	08/09/11	100.07	..	45 46	Sale
VANGUARD INDEX FDS SM CP VAL ETF / CUSIP: 922908611 / Symbol: VBR							
10/23/13	6.000	563.05	08/09/11	345 00	...	218.05	Sale
12/17/13	5.000	478.21	08/09/11	287.50	...	190.71	Sale
	Security total.	1,041.26		632.50	0.00	408 76	
	Totals:	**50,669.67**		**42,008.33**	**0.00**	**8,661.36**	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

#7665

Oppenheimer & Co. Inc. Account: G5T1407685
Proceeds Not Reported to the IRS
2013

SHORT-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
BANC AMER CMBS 2007-2 CL A-2 5.632% DUE 04/10/49 / CUSIP: 059511AB1 / Symbol:							
02/11/13	0.000	99.39	02/11/13	99.39	...	0.00	Principal payment
06/10/13	0.000	1,255.65	06/10/13	1,255.65	...	0.00	Principal payment
08/12/13	0.000	475.88	08/12/13	475.88	...	0.00	Principal payment
12/10/13	0.000	51.47	12/10/13	51.47	...	0.00	Principal payment
	Security total:	1,882.39		1,882.39	0.00	0.00	
ISHARES IBOXX HI YD ETF / CUSIP: 464288513 / Symbol: HYG							
	12 tax lots for 04/22/13.						
	102.000	9,667.55	08/08/12	9,343.63	...	323.92	Sale
	103.000	9,762.33	08/10/12	9,415.39	...	346.94	Sale
	69.000	6,539.81	08/30/12	6,353.52	...	186.29	Sale
	239.000	22,665.43	08/30/12	22,007.13	...	658.30	Sale
	2.000	189.67	09/10/12	185.06	...	4.61	Sale
	2.000	189.67	10/05/12	184.92	...	4.75	Sale
	2.000	189.67	11/07/12	185.00	...	4.67	Sale
	2.000	189.67	12/07/12	186.68	...	2.99	Sale
	2.000	189.67	01/02/13	186.12	...	3.55	Sale
	2.000	189.67	02/07/13	186.30	...	3.37	Sale
	2.000	189.67	03/07/13	187.70	...	1.97	Sale
	2.000	189.67	04/09/13	188.10	...	1.57	Sale
04/22/13	529.000	50,152.48	VARIOUS	48,609.55	0.00	1,542.93	Total of 12 lots
PFIZER INC B/E 5.35% DUE 03/15/15 / CUSIP: 717081DA8 / Symbol:							
	2 tax lots for 11/14/13.						
	10,000.000	10,634.00	12/11/12	10,612.57	...	21.43	Sale Note: 56 Original basis: $11,038.60
	10,000.000	10,634.00	12/11/12	10,612.57	...	21.43	Sale Note: 56 Original basis: $11,038.60
11/14/13	20,000.000	21,268.00	VARIOUS	21,225.14	0.00	42.86	Total of 2 lots
POWERSHARES ETF TRUST II SENIOR LN PORT / CUSIP: 73936Q769 / Symbol: BKLN							
05/29/13	332.000	8,346.33	04/23/13	8,343.15	...	3.18	Sale

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc.
2013

Proceeds Not Reported to the IRS
(continued)

Account: G5111407665

SHORT-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part I, with Box C checked

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
Description / CUSIP / Symbol							
POWERSHARES ETF TRUST II SENIOR LN PORT / CUSIP: 73936Q769 / Symbol: BKLN (cont'd)							
10/18/13	277.000	6,839.01	04/23/13	6,959.63	...	-120.62	Sale
	3 tax lots for 10/28/13.						
	437.000	*10,841.93*	*04/23/13*	*10,981.80*	...	*-139.87*	*Sale*
	492.000	*12,206.47*	*04/23/13*	*12,361.50*	...	*-155.03*	*Sale*
	28.000	*694.68*	*04/24/13*	*703.92*	...	*-9.24*	*Sale*
10/28/13	957.000	23,743.08	VARIOUS	24,047.22	0.00	-304.14	Total of 3 lots
	7 tax lots for 11/05/13.						
	356.000	*8,842.88*	*04/24/13*	*8,949.84*	...	*-106.96*	*Sale*
	7.000	*173.88*	*05/31/13*	*175.70*	...	*-1.82*	*Sale*
	5.000	*124.20*	*06/28/13*	*123.65*	...	*0.55*	*Sale*
	5.000	*124.20*	*07/31/13*	*124.70*	...	*-0.50*	*Sale*
	5.000	*124.20*	*08/30/13*	*123.45*	...	*0.75*	*Sale*
	5.000	*124.20*	*09/30/13*	*123.55*	...	*0.65*	*Sale*
	5.000	*124.20*	*10/31/13*	*124.20*	...	*0.00*	*Sale*
11/05/13	388.000	9,637.76	VARIOUS	9,745.09	0.00	-107.33	Total of 7 lots
	Security total:	48,566.18		49,095.09	0.00	-528.91	
UNITED STATES TREAS NTS B/E 1.625% DUE 11/15/22 / CUSIP: 912828TY6 / Symbol:							
11/20/13	25,000.000	23,134.67	@12/[illegible]/12	24,671.00	...	-1,536.33	Sale Original basis: $24,671.00
WISDOMTREE TR EM LCL DEBT FD / CUSIP: 97717X867 / Symbol: ELD							
10/18/13	139.000	6,753.38	03/12/13	7,388.02	...	-634 64	Sale
	2 tax lots for 11/05/13.						
	310.000	*14,641.82*	*03/12/13*	*16,476.89*	...	*-1,835.07*	*Sale*
	290.000	*13,697.18*	*03/14/13*	*15,375.64*	...	*-1,678.46*	*Sale*
11/05/13	600.000	28,339.00	VARIOUS	31,852.53	0.00	-3,513.53	Total of 2 lots
	Security total:	35,092.38		39,240.55	0 00	-4,148.17	
	Totals:	**180,096.10**		**184,723.72**	**0.00**	**-4,627.62**	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc.

Proceeds Not Reported to the IRS
(continued)

2013 — Account: G51-1407665

LONG-TERM TRANSACTIONS *NOT reported on Form 1099-B*
Report on Form 8949, Part II, with Box F checked

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
BLACKROCK FDS HIGH YIELD BD PORTFOLIO INSTL / CUSIP: 091929638 / Symbol: BHYIX							
11/05/13	1,800.000	14,886.00	10/10/11	12,726.00	...	2,160.00	Sale
CREDIT SUISSE USA INC B/E 5.5% DUE 08/15/13 / CUSIP: 22541LAH6 / Symbol:							
	3 tax lots for 08/15/13.						
	10,000.000	*10,000.00*	*01/15/10*	*10,000.00*	...	*0.00*	*Redemption* *Note: 56* *Original basis: $11,008.10*
	15,000.000	*15,000.00*	*04/08/10*	*15,000.00*	...	*0.00*	*Redemption* *Note: 56* *Original basis: $16,457.70*
	10,000.000	*10,000.00*	*06/09/11*	*10,000.00*	...	*0.00*	*Redemption* *Note: 56* *Original basis: $10,907.50*
08/15/13	35,000.000	35,000.00	VARIOUS	35,000.00	0.00	0.00	Total of 3 lots
DREYFUS / LAUREL FDS TR PREMIER INTL BD FD CL A / CUSIP: 261980684 / Symbol: DIBAX							
03/11/13	1,268.000	21,302.40	05/28/10	19,590.60	...	1,711.80	Sale
GENERAL ELECTRIC CO B/E 5% DUE 02/01/13 / CUSIP: 369604AY9 / Symbol:							
	2 tax lots for 02/01/13.						
	24,000.000	*24,000.00*	*01/2[illegible]/09*	*24,451.99*	...	*-451.99*	*Redemption* *Original basis: $24,451.99*
	1,000.000	*1,000.00*	*10/05/09*	*1,000.00*	..	*0.00*	*Redemption* *Note: 56* *Original basis: $1,063.73*
02/01/13	25,000.000	25,000.00	VARIOUS	25,451.99	0.00	-451.99	Total of 2 lots
GOLDMAN SACHS GROUP INC B/E 5.25% DUE 10/15/13 / CUSIP: 38141GDQ4 / Symbol:							
	3 tax lots for 10/15/13.						
	20,000.000	*20,000.00*	*01/21/09*	*20,000.00*	...	*0.00*	*Redemption* *Note: 56* *Original basis: $19,256.56*
	10,000.000	*10,000.00*	*10/05/09*	*10,000.00*	...	*0.00*	*Redemption* *Note: 56* *Original basis: $10,623.80*

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. — Account GB1-1407665

2013

Proceeds Not Reported to the IRS (continued)

LONG-TERM TRANSACTIONS ***NOT reported on Form 1099-B***

Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional Information
GOLDMAN SACHS GROUP INC B/E 5.25% DUE 10/15/13 / CUSIP: 38141GDQ4 / Symbol: (cont'd)							
	10,000.000	*10,000.00*	*06/09/11*	*10,000.00*	...	*0.00*	*Redemption* *Note: 56* *Original basis: $10,732.40*
10/15/13	40,000.000	40,000.00	VARIOUS	40,000.00	0.00	0.00	Total of 3 lots
MFS EMERGING MKTS DEBT FD-A OPEN END / CUSIP: 55273E673 / Symbol: MEDAX							
03/11/13	1,445.000	23,134.45	05/28/10	20,302.25	...	2,832.20	Sale
	2 tax lots for 11/05/13.						
	1,194.000	*17,683.14*	*05/28/10*	*16,775.70*	...	*907.44*	*Sale*
	250 000	*3,702.50*	*06/10/11*	*3,695.00*	...	*7.50*	*Sale*
11/05/13	1,444.000	21,385.64	VARIOUS	20,470.70	0.00	914.94	Total of 2 lots
	Security total:	44,520.09		40,772.95	0.00	3,747.14	
	Totals:	**180,708.49**		**173,541.54**	**0.00**	**7,166.95**	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

#7556

Oppenheimer & Co. Inc. — Account G511427556

Proceeds Not Reported to the IRS

2013

SHORT-TERM TRANSACTIONS ***NOT reported on Form 1099-B***

Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
ALLIANCEBERNSTEIN INCOME FUND CLOSED END / CUSIP: 01881E101 / Symbol: ACG							
10/11/13	121.000	843 35	11/13/12	1,041.77	...	-198.42	Sale
	3 tax lots for 12/11/13.						
	616.000	*4,355.04*	*01/18/13*	*5,088.28*	..	*-733.24*	*Sale*
	585.000	*4,135.87*	*02/27/13*	*4,790 27*	...	*-654.40*	*Sale*
	593.000	*4,192 43*	*03/28/13*	*4,857 32*	...	*-664.89*	*Sale*
12/11/13	1,794.000	12,683.34	VARIOUS	14,735.87	0 00	-2,052.53	Total of 3 lots
	Security total:	13,526.69		15,777.64	0.00	-2,250.95	
ALLIANZGI NFJ DIVID INT & PREM CLOSED END / CUSIP: 01883A107 / Symbol: NFJ							
	2 tax lots for 05/31/13						
	108.000	*1,850.08*	*01/18/13*	*1,786.32*	...	*63 76*	*Sale*
	234 000	*4,008.51*	*02/01/13*	*3,939 11*	...	*69.40*	*Sale*
05/31/13	342 000	5,858.59	VARIOUS	5,725 43	0.00	133.16	Total of 2 lots
BLACKROCK BUILD AMER BD TR CLOSED END / CUSIP: 09248X100 / Symbol: BBN							
	3 tax lots for 08/29/13						
	293.000	*5,532.03*	*11/13/12*	*6,803.31*	..	*-1,271.28*	*Sale*
	165.000	*3,115.31*	*11/14/12*	*3,808.38*	..	*-693.07*	*Sale*
	184 000	*3,474 03*	*01/18/13*	*4,220.43*	...	*-746.40*	*Sale*
08/29/13	642.000	12,121.37	VARIOUS	14,832.12	0.00	-2,710.75	Total of 3 lots
BLACKROCK GLOBAL OPP EQTY TR CLOSED END / CUSIP, 092501105 / Symbol: BOE							
10/11/13	14.000	197.11	07/26/13	197.78	...	-0.67	Sale
BLACKROCK CR ALLCTN INC TR CLOSED END / CUSIP: 092508100 / Symbol BTZ							
10/11/13	79.000	1,001.70	04/30/13	1,134.30	...	-132.60	Sale
BLACKROCK ENHANCED EQT DIV TR CLOSED END / CUSIP: 09251A104 / Symbol: BDJ							
10/11/13	56.000	418.87	03/28/13	440.03	..	-21 16	Sale
BLACKROCK INTL GRWTH & INC TR COM BENE INTER / CUSIP: 092524107 / Symbol: BGY							
10/11/13	35.000	274.04	05/31/13	271.73	...	2.31	Sale

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. Account G511427556

Proceeds Not Reported to the IRS

(continued)

2013

SHORT-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
BLACKROCK CORPOR HI YLD FD VI CLOSED END / CUSIP 09255P107 / Symbol: HYT							
11/22/13	0.000	6.81	11/22/13	0.00	.	6.81	Cash in lieu
BLACKROCK FLOAT RATE OME STRAT CLOSED END / CUSIP: 09255X100 / Symbol. FRA							
05/07/13	99.000	1,566.67	11/13/12	1,479.01	...	87.66	Sale
	2 tax lots for 05/31/13.						
	63.000	*1,001.29*	*11/14/12*	*932.22*	...	*69 07*	*Sale*
	16.000	*254.29*	*11/15/12*	*232.64*	..	*21.65*	*Sale*
05/31/13	79.000	1,255.58	VARIOUS	1,164.86	0.00	90.72	Total of 2 lots
Security total:		2,822.25		2,643.87	0.00	178.38	
BLACKSTONE GSO LNG SHRT CR INC COM SHS BN INT / CUSIP: 09257D102 / Symbol: BGX							
06/20/13	85.000	1,626.38	05/31/13	1,620.95	...	5.43	Sale
CBRE CLARION GLOBAL REAL ESTAT CLOSED END / CUSIP: 12504G100 / Symbol: IGR							
	2 tax lots for 05/31/13						
	52.000	*482.37*	*11/14/12*	*443.79*	..	*38.58*	*Sale*
	174.000	*1,614.10*	*11/15/12*	*1,394.02*	..	*220.08*	*Sale*
05/31/13	226.000	2,096.47	VARIOUS	1,837.81	0.00	258 66	Total of 2 lots
COHEN & STEERS REIT & PFD INCM CLOSED END / CUSIP: 19247X100 / Symbol: RNP							
04/30/13	102.000	1,948.01	11/13/12	1,728.58	...	219.43	Sale
COHEN & STEERS INFRASTRUCTURE CLOSED END / CUSIP: 19248A109 / Symbol: UTF							
03/28/13	107.000	2,206.28	02/27/13	2,093.53	...	112.75	Sale
04/30/13	97 000	2,061.42	02/27/13	1,897.87	.	163.55	Sale
Security total.		4,267.70		3,991.40	0.00	276.30	
COHEN & STEERS CLOSED END OPPO CLOSED END / CUSIP: 19248P106 / Symbol. FOF							
05/31/13	161.000	2,135.37	11/13/12	2,036.05	..	99.32	Sale
	3 tax lots for 06/20/13.						
	47 000	*598 82*	*11/13/12*	*594.38*	..	*4.44*	*Sale*
	86.000	*1,095.72*	*11/14/12*	*1,069.80*	..	*25.92*	*Sale*

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. — Account G511427556

2013

Proceeds Not Reported to the IRS
(continued)

SHORT-TERM TRANSACTIONS ***NOT reported on Form 1099-B***

Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
COHEN & STEERS CLOSED END OPPO CLOSED END / CUSIP: 19248P106 / Symbol: FOF (cont'd)							
	26.000	*331.26*	*11/15/12*	*315.34*	...	*15.92*	*Sale*
06/20/13	159.000	2,025.80	VARIOUS	1,979.52	0.00	46.28	Total of 3 lots
	Security total:	4,161.17		4,015.57	0.00	145.60	
EATON VANCE ENH EQTY INC FD II CLOSED END / CUSIP: 278277108 / Symbol: EOS							
	2 tax lots for 07/26/13.						
	51.000	*602.28*	*04/30/13*	*580.75*	...	*21 53*	*Sale*
	211.000	*2,491.84*	*05/07/13*	*2,436.86*	...	*54.98*	*Sale*
07/26/13	262.000	3,094.12	VARIOUS	3,017.61	0 00	76.51	Total of 2 lots
10/11/13	27.000	318.59	04/30/13	307.46	...	11.13	Sale
	Security total:	3,412.71		3,325.07	0 00	87.64	
EATON VANCE LTD DUR INCOME FD CLOSED END / CUSIP: 27828H105 / Symbol: EVV							
03/28/13	89.000	1,534.12	06/27/12	1,451.00	...	83.12	Sale
10/11/13	20.000	300.59	07/26/13	311.99	...	-11.40	Sale
	Security total:	1,834.71		1,762.99	0.00	71.72	
EATON VANCE SH TM DR DIVR INCM CLOSED END / CUSIP: 27828V104 / Symbol: EVG							
10/11/13	17.000	259.07	04/30/13	295.36	...	-36 29	Sale
FIRST TR ENERGY INFRASTRCTR FD CLOSED END / CUSIP: 33738C103 / Symbol: FIF							
	2 tax lots for 02/01/13.						
	71 000	*1,615.38*	*11/13/12*	*1,442.98*	...	*172.40*	*Sale*
	15.000	*341.28*	*11/14/12*	*302.66*	...	*38 62*	*Sale*
02/01/13	86.000	1,956.66	VARIOUS	1,745.64	0.00	211.02	Total of 2 lots
	2 tax lots for 02/27/13.						
	44.000	*1,021.78*	*11/14/12*	*887.80*	..	*133.98*	*Sale*
	19 000	*441.22*	*11/15/12*	*377.51*	...	*63.71*	*Sale*
02/27/13	63.000	1,463.00	VARIOUS	1,265 31	0.00	197.69	Total of 2 lots
05/31/13	64.000	1,486.13	11/15/12	1,271.63	.	214.50	Sale
	Security total:	4,905.79		4,282.58	0.00	623.21	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. Account G511427556

Proceeds Not Reported to the IRS
(continued)

2013

SHORT-TERM TRANSACTIONS ***NOT reported on Form 1099-B***
Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
GUGGENHEIM BLD AMR BDS MANG DR CLOSED END / CUSIP: 401664107 / Symbol GBAB							
	2 tax lots for 07/26/13.						
	106.000	*2,194.04*	*02/27/13*	*2,414.53*	...	*-220.49*	*Sale*
	11.000	*227.68*	*03/28/13*	*249 77*	...	*-22.09*	*Sale*
07/26/13	117.000	2,421 72	VARIOUS	2,664.30	0.00	-242.58	Total of 2 lots
08/29/13	95.000	1,931.38	03/28/13	2,157.11	..	-225.73	Sale
	Security total:	4,353.10		4,821.41	0.00	-468.31	
ING PRIME RATE TR SH BEN INT / CUSIP: 44977W106 / Symbol: PPR							
02/27/13	803.000	5,265.79	08/22/12	4,641 34	...	624.45	Sale
03/28/13	478.000	3,100.76	08/22/12	2,762.84	...	337.92	Sale
	Security total:	8,366 55		7,404.18	0.00	962 37	
ING GLOBAL EQTY DIV & PREM OPP CLOSED END / CUSIP: 45684E107 / Symbol: IGD							
07/26/13	358.000	3,400.47	04/30/13	3,380.56	...	19.91	Sale
MFS CHARTER INCOME TR SH BEN INT / CUSIP: 552727109 / Symbol: MCR							
	3 tax lots for 04/30/13.						
	76.000	*782.73*	*11/13/12*	*786 02*	...	*-3.29*	*Sale*
	104.000	*1,071.10*	*11/14/12*	*1,057.00*	...	*14.10*	*Sale*
	50.000	*514.95*	*11/15/12*	*486.08*	...	*28.87*	*Sale*
04/30/13	230.000	2,368.78	VARIOUS	2,329.10	0.00	39.68	Total of 3 lots
05/31/13	43 000	420.62	11/15/12	418 02	...	2.60	Sale
	Security total:	2,789.40		2,747.12	0 00	42 28	
MFS MULTIMARKET INCOME TR SH BEN INT / CUSIP: 552737108 / Symbol: MMT							
	2 tax lots for 04/30/13.						
	37.000	*281.24*	*11/13/12*	*270.65*	...	*10.59*	*Sale*
	401.000	*3,048.05*	*02/01/13*	*2,940.33*	...	*107.72*	*Sale*
04/30/13	438 000	3,329.29	VARIOUS	3,210.98	0.00	118.31	Total of 2 lots
	2 tax lots for 05/31/13.						
	323.000	*2,330 52*	*11/13/12*	*2,362.71*	..	*-32.19*	*Sale*

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes

Oppenheimer & Co. Inc.

Account G511427556

2013

Proceeds Not Reported to the IRS
(continued)

SHORT-TERM TRANSACTIONS *NOT reported on Form 1099-B*

Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional Information
MFS MULTIMARKET INCOME TR SH BEN INT / CUSIP. 552737108 / Symbol. MMT (cont'd)							
	113.000	*815.32*	*11/14/12*	*812.28*	..	*3.04*	*Sale*
05/31/13	436.000	3,145 84	VARIOUS	3,174.99	0.00	-29.15	Total of 2 lots
10/11/13	38.000	245 09	11/14/12	273.16	..	-28.07	Sale
Security total:		6,720.22		6,659.13	0.00	61.09	
NUVEEN EQUITY PREM INCOME FD CLOSED END / CUSIP: 6706ER101 / Symbol· JPZ							
05/31/13	32.000	413.48	11/13/12	361.86	..	51.62	Sale
	2 tax lots for 06/20/13.						
	147.000	*1,802.24*	*11/13/12*	*1,662.25*	..	*139.99*	*Sale*
	76.000	*931.77*	*11/14/12*	*851.76*	...	*80.01*	*Sale*
06/20/13	223 000	2,734.01	VARIOUS	2,514.01	0.00	220.00	Total of 2 lots
07/26/13	19.000	240.99	11/14/12	212.94	...	28.05	Sale
Security total·		3,388.48		3,088.81	0.00	299.67	
NUVEEN QUALITY PFD INCOME FD 2 CLOSED END / CUSIP: 67072C105 / Symbol. JPS							
10/11/13	37.000	298.21	02/01/13	350.39	.	-52.18	Sale
NUVEEN PFD INCOME OPPRTNY FD CLOSED END / CUSIP: 67073B106 / Symbol: JPC							
10/11/13	26.000	223.85	02/27/13	265.57	...	-41 72	Sale
NUVEEN CR STRATEGIES INCM FD COM SHS / CUSIP· 67073D102 / Symbol· JQC							
02/27/13	528.000	5,444.87	03/22/12	4,778.40	.	666 47	Sale
PIMCO INCOME STRATEGY FUND II CLOSED END / CUSIP 72201J104 / Symbol: PFN							
	2 tax lots for 01/18/13.						
	185.000	*2,110.97*	*11/13/12*	*2,098.97*	...	*12 00*	*Sale*
	262.000	*2,989.58*	*11/14/12*	*2,902.41*	...	*87.17*	*Sale*
01/18/13	447.000	5,100.55	VARIOUS	5,001.38	0.00	99.17	Total of 2 lots
PIMCO DYNAMIC INCOME FD CLOSED END / CUSIP· 72201Y101 / Symbol. PDI							
08/29/13	191.000	5,318 91	05/31/13	5,776.91	...	-458.00	Sale

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc.

Account G511427556

Proceeds Not Reported to the IRS
(continued)

2013

SHORT-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
PIMCO INCOME OPPORTUNITY FD CLOSED END / CUSIP: 72202B100 / Symbol: PKO							
08/29/13	95.000	2,549.91	05/31/13	2,826.15	...	-276 24	Sale
12/11/13	53.000	1,468.55	05/31/13	1,576.70	..	-108.15	Sale
	Security total:	4,018.46		4,402.85	0.00	-384.39	
SSGA ACTIVE ETF TR BLKSTN GSOSRLN / CUSIP: 78467V608 / Symbol: SRLN							
06/20/13	170.000	8,479.86	05/07/13	8,546.87	...	-67.01	Sale
07/26/13	118.000	5,908.13	05/07/13	5,932.53	...	-24 40	Sale
08/29/13	201.000	10,027.03	05/07/13	10,105.42	...	-78.39	Sale
	3 tax lots for 10/11/13.						
	14.000	*697.74*	*04/08/13*	*700.56*	..	*-2.82*	*Sale*
	40.000	*1,993.56*	*05/07/13*	*2,011.03*	.	*-17 47*	*Sale*
	64.000	*3,189.71*	*05/31/13*	*3,207.65*	. .	*-17.94*	*Sale*
10/11/13	118 000	5,881.01	VARIOUS	5,919.24	0.00	-38.23	Total of 3 lots
12/11/13	278.000	13,889.21	04/08/13	13,911.09	...	-21.88	Sale
	Security total:	44,185.24		44,415.15	0.00	-229.91	
TEMPLETON DRAGON FD INC CLOSED END / CUSIP: 88018T101 / Symbol. TDF							
04/30/13	107.000	2,953 38	11/13/12	2,782.32	...	171.06	Sale
WESTERN ASSET EMRG MKT DEBT FD CLOSED END / CUSIP: 95766A101 / Symbol: ESD							
10/11/13	13.000	232.69	11/13/12	277.28	...	-44.59	Sale
WESTERN ASSET CLYM INFL SEC IN COM SH BEN INT / CUSIP: 95766Q106 / Symbol: WIA							
08/29/13	234.000	2,669.54	03/28/13	3,179.90	...	-510.36	Sale
WESTERN ASSET CLYM INFL OPP IN CLOSED END / CUSIP: 95766R104 / Symbol: WIW							
	2 tax lots for 08/29/13.						
	116.000	*1,326.14*	*11/13/12*	*1,559.52*	.	*-233.38*	*Sale*
	12.000	*137.18*	*11/14/12*	*159 88*	...	*-22.70*	*Sale*
08/29/13	128.000	1,463.32	VARIOUS	1,719.40	0.00	-256.08	Total of 2 lots
	2 tax lots for 12/11/13.						
	170.000	*1,910.74*	*02/27/13*	*2,256.61*	..	*-345.87*	*Sale*

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. | Account G511427556

Proceeds Not Reported to the IRS

2013 (continued)

SHORT-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part I, with Box C checked

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
WESTERN ASSET CLYM INFL OPP IN CLOSED END / CUSIP: 95766R104 / Symbol: WIW (cont'd)							
	136.000	*1,528.60*	*05/31/13*	*1,720 22*	...	*-191.62*	*Sale*
12/11/13	306.000	3,439.34	VARIOUS	3,976.83	0 00	-537.49	Total of 2 lots
	Security total:	4,902.66		5,696.23	0.00	-793.57	
	Totals:	**165,106.02**		**168,910.80**	**0.00**	**-3,804.78**	

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part II, with Box F checked

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
ADVENT CLAYMORE CV SECS & INC CLOSED END / CUSIP: 00764C109 / Symbol AVK							
01/18/13	124.000	2,117.88	03/22/10	2,057.10	..	60.78	Sale
05/31/13	120.000	2,175.55	03/03/11	2,441.87	...	-266.32	Sale
10/11/13	11.000	190 18	03/03/11	223.84	...	-33.66	Sale
	Security total	4,483 61		4,722.81	0.00	-239.20	
ALLIANCEBERNSTEIN GBL HGH INCM CLOSED END / CUSIP: 01879R106 / Symbol: AWF							
01/18/13	123.000	2,041.75	06/18/10	1,658.66	...	383.09	Sale
02/27/13	159.000	2,668.95	06/18/10	2,144.13	..	524.82	Sale
	2 tax lots for 03/28/13.						
	53.000	*874.18*	*06/18/10*	*714.71*	...	*159.47*	*Sale*
	149.000	*2,457 61*	*02/25/11*	*2,167.94*	...	*289.67*	*Sale*
03/28/13	202.000	3,331.79	VARIOUS	2,882.65	0.00	449.14	Total of 2 lots
	3 tax lots for 04/30/13						
	9.000	*150.80*	*02/25/11*	*130.95*	..	*19.85*	*Sale*
	73.000	*1,223.17*	*02/25/11*	*1,062.14*	...	*161.03*	*Sale*
	99.000	*1,658.82*	*03/03/11*	*1,442.55*	.	*216.27*	*Sale*
04/30/13	181.000	3,032.79	VARIOUS	2,635.64	0.00	397 15	Total of 3 lots
	2 tax lots for 05/31/13.						
	148 000	*2,375.50*	*03/03/11*	*2,156.54*	...	*218.96*	*Sale*

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes

Oppenheimer & Co. Inc. Account G511427556

Proceeds Not Reported to the IRS
(continued)

2013

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
ALLIANCEBERNSTEIN GBL HGH INCM CLOSED END / CUSIP: 01879R106 / Symbol: AWF (cont'd)							
	11.000	176.56	06/09/11	167.19	...	9.37	Sale
05/31/13	159.000	2,552.06	VARIOUS	2,323.73	0.00	228.33	Total of 2 lots
Security total:		13,627.34		11,644 81	0.00	1,982.53	
ALLIANCEBERNSTEIN INCOME FUND CLOSED END / CUSIP: 01881E101 / Symbol: ACG							
	6 tax lots for 12/11/13.						
	64.000	452.47	03/22/10	521.29	...	-68 82	Sale
	63.000	445.40	09/21/10	527 94	...	-82.54	Sale
	271.000	1,915.93	08/22/12	2,281.82	..	-365.89	Sale
	1,076.000	7,621.32	11/13/12	9,281.26	...	-1,659 94	Sale
	397.000	2,806.74	11/14/12	3,401.62	...	-594 88	Sale
	228.000	1,611 93	11/15/12	1,919 55	...	-307.62	Sale
12/11/13	2,101.000	14,853.79	VARIOUS	17,933.48	0 00	-3,079.69	Total of 6 lots
ALLIANZGI NFJ DIVID INT & PREM CLOSED END / CUSIP: 01883A107 / Symbol: NFJ							
05/31/13	128.000	2,192 69	03/22/10	1,880.01	..	312.68	Sale
	3 tax lots for 07/26/13.						
	148.000	2,524 66	03/22/10	2,173 76	...	350.90	Sale
	50.000	852.93	10/04/10	733.99	...	118.94	Sale
	205.000	3,496.99	02/25/11	3,505.40	...	-8.41	Sale
07/26/13	403.000	6,874.58	VARIOUS	6,413.15	0.00	461.43	Total of 3 lots
	3 tax lots for 08/29/13.						
	50.000	864.63	02/25/11	854.98	...	9.65	Sale
	151.000	2,611.20	02/25/11	2,582.02	...	29.18	Sale
	205.000	3,545.00	06/09/11	3,622.28	...	-77.28	Sale
08/29/13	406 000	7,020.83	VARIOUS	7,059.28	0 00	-38 45	Total of 3 lots
Security total:		16,088.10		15,352.44	0.00	735.66	
ALPINE GLOBAL PREMIER PPTYS FD COM SBI / CUSIP: 02083A103 / Symbol: AWP							
02/01/13	241.000	1,872.52	03/22/10	1,526.92	..	345 60	Sale
04/30/13	590.000	5,087.10	03/22/10	3,738.12	...	1,348.98	Sale

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc.

Account G511427556

Proceeds Not Reported to the IRS
(continued)

2013

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part II, with Box F checked

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
Description / CUSIP / Symbol							
ALPINE GLOBAL PREMIER PPTYS FD COM SBI / CUSIP: 02083A103 / Symbol: AWP (cont'd)							
	3 tax lots for 07/26/13.						
	81.000	*610 37*	*03/22/10*	*513.19*	...	*97.18*	*Sale*
	125.000	*941.93*	*10/04/10*	*802.54*	...	*139.39*	*Sale*
	42 000	*316.49*	*01/28/11*	*287.97*	...	*28.52*	*Sale*
07/26/13	248.000	1,868.79	VARIOUS	1,603.70	0 00	265.09	Total of 3 lots
	Security total.	8,828.41		6,868.74	0 00	1,959.67	
ALPINE TOTAL DYNAMIC DIVID FD COM SBI / CUSIP: 021060108 / Symbol: AOD							
10/11/13	117.000	473.84	08/22/12	511.68	...	-37.84	Sale
BLACKROCK CORE BD TR SHS BEN INT / CUSIP: 09249E101 / Symbol: BHK							
	3 tax lots for 02/01/13						
	65.000	*1,006.17*	*02/25/11*	*791.70*	...	*214 47*	*Sale*
	38.000	*588.22*	*06/09/11*	*482 98*	..	*105.24*	*Sale*
	132.000	*2,043.30*	*08/12/11*	*1,642.62*	..	*400.68*	*Sale*
02/01/13	235.000	3,637.69	VARIOUS	2,917.30	0.00	720 39	Total of 3 lots
BLACKROCK CORPOR HI YLD FD V CLOSED END / CUSIP: 09255N102 / Symbol: HYV							
02/01/13	244 000	3,196.32	03/22/10	2,647.40	...	548.92	Sale
	3 tax lots for 02/27/13.						
	61.000	*802.75*	*03/22/10*	*661.85*	...	*140.90*	*Sale*
	35.000	*460 59*	*01/04/11*	*400.40*	...	*60.19*	*Sale*
	84.000	*1,105.42*	*02/25/11*	*985 31*	...	*120.11*	*Sale*
02/27/13	180.000	2,368.76	VARIOUS	2,047.56	0.00	321.20	Total of 3 lots
	Security total:	5,565.08		4,694.96	0 00	870.12	
BLACKROCK CORPOR HI YLD FD VI CLOSED END / CUSIP: 09255P107 / Symbol. HYT							
01/18/13	140.000	1,832.59	03/22/10	1,509.20	..	323.39	Sale
	2 tax lots for 02/27/13.						
	131 000	*1,673.94*	*03/22/10*	*1,412 18*	...	*261.76*	*Sale*
	44.000	*562.24*	*11/15/10*	*487 52*	...	*74.72*	*Sale*
02/27/13	175.000	2,236.18	VARIOUS	1,899.70	0 00	336 48	Total of 2 lots

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. — Account G511427556

2013

Proceeds Not Reported to the IRS (continued)

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
BLACKROCK CORPOR HI YLD FD VI CLOSED END / CUSIP: 09255P107 / Symbol. HYT (cont'd)							
04/30/13	182.000	2,368 45	11/15/10	2,016 56	..	351.89	Sale
	Security total:	6,437.22		5,425.46	0.00	1,011 76	
BLACKROCK FLOAT RATE OME STRAT CLOSED END / CUSIP· 09255X100 / Symbol: FRA							
	2 tax lots for 03/28/13.						
	197.000	*3,233.32*	*03/22/10*	*3,063.55*	...	*169.77*	*Sale*
	38.000	*623.68*	*06/09/11*	*600.28*	..	*23.40*	*Sale*
03/28/13	235.000	3,857.00	VARIOUS	3,663 83	0.00	193 17	Total of 2 lots
04/30/13	107.000	1,701.39	03/22/10	1,663.96	...	37.43	Sale
	3 tax lots for 05/07/13.						
	49.000	*775.42*	*03/22/10*	*762.00*	...	*13.42*	*Sale*
	91.000	*1,440.07*	*02/25/11*	*1,394.12*	...	*45.95*	*Sale*
	5.000	*79.12*	*03/22/12*	*74.04*	..	*5.08*	*Sale*
05/07/13	145.000	2,294.61	VARIOUS	2,230.16	0.00	64.45	Total of 3 lots
05/31/13	79.000	1,255.58	03/22/12	1,169 84	...	85.74	Sale
	Security total:	9,108.58		8,727.79	0.00	380.79	
CBRE CLARION GLOBAL REAL ESTAT CLOSED END / CUSIP: 12504G100 / Symbol. IGR							
	2 tax lots for 02/01/13.						
	242.000	*2,299.53*	*03/22/10*	*1,761.76*	...	*537.77*	*Sale*
	82.000	*779.18*	*06/18/10*	*569.90*	...	*209.28*	*Sale*
02/01/13	324 000	3,078.71	VARIOUS	2,331.66	0.00	747.05	Total of 2 lots
05/31/13	489.000	4,536.18	06/18/10	3,398.55	...	1,137.63	Sale
	Security total:	7,614.89		5,730.21	0.00	1,884 68	
CALAMOS CONV & HIGH INCOME FD COM SHS / CUSIP: 12811P108 / Symbol: CHY							
10/11/13	49.000	598.76	03/03/11	672.83	...	-74.07	Sale
CALAMOS STRATEGIC TOTL RETN FD COM SH BEN INT / CUSIP: 128125101 / Symbol· CSQ							
01/18/13	429.000	4,416.24	11/15/10	3,791.77	...	624.47	Sale
	2 tax lots for 02/27/13.						
	273.000	*2,820.54*	*11/15/10*	*2,412.95*	.	*407.59*	*Sale*

\# Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes

Oppenheimer & Co. Inc. Account G511427556

2013

Proceeds Not Reported to the IRS (continued)

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
CALAMOS STRATEGIC TOTL RETN FD COM SH BEN INT / CUSIP: 128125101 / Symbol: CSQ (cont'd)							
	215 000	*2,221 31*	*02/25/11*	*2,014.60*	...	*206.71*	*Sale*
02/27/13	488.000	5,041.85	VARIOUS	4,427 55	0.00	614.30	Total of 2 lots
	2 tax lots for 04/30/13.						
	275.000	*2,912.18*	*02/25/11*	*2,576 81*	...	*335 37*	*Sale*
	230.000	*2,435.65*	*06/09/11*	*2,122.75*	.	*312.90*	*Sale*
04/30/13	505.000	5,347.83	VARIOUS	4,699.56	0.00	648.27	Total of 2 lots
	Security total:	14,805.92		12,918 88	0.00	1,887.04	
CLOUGH GLOBAL EQUITY FD CLOSED END / CUSIP: 18914C100 / Symbol: GLQ							
	2 tax lots for 07/26/13						
	28.000	*425 55*	*11/18/10*	*412.44*	..	*13.11*	*Sale*
	86.000	*1,307.05*	*02/25/11*	*1,308.05*	...	*-1 00*	*Sale*
07/26/13	114.000	1,732.60	VARIOUS	1,720.49	0.00	12.11	Total of 2 lots
	3 tax lots for 12/11/13						
	5.000	*74.80*	*03/23/10*	*71.45*	..	*3.35*	*Sale*
	69.000	*1,032.31*	*11/18/10*	*1,016.36*	...	*15.95*	*Sale*
	41.000	*613.39*	*06/09/11*	*599.00*	...	*14.39*	*Sale*
12/11/13	115.000	1,720.50	VARIOUS	1,686.81	0.00	33.69	Total of 3 lots
	Security total:	3,453.10		3,407.30	0.00	45 80	
CLOUGH GLOBAL OPPORTUNITIES FD SH BEN INT / CUSIP: 18914E106 / Symbol: GLO							
01/18/13	153.000	1,835.95	06/18/10	1,859 44	...	-23 49	Sale
	3 tax lots for 03/28/13						
	90 000	*1,153.96*	*11/15/10*	*1,189.20*	..	*-35.24*	*Sale*
	27.000	*346.19*	*02/25/11*	*369.17*	...	*-22.98*	*Sale*
	85.000	*1,089.85*	*06/09/11*	*1,145.24*	..	*-55.39*	*Sale*
03/28/13	202.000	2,590.00	VARIOUS	2,703.61	0.00	-113.61	Total of 3 lots
	2 tax lots for 04/30/13						
	68.000	*875.63*	*06/18/10*	*826 42*	...	*49.21*	*Sale*

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. Account G511427556

Proceeds Not Reported to the IRS

2013 (continued)

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part II, with Box F checked

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional Information
CLOUGH GLOBAL OPPORTUNITIES FD SH BEN INT / CUSIP 18914E106 / Symbol: GLO (cont'd)							
	126.000	*1,622.49*	*11/15/10*	*1,664.88*	...	*-42 39*	*Sale*
04/30/13	194.000	2,498.12	VARIOUS	2,491.30	0 00	6 82	Total of 2 lots
Security total.		6,924.07		7,054.35	0.00	-130.28	
COHEN & STEERS REIT & PFD INCM CLOSED END / CUSIP· 19247X100 / Symbol. RNP							
04/30/13	5.000	95.48	02/25/11	75.25	...	20.23	Sale
05/31/13	117.000	2,098.20	02/25/11	1,760.81	...	337 39	Sale
10/11/13	21.000	329.06	02/25/11	316.04	...	13 02	Sale
Security total.		2,522.74		2,152.10	0.00	370.64	
COHEN & STEERS INFRASTRUCTURE CLOSED END / CUSIP: 19248A109 / Symbol: UTF							
	2 tax lots for 04/30/13						
	75.000	*1,593.88*	*03/03/11*	*1,308.06*	...	*285 82*	*Sale*
	21.000	*446.29*	*05/20/11*	*366.52*	...	*79.77*	*Sale*
04/30/13	96.000	2,040.17	VARIOUS	1,674.58	0.00	365.59	Total of 2 lots
07/26/13	135.000	2,649.47	03/03/11	2,354.52	...	294 95	Sale
10/11/13	23.000	452.40	03/03/11	401.14	...	51 26	Sale
Security total.		5,142.04		4,430.24	0.00	711 80	
DWS HIGH INCOME OPPORT FD INC COM NEW / CUSIP: 23339M204 / Symbol: DHG							
02/01/13	183.000	2,886.65	03/22/10	2,352.42	...	534.23	Sale
EATON VANCE ENHANCED EQ INC FD CLOSED END / CUSIP· 278274105 / Symbol· EOI							
10/11/13	34.000	411.73	03/03/11	398 86	...	12.87	Sale
EATON VANCE LTD DUR INCOME FD CLOSED END / CUSIP: 27828H105 / Symbol. EVV							
02/27/13	270.000	4,674.91	03/22/10	4,186.23	...	488.68	Sale
	2 tax lots for 03/28/13.						
	176 000	*3,033.78*	*06/09/11*	*2,863.82*	..	*169.96*	*Sale*
	65.000	*1,120.43*	*03/22/12*	*1,045 41*	...	*75.02*	*Sale*
03/28/13	241.000	4,154 21	VARIOUS	3,909.23	0.00	244.98	Total of 2 lots
	2 tax lots for 04/30/13.						
	201 000	*3,516.42*	*02/25/11*	*3,196 65*	..	*319.77*	*Sale*

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. | Account G511427556

Proceeds Not Reported to the IRS
(continued)

2013

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B
Report on Form 8949, Part II, with Box F checked

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
Description / CUSIP / Symbol							
EATON VANCE LTD DUR INCOME FD CLOSED END / CUSIP: 27828H105 / Symbol: EVV (cont'd)							
	123 000	*2,151.84*	*03/22/12*	*1,978 24*	..	*173.60*	*Sale*
04/30/13	324.000	5,668.26	VARIOUS	5,174.89	0.00	493.37	Total of 2 lots
	2 tax lots for 05/07/13.						
	29.000	*504.28*	*03/22/10*	*449.63*	...	*54.65*	*Sale*
	183.000	*3,182.24*	*02/25/11*	*2,910 38*	.	*271.86*	*Sale*
05/07/13	212.000	3,686.52	VARIOUS	3,360.01	0.00	326 51	Total of 2 lots
05/31/13	170.000	2,852.06	03/22/10	2,635.78	...	216 28	Sale
	Security total:	21,035.96		19,266.14	0.00	1,769 82	
FIRST TR SR FLG RTE INCM FD II CLOSED END / CUSIP: 33733U108 / Symbol FCT							
03/28/13	171.000	2,789.64	08/12/11	2,180.25	...	609.39	Sale
04/30/13	96.000	1,551.59	08/12/11	1,224.00	...	327.59	Sale
	Security total:	4,341 23		3,404.25	0.00	936 98	
GDL FUND COM SH BEN IT / CUSIP: 361570104 / Symbol: GDL							
02/27/13	248.000	2,907.88	03/22/10	3,179.95	...	-272 07	Sale
03/28/13	139.000	1,632.31	03/22/10	1,782.31	..	-150.00	Sale
	2 tax lots for 04/30/13.						
	103.000	*1,201.89*	*03/22/10*	*1,320.70*	...	*-118 81*	*Sale*
	48.000	*560 10*	*02/25/11*	*590.53*	..	*-30.43*	*Sale*
04/30/13	151 000	1,761.99	VARIOUS	1,911.23	0.00	-149 24	Total of 2 lots
	2 tax lots for 05/07/13.						
	129.000	*1,511 47*	*02/25/11*	*1,587.04*	..	*-75.57*	*Sale*
	9.000	*105.44*	*06/09/11*	*110.71*	...	*-5.27*	*Sale*
05/07/13	138.000	1,616.91	VARIOUS	1,697.75	0.00	-80.84	Total of 2 lots
05/31/13	148.000	1,734.31	06/09/11	1,820.53	...	-86.22	Sale
06/20/13	127.000	1,447.35	06/09/11	1,562.21	...	-114 86	Sale
	2 tax lots for 07/26/13.						
	8.000	*91.47*	*06/09/11*	*98.40*	...	*-6.93*	*Sale*
	131.000	*1,497 92*	*07/21/11*	*1,574.99*	..	*-77.07*	*Sale*
07/26/13	139.000	1,589.39	VARIOUS	1,673.39	0.00	-84.00	Total of 2 lots

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. Account G511427556

Proceeds Not Reported to the IRS
(continued)

2013

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
GDL FUND COM SH BEN IT / CUSIP: 361570104 / Symbol: GDL (cont'd)							
08/29/13	127.000	1,434.83	07/21/11	1,526.89	...	-92.06	Sale
	2 tax lots for 10/11/13						
	62 000	*691.35*	*07/21/11*	*745 42*	...	*-54.07*	*Sale*
	98.000	*1,092.80*	*10/14/11*	*1,059 11*	...	*33.69*	*Sale*
10/11/13	160.000	1,784.15	VARIOUS	1,804.53	0.00	-20 38	Total of 2 lots
12/11/13	170.000	1,866.08	10/14/11	1,837.24	...	28.84	Sale
	Security total:	17,775 20		18,796.03	0.00	-1,020.83	
HANCOCK JOHN PREMUIM DIV FD COM SH BEN INT / CUSIP: 41013T105 / Symbol: PDT							
	2 tax lots for 07/26/13.						
	86 000	*1,132.84*	*02/25/11*	*986.41*	...	*146.44*	*Sale*
	50.000	*658.63*	*06/09/11*	*610.50*	...	*48.13*	*Sale*
07/26/13	136.000	1,791.47	VARIOUS	1,596.91	0.00	194.57	Total of 2 lots
HANCOCK JOHN PFD INCOME FD III CLOSED END / CUSIP. 41021P103 / Symbol: HPS							
	2 tax lots for 02/27/13.						
	52.000	*1,000.30*	*02/25/11*	*847.60*	..	*152.70*	*Sale*
	30.000	*577.09*	*06/09/11*	*516.90*	...	*60.19*	*Sale*
02/27/13	82 000	1,577.39	VARIOUS	1,364.50	0.00	212.89	Total of 2 lots
ING GLOBAL EQTY DIV & PREM OPP CLOSED END / CUSIP: 45684E107 / Symbol: IGD							
07/26/13	157.000	1,491.27	01/12/12	1,340.09	...	151 18	Sale
10/11/13	18.000	160.91	01/12/12	153.64	...	7.27	Sale
	Security total:	1,652.18		1,493 73	0.00	158.45	
MFS CHARTER INCOME TR SH BEN INT / CUSIP: 552727109 / Symbol: MCR							
02/27/13	242 000	2,482.01	03/22/10	2,253.02	..	228.99	Sale
05/31/13	191.000	1,868.36	03/22/12	1,835.49	..	32.87	Sale
10/11/13	21.000	186 26	03/22/12	201.81	...	-15.55	Sale
	Security total:	4,536.63		4,290.32	0.00	246.31	
MACQUARIE FT TR GB INF UT DIV CLOSED END / CUSIP: 55607W100 / Symbol: MFD							
02/01/13	193.000	3,110.82	03/03/11	2,962.75	.	148 07	Sale

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. | Account G511427556

Proceeds Not Reported to the IRS
(continued)

2013

LONG-TERM TRANSACTIONS *NOT reported on Form 1099-B*

Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
MACQUARIE FT TR GB INF UT DIV CLOSED END / CUSIP. 55607W100 / Symbol. MFD (cont'd)							
	2 tax lots for 05/31/13						
	72.000	*1,149.41*	*03/03/11*	*1,105 28*	...	*44.13*	*Sale*
	34.000	*542.78*	*06/09/11*	*530.66*	..	*12.12*	*Sale*
05/31/13	106.000	1,692.19	VARIOUS	1,635.94	0.00	56.25	Total of 2 lots
Security total.		4,803.01		4,598.69	0.00	204.32	
NEXPOINT CR STRATEGIES FD CLOSED END / CUSIP: 65340G106 / Symbol. NHF							
10/11/13	205.000	1,604 67	02/25/11	1,580.51	...	24.16	Sale
NUVEEN EQTY PRM OPPORTUNITYFD CLOSED END / CUSIP· 6706EM102 / Symbol· JSN							
01/18/13	242.000	2,999.51	03/22/10	2,979.57	...	19.94	Sale
02/01/13	212.000	2,652.51	03/22/10	2,610 21	..	42.30	Sale
04/30/13	323.000	4,105 39	03/22/10	3,976.87	..	128.52	Sale
05/07/13	308.000	3,920.01	03/22/10	3,792.19	...	127.82	Sale
	3 tax lots for 05/31/13.						
	32.000	*410.50*	*03/22/10*	*394 00*	...	*16.50*	*Sale*
	43.000	*551 61*	*09/21/10*	*515.39*	...	*36.22*	*Sale*
	254.000	*3,258 35*	*02/25/11*	*3,016.42*	.	*241.93*	*Sale*
05/31/13	329.000	4,220.46	VARIOUS	3,925.81	0.00	294.65	Total of 3 lots
	3 tax lots for 06/20/13.						
	15.000	*182.81*	*02/25/11*	*178.14*	...	*4.67*	*Sale*
	124.000	*1,511.29*	*06/09/11*	*1,457.48*	..	*53.81*	*Sale*
	168.000	*2,047.56*	*07/21/11*	*1,932.93*	...	*114.63*	*Sale*
06/20/13	307.000	3,741.66	VARIOUS	3,568.55	0.00	173 11	Total of 3 lots
07/26/13	288.000	3,564.33	07/21/11	3,313.60	...	250.73	Sale
	2 tax lots for 12/11/13.						
	79 000	*960.40*	*07/21/11*	*908.93*	..	*51.47*	*Sale*
	221 000	*2,686.69*	*08/12/11*	*2,286.44*	...	*400.25*	*Sale*
12/11/13	300.000	3,647.09	VARIOUS	3,195.37	0.00	451.72	Total of 2 lots
Security total:		28,850.96		27,362.17	0.00	1,488.79	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. | Account G511427556

Proceeds Not Reported to the IRS

2013 (continued)

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part II, with Box F checked

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
NUVEEN FLTNG RTE INCM OPP FD COM SHS / CUSIP. 6706EN100 / Symbol: JRO							
	2 tax lots for 02/27/13.						
	55.000	*727.22*	*02/25/11*	*703.45*	...	*23.77*	*Sale*
	69.000	*912.33*	*06/09/11*	*850.77*	...	*61.56*	*Sale*
02/27/13	124.000	1,639.55	VARIOUS	1,554.22	0.00	85.33	Total of 2 lots
NUVEEN EQUITY PREM INCOME FD CLOSED END / CUSIP: 6706ER101 / Symbol: JPZ							
02/01/13	241 000	3,026.89	03/22/10	2,951.55	...	75.34	Sale
04/30/13	270.000	3,454.30	03/22/10	3,306 72	...	147 58	Sale
	2 tax lots for 05/07/13						
	141.000	*1,804.38*	*03/22/10*	*1,726.84*	...	*77.54*	*Sale*
	93.000	*1,190.13*	*02/25/11*	*1,111.06*	...	*79.07*	*Sale*
05/07/13	234.000	2,994.51	VARIOUS	2,837.90	0.00	156.61	Total of 2 lots
	2 tax lots for 05/31/13						
	86.000	*1,111.24*	*02/25/11*	*1,027 43*	..	*83 81*	*Sale*
	73.000	*943 26*	*06/09/11*	*868 49*	.	*74.77*	*Sale*
05/31/13	159.000	2,054.50	VARIOUS	1,895.92	0.00	158.58	Total of 2 lots
07/26/13	142.000	1,801.14	03/22/12	1,579.77	..	221.37	Sale
Security total:		13,331.34		12,571.86	0.00	759.48	
NUVEEN EQUITY PREM ADV FD CLOSED END / CUSIP· 6706ET107 / Symbol JLA							
10/11/13	23.000	281.05	03/22/10	291.21	...	-10.16	Sale
NUVEEN EQUITY PREM & GROWTH FD CLOSED END / CUSIP: 6706EW100 / Symbol: JPG							
02/01/13	215.000	2,930.38	06/18/10	2,627.99	...	302.39	Sale
05/31/13	118.000	1,653.02	06/18/10	1,442.34	...	210.68	Sale
	2 tax lots for 06/20/13.						
	91.000	*1,242.12*	*06/18/10*	*1,112.31*	...	*129.81*	*Sale*
	37.000	*505.04*	*02/25/11*	*478.54*	..	*26.50*	*Sale*
06/20/13	128.000	1,747.16	VARIOUS	1,590.85	0 00	156.31	Total of 2 lots
	2 tax lots for 07/26/13						
	71.000	*1,000.81*	*02/25/11*	*918.29*	..	*82 52*	*Sale*

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes

Oppenheimer & Co. Inc. Account G511427556

Proceeds Not Reported to the IRS
(continued)

2013

LONG-TERM TRANSACTIONS *NOT reported on Form 1099-B*
Report on Form 8949, Part II, with Box F checked

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
NUVEEN EQUITY PREM & GROWTH FD CLOSED END / CUSIP: 6706EW100 / Symbol. JPG (cont'd)							
	46.000	*648.42*	*06/09/11*	*582.07*		*66.35*	*Sale*
07/26/13	117 000	1,649.23	VARIOUS	1,500.36	0 00	148.87	Total of 2 lots
	Security total·	7,979.79		7,161.54	0.00	818 25	
NUVEEN FLOATING RATE INCOME FD CLOSED END / CUSIP: 67072T108 / Symbol: JFR							
02/27/13	135.000	1,760.82	03/22/10	1,632.15	...	128.67	Sale
	3 tax lots for 03/28/13.						
	334 000	*4,416.31*	*03/22/10*	*4,038.06*	...	*378.25*	*Sale*
	13.000	*171.89*	*02/25/11*	*161.07*	.	*10 82*	*Sale*
	35.000	*462.78*	*06/09/11*	*430.85*	...	*31 93*	*Sale*
03/28/13	382.000	5,050 98	VARIOUS	4,629.98	0.00	421.00	Total of 3 lots
	2 tax lots for 04/30/13.						
	106.000	*1,395.30*	*02/25/11*	*1,313.32*	...	*81.98*	*Sale*
	16.000	*210.61*	*06/09/11*	*196.96*	..	*13.65*	*Sale*
04/30/13	122.000	1,605.91	VARIOUS	1,510.28	0.00	95.63	Total of 2 lots
	Security total·	8,417.71		7,772.41	0 00	645.30	
NUVEEN CR STRATEGIES INCM FD COM SHS / CUSIP: 67073D102 / Symbol. JQC							
02/01/13	854 000	8,610.68	08/12/11	7,193.84	...	1,416.84	Sale
02/27/13	3.000	30 94	08/12/11	25.27	...	5 67	Sale
	Security total:	8,641.62		7,219.11	0.00	1,422.51	
PIMCO INCOME OPPORTUNITY FD CLOSED END / CUSIP 72202B100 / Symbol: PKO							
	2 tax lots for 02/27/13.						
	18 000	*564.75*	*03/03/11*	*496.96*	...	*67.79*	*Sale*
	101.000	*3,168 87*	*06/09/11*	*2,883.35*	...	*285.52*	*Sale*
02/27/13	119 000	3,733.62	VARIOUS	3,380.31	0.00	353.31	Total of 2 lots
PIONEER FLOATING RATE TR CLOSED END / CUSIP: 72369J102 / Symbol: PHD							
02/27/13	119.000	1,627.77	08/12/11	1,419.90	...	207.87	Sale
04/30/13	138.000	1,912.91	08/12/11	1,646 60	..	266.31	Sale

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes

Oppenheimer & Co. Inc. Account G511427556

Proceeds Not Reported to the IRS
(continued)

2013

LONG-TERM TRANSACTIONS *NOT reported on Form 1099-B*

Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
PIONEER FLOATING RATE TR CLOSED END / CUSIP: 72369J102 / Symbol: PHD (cont'd)							
	2 tax lots for 05/07/13.						
	37.000	*510.13*	*08/12/11*	*441.48*	...	*68.65*	*Sale*
	80.000	*1,102.98*	*03/22/12*	*1,011.89*	.	*91.09*	*Sale*
05/07/13	117.000	1,613.11	VARIOUS	1,453.37	0.00	159.74	Total of 2 lots
	Security total:	5,153.79		4,519.87	0.00	633.92	
PUTNAM PREMIER INCOME TR SH BEN INT / CUSIP· 746853100 / Symbol: PPT							
10/11/13	49 000	258.22	06/09/11	323.52	..	-65.30	Sale
WELLS FARGO ADVANTAGE MULTI COM SHS / CUSIP: 94987D101 / Symbol: ERC							
	2 tax lots for 03/28/13.						
	202.000	*3,314.74*	*03/22/10*	*2,982 58*	...	*332.16*	*Sale*
	123.000	*2,018.38*	*02/25/11*	*1,861.62*	...	*156.76*	*Sale*
03/28/13	325.000	5,333 12	VARIOUS	4,844.20	0.00	488.92	Total of 2 lots
10/11/13	24.000	336.23	03/22/10	354.37	..	-18.14	Sale
	Security total:	5,669.35		5,198.57	0 00	470.78	
WESTERN ASSET GLB HI INCOME FD CLOSED END / CUSIP, 95766B109 / Symbol: EHI							
	3 tax lots for 02/01/13.						
	151.000	*2,106.05*	*03/22/10*	*1,741.69*	..	*364.36*	*Sale*
	30.000	*418.42*	*01/04/11*	*389 10*	...	*29 32*	*Sale*
	76 000	*1,060.00*	*02/25/11*	*985.71*	..	*74.29*	*Sale*
02/01/13	257.000	3,584.47	VARIOUS	3,116.50	0 00	467.97	Total of 3 lots
	2 tax lots for 02/27/13						
	92.000	*1,282.47*	*02/25/11*	*1,193 22*	...	*89.25*	*Sale*
	44.000	*613.36*	*06/09/11*	*579.48*	...	*33.88*	*Sale*
02/27/13	136.000	1,895 83	VARIOUS	1,772.70	0.00	123 13	Total of 2 lots
	Security total	5,480.30		4,889 20	0.00	591.10	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. | Account G511427556

2013

Proceeds Not Reported to the IRS
(continued)

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
WESTERN ASSET EMRG MKT INCM FD CLOSED END / CUSIP: 95766E103 / Symbol: EMD							
	2 tax lots for 05/31/13.						
	61.000	*869.16*	*02/25/11*	*782 01*	..	*87.15*	*Sale*
	81.000	*1,154.13*	*06/09/11*	*1,141 29*	...	*12.84*	*Sale*
05/31/13	142.000	2,023.29	VARIOUS	1,923.30	0.00	99.99	Total of 2 lots
WESTERN ASSET CLYM INFL OPP IN CLOSED END / CUSIP: 95766R104 / Symbol: WIW							
	2 tax lots for 12/11/13.						
	74.000	*831.73*	*11/14/12*	*985.91*	...	*-154.18*	*Sale*
	96.000	*1,079.01*	*11/15/12*	*1,267.69*	...	*-188.68*	*Sale*
12/11/13	170.000	1,910.74	VARIOUS	2,253.60	0.00	-342.86	Total of 2 lots
ZWEIG FD COM NEW / CUSIP: 989834205 / Symbol: ZF							
06/20/13	160.000	2,054.76	01/12/12	1,830.38	...	224.38	Sale
ZWEIG TOTAL RETURN FD INC COM NEW / CUSIP: 989837208 / Symbol: ZTR							
02/27/13	113.000	1,435.87	03/22/10	1,737.13	..	-301 26	Sale
06/20/13	147.000	1,902.77	03/22/10	2,259.80	...	-357.03	Sale
07/26/13	153.000	2,002.59	03/22/10	2,352.04	..	-349.45	Sale
10/11/13	20.000	261.59	03/22/10	307 46	...	-45.87	Sale
	Security total:	5,602.82		6,656.43	0.00	-1,053.61	
	Totals:	**287,610.21**		**269,215.44**	**0.00**	**18,394.78**	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

3391

Oppenheimer & Co. Inc. — Proceeds Not Reported to the IRS — Account: Q5114439[illegible]

2013

SHORT-TERM TRANSACTIONS ***NOT reported on Form 1099-B***

Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional Information
CASCADES INC FGN 7.75% DUE 12/15/17 / CUSIP: 146900AG0 / Symbol:							
02/21/13	18,000.000	19,090.80	08/28/12	18,787.50	...	303.30	Sale Original basis: $18,787.50
COPANO ENERGY L L C B/E 7.125% DUE 04/01/21 / CUSIP: 217203AE8 / Symbol:							
04/23/13	0.000	62.50	04/23/13	0.00	...	62.50	Cash in lieu
EVEREST ACQ LLC/FINANCE B/E 7.75% DUE 09/01/22 / CUSIP: 268787AB4 / Symbol:							
	2 tax lots for 11/15/13.						
	27,000.000	*30,658.50*	*02/14/13*	*28,959.13*	...	*1,699.37*	*Sale* *Note: 56* *Original basis: $29,126.25*
	20,000.000	*22,710.00*	*08/12/13*	*21,942.55*	...	*767.45*	*Sale* *Note: 56* *Original basis: $22,000.00*
11/15/13	47,000.000	53,368.50	VARIOUS	50,901.68	0.00	2,466.82	Total of 2 lots
HARRAHS OPER INC B/E 11.25% DUE 06/01/17 / CUSIP: 413627BL3 / Symbol:							
05/06/13	40,000.000	42,320.00	06/14/12	42,608.20	...	-288.20	Sale Note: 56 Original basis: $43,160.00
INGLES MKTS INC T/S 8.875% DUE 05/15/17 UNDERLY 457030AG9 / CUSIP: 4579[illegible]JQ1 / Symbol:							
06/12/13	0.000	560.00	06/12/13	0.00	...	560.00	Cash in lieu
NEXSTAR BROADCASTING INC T/S UNDLY 65339EAB0 / CUSIP: 65339[illegible] / Symbol:							
10/01/13	0.000	750.00	10/01/13	0.00	...	750.00	Cash in lieu
PENN VA RESOURCES B/E 8.375% DUE 06/01/20 / CUSIP: 70788[illegible]AD1 / Symbol:							
12/02/13	12,000.000	13,005.00	04/26/13	12,000.00	...	1,005.00	Redemption Note: 56 Original basis: $12,990.00
PENNEY J C CORP INC B/E 5.65% DUE 06/01/20 / CUSIP: 708130AD1 / Symbol:							
03/01/13	25,000.000	20,250.00	05/07/12	24,745.00	...	-4,495.00	Sale Original basis: $24,745.00

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

SHORT-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional Information
SAFEWAY INC B/E 3.95% DUE 08/15/20 / CUSIP: 786514BS7 / Symbol:							
01/03/13	20,000.000	19,976.00	09/18/12	19,302.82	...	673.18	Sale Note: 56 Original basis: $19,276.00
	Totals:	169,382.80		168,345.20	0.00	1,037.60	

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional Information
ALON REFNG KROTZ SPRINGS INC B/E 13.5% DUE 10/15/14 / CUSIP: 02051PAC2 / Symbol:							
10/17/13	18,000.000	18,607.50	09/08/11	18,216.00	...	391.50	Redemption Original basis: $18,216.00
AMERICAN RENAL HOLDINGS INC B/E 8.375% DUE 05/15/18 / CUSIP: 029229AB7 / Symbol:							
	2 tax lots for 03/22/13. *2,000.000*	*2,060.00*	*09/08/11*	*2,000.00*	...	*60.00*	*Redemption* *Note: 56* *Original basis: $2,045.00*
	23,000.000	*24,226.55*	*09/08/11*	*23,000.00*	...	*1,226.55*	*Redemption* *Note: 56* *Original basis: $23,517.50*
03/22/13	25,000.000	26,286.55	VARIOUS	25,000.00	0.00	1,286.55	Total of 2 lots
BURLINGTON COAT FACTORY B/E 10% DUE 02/15/19 / CUSIP: 121579AG1 / Symbol:							
12/18/13	15,000.000	16,882.50	04/03/12	15,563.47	...	1,319.03	Sale Note: 56 Original basis: $15,750.00
CABLEVISION SYS CORP B/E 7.75% DUE 04/15/18 / CUSIP: 12686CAZ2 / Symbol:							
	2 tax lots for 02/13/13. *25,000.000*	*27,687.50*	*09/07/11*	*25,977.92*	...	*1,709.58*	*Sale* *Note: 56* *Original basis: $26,250.00*

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. **Proceeds Not Reported to the IRS** Account: G5[illegible]

2013 (continued)

LONG-TERM TRANSACTIONS ***NOT reported on Form 1099-B***

Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
CABLEVISION SYS CORP B/E 7.75% DUE 04/15/18 / CUSIP: 12686CAZ2 / Symbol: (cont'd)							
	2,000.000	*2,215.00*	*09/12/11*	*2,062.72*	..	*152.28*	*Sale* *Note: 56* *Original basis: $2,080.00*
02/13/13	27,000.000	29,902.50	VARIOUS	28,040.64	0.00	1,861.86	Total of 2 lots
CASCADES INC FGN 7.75% DUE 12/15/17 / CUSIP: 146900AG0 / Symbol:							
02/21/13	25,000.000	26,515.00	09/07/11	24,375.00	...	2,140.00	Sale Original basis: $24,375.00
CINCINNATI BELL INC NEW B/E 6.75% DUE 03/15/18 / CUSIP: 171871AM8 / Symbol:							
	2 tax lots for 11/12/13.						
	20,000.000	*21,110.00*	*09/06/11*	*18,929.37*	...	*2,180.63*	*Sale* *Note: 56* *Original basis: $18,390.00*
	25,000.000	*26,387.50*	*12/20/11*	*23,513.04*	...	*2,874.46*	*Sale* *Note: 56* *Original basis: $22,862.50*
11/12/13	45,000.000	47,497.50	VARIOUS	42,442.41	0.00	5,055.09	Total of 2 lots
COPANO ENERGY L L C B/E 7.125% DUE 04/01/21 / CUSIP: 217203AE8 / Symbol:							
09/04/13	8,000.000	8,570.00	09/08/11	8,000.00	...	570.00	Redemption Original basis: $8,000.00
GYMBOREE CORP B/E 9.125% DUE 12/01/18 / CUSIP: 403777AB1 / Symbol:							
01/09/13	27,000.000	25,177.50	12/19/11	24,482.69	...	694.81	Sale Note: 56 Original basis: $24,030.00
INGLES MKTS INC T/S 8.875% DUE 05/15/17 UNDERLY 457030AG9 / CUSIP: 45799AJQ1 / Symbol:							
	2 tax lots for 06/12/13.						
	25,000.000	*25,734.50*	*09/07/11*	*26,250.00*	...	*-515.50*	*Redemption* *Original basis: $26,250.00*
	3,000.000	*3,088.14*	*09/12/11*	*3,150 00*	...	*-61.86*	*Redemption* *Original basis: $3,150.00*
06/12/13	28,000.000	28,822.64	VARIOUS	29,400.00	0.00	-577.36	Total of 2 lots

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

LONG-TERM TRANSACTIONS* *NOT reported on Form 1099-B

Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
NEXSTAR BROADCASTING INC T/S UNDLY 65339EAB0 / CUSIP: 65399AFS3 / Symbol:							
10/01/13	25,000.000	26,468.75	09/07/11	25,810.00	...	658.75	Redemption Original basis: $25,810.00
PENN VA RESOURCE PARTNERS LP B/E 8.25% DUE 04/15/18 / CUSIP: 70788AAA6 / Symbol:							
	3 tax lots for 04/26/13.						
	25,000.000	*26,562.50*	*09/08/11*	*25,000.00*	...	*1,562.50*	*Sale* *Original basis: $25,000.00*
	3,000.000	*3,187.50*	*09/12/11*	*2,970.00*	...	*217.50*	*Sale* *Original basis: $2,970.00*
	30,000.000	*31,875.00*	*03/20/12*	*30,859.61*	...	*1,015.39*	*Sale* *Note: 56* *Original basis: $31,050.00*
04/26/13	58,000.000	61,625.00	VARIOUS	58,829.61	0.00	2,795.39	Total of 3 lots
SMITHFIELD FOODS INC B/E 7.75% DUE 07/01/17 / CUSIP: 832248AQ1 / Symbol:							
05/30/13	25,000.000	29,125.00	09/07/11	25,790.78	...	3,334.22	Sale Note: 56 Original basis: $26,125.00
TIME WARNER CABLE INC B/E 4.125% DUE 02/15/21 / CUSIP: 88732JAX6 / Symbol:							
07/08/13	30,000.000	27,742.20	[illegible]	29,968.80	...	-2,226.60	Sale Original basis: $29,968.80
VANGUARD HEALTH HLDG CO II LLC B/E 8% DUE 02/01/18 / CUSIP: [illegible] / Symbol:							
10/31/13	25,000.000	26,459.75	09/08/11	25,000.00	...	1,459.75	Redemption Note: 56 Original basis: $24,500.00
	Totals:	399,682.39		380,919.40	0.00	18,762.99	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

#3281

Oppenheimer & Co. Inc. Account G511433281

Proceeds Not Reported to the IRS

2013

SHORT-TERM TRANSACTIONS ***NOT reported on Form 1099-B***

Report on Form 8949, Part I, with Box C checked

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
BLACKROCK GLOBAL ALLOC FD A OPEN END / CUSIP: 09251T103 / Symbol: MDLOX							
	3 tax lots for 10/22/13.						
	21.818	*478.69*	*12/20/12*	*430.25*	..	*48.44*	*Sale*
	39.962	*876.77*	*07/08/13*	*830.80*	...	*45.97*	*Sale*
	24.859	*545 41*	*07/19/13*	*527.02*	...	*18.39*	*Sale*
10/22/13	86.639	1,900.87	VARIOUS	1,788.07	0 00	112.80	Total of 3 lots
EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FD CL A / CUSIP 277923736 / Symbol· EAGMX							
	15 tax lots for 10/22/13.						
	24.116	*227 66*	*11/01/12*	*238.75*	...	*-11.09*	*Sale*
	23 682	*223.56*	*12/03/12*	*231.85*	.	*-8.29*	*Sale*
	24.411	*230.44*	*01/02/13*	*240.20*	..	*-9.76*	*Sale*
	97.552	*920.89*	*01/07/13*	*963.81*	...	*-42.92*	*Sale*
	24 552	*231.77*	*02/01/13*	*243.56*	...	*-11.79*	*Sale*
	22.398	*211.44*	*03/01/13*	*221.52*	..	*-10.08*	*Sale*
	24.870	*234.77*	*03/28/13*	*245.96*	...	*-11.19*	*Sale*
	34.020	*321.15*	*04/08/13*	*335.78*	...	*-14.63*	*Sale*
	24 300	*229.39*	*04/30/13*	*239.60*	..	*-10.21*	*Sale*
	4,191.360	*39,566.44*	*05/14/13*	*41,536.38*	...	*-1,969.94*	*Sale*
	38.280	*361.36*	*05/31/13*	*375 91*	...	*-14.55*	*Sale*
	37.790	*356.74*	*06/28/13*	*364.67*	..	*-7.93*	*Sale*
	39.316	*371.14*	*07/31/13*	*378.22*	...	*-7.08*	*Sale*
	40.107	*378.61*	*08/30/13*	*379 41*	...	*-0.80*	*Sale*
	38 280	*361.36*	*09/30/13*	*360.98*	...	*0.38*	*Sale*
10/22/13	4,685.034	44,226.72	VARIOUS	46,356.60	0.00	-2,129.88	Total of 15 lots
FEDERATED INCOME SECS TR PRUDENT DOLLARBEAR FD INSTL CL / CUSIP 31420C688 / Symbol: FPGIX							
	5 tax lots for 05/14/13.						
	6,372 812	*72,395.15*	*05/18/12*	*75,517.82*	..	*-3,122.67*	*Sale*
	97.933	*1,112.52*	*07/10/12*	*1,156.59*	...	*-44.07*	*Sale*
	6.823	*77.51*	*12/14/12*	*82.29*	...	*-4.78*	*Sale*
	172.773	*1,962.70*	*01/07/13*	*2,066.37*	..	*-103.67*	*Sale*
	284.664	*3,233.78*	*04/08/13*	*3,293.56*	...	*-59.78*	*Sale*
05/14/13	6,935.005	78,781.66	VARIOUS	82,116.63	0.00	-3,334.97	Total of 5 lots

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. | Account G511433281

Proceeds Not Reported to the IRS
(continued)

2013

SHORT-TERM TRANSACTIONS ***NOT reported on Form 1099-B***

Report on Form 8949, Part I, with Box C checked

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
Description / CUSIP / Symbol							
GATEWAY FUND CLASS A OPEN END SBI/CBI / CUSIP: 367829207 / Symbol: GATEX							
04/08/13	54.511	1,526.32	05/18/12	1,437.46	..	88.86	Sale
IVA WORLDWIDE FD CL A OPEN END / CUSIP. 45070A107 / Symbol· IVWAX							
01/07/13	118.159	1,904.73	05/18/12	1,778 29	...	126.44	Sale
04/08/13	212.094	3,578.03	05/18/12	3,192.01	...	386.02	Sale
05/14/13	108.291	1,881.01	05/18/12	1,629 78	...	251.23	Sale
	Secunty total	7,363.77		6,600.08	0.00	763.69	
IVY ASSET STRATEGY FD A OPEN END / CUSIP: 466000759 / Symbol: WASAX							
01/07/13	213.085	5,625.45	05/18/12	4,984.06	...	641.39	Sale
05/14/13	110.116	3,082.16	05/18/12	2,575.61	...	506.55	Sale
	Security total·	8,707.61		7,559.67	0.00	1,147.94	
LORD ABBETT INVT TR SHORT DURATION INCOME FD CL F / CUSIP· 543916464 / Symbol: LDLFX							
	15 tax lots for 10/22/13.						
	72 155	*329.75*	*11/02/12*	*335.52*	...	*-5 77*	*Sale*
	69.502	*317.62*	*12/04/12*	*322.49*	...	*-4.87*	*Sale*
	6.690	*30.57*	*12/20/12*	*31.04*	...	*-0.47*	*Sale*
	71 131	*325.07*	*01/03/13*	*330.05*	...	*-4.98*	*Sale*
	68.241	*311.86*	*02/05/13*	*316 64*	...	*-4.78*	*Sale*
	70.961	*324.29*	*03/04/13*	*329.26*	..	*-4.97*	*Sale*
	68.681	*313.87*	*04/02/13*	*318.68*	...	*-4.81*	*Sale*
	76.481	*349.52*	*04/08/13*	*354.87*	...	*-5.35*	*Sale*
	68.933	*315.02*	*05/02/13*	*320.54*	...	*-5.52*	*Sale*
	252.506	*1,153.95*	*05/14/13*	*1,171.63*	...	*-17.68*	*Sale*
	69 673	*318.41*	*06/05/13*	*321.89*	..	*-3.48*	*Sale*
	74.090	*338.59*	*07/02/13*	*337.85*	...	*0.74*	*Sale*
	74 875	*342.18*	*08/02/13*	*341.43*	...	*0.75*	*Sale*
	75.753	*346.19*	*09/04/13*	*343.92*	.	*2.27*	*Sale*
	72.232	*330.10*	*10/02/13*	*329.38*	...	*0.72*	*Sale*
10/22/13	1,191.904	5,446.99	VARIOUS	5,505.19	0.00	-58.20	Total of 15 lots

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. Account G511433281

Proceeds Not Reported to the IRS
(continued)

2013

SHORT-TERM TRANSACTIONS NOT reported on Form 1099-B
Report on Form 8949, Part I, with Box C checked

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
ALTEGRIS MACRO STRATEGY CL I OPEN END / CUSIP: 66537Y504 / Symbol: MCRIX							
	3 tax lots for 10/22/13.						
	615 853	*5,080.79*	*01/07/13*	*5,518.04*	...	*-437.25*	*Sale*
	384.111	*3,168.92*	*04/08/13*	*3,341 77*	...	*-172 85*	*Sale*
	5,021.709	*41,429.10*	*05/14/13*	*43,136 48*	...	*-1,707.38*	*Sale*
10/22/13	6,021.673	49,678.81	VARIOUS	51,996.29	0.00	-2,317.48	Total of 3 lots
WELLS FARGO ADV ABSOLUTE RETURN FD ADMIN / CUSIP: 94987W307 / Symbol WARDX							
01/07/13	163.011	1,696.94	05/18/12	1,563.28	...	133.66	Sale
04/08/13	44.719	477.15	05/18/12	428.86	...	48.29	Sale
05/14/13	163.265	1,805.71	05/18/12	1,565.71	...	240.00	Sale
	Security total	3,979.80		3,557.85	0.00	421.95	
	Totals:	**201,612.55**		**206,917.84**	**0.00**	**-5,305.29**	

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B
Report on Form 8949, Part II, with Box F checked

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
BLACKROCK GLOBAL ALLOC FD A OPEN END / CUSIP: 09251T103 / Symbol: MDLOX							
01/07/13	68.579	1,367.47	02/01/11	1,359.24	..	8 23	Sale
04/08/13	60 922	1,258 64	02/01/11	1,207.47	.	51.17	Sale
05/14/13	87.429	1,873 61	02/01/11	1,732.84	...	140.77	Sale
09/09/13	24 146	510.20	02/01/11	478.57	..	31.63	Sale
09/16/13	47.817	1,020.41	02/01/11	947.73	..	72.68	Sale
	5 tax lots for 10/22/13.						
	3,239.847	*71,082.24*	*02/01/11*	*64,213.76*	..	*6,868.48*	*Sale*
	59.424	*1,303.76*	*07/22/11*	*1,203.94*	...	*99.82*	*Sale*
	229.958	*5,045.28*	*10/11/11*	*4,217.43*	..	*827.85*	*Sale*
	177.096	*3,885.49*	*12/20/11*	*3,136.37*	...	*749.12*	*Sale*
	27 025	*592.93*	*07/20/12*	*509 15*	...	*83.78*	*Sale*
10/22/13	3,733.350	81,909 70	VARIOUS	73,280.65	0.00	8,629.05	Total of 5 lots
	Security total	87,940.03		79,006.50	0.00	8,933.53	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes

Oppenheimer & Co. Inc.

Account G511433281

2013

Proceeds Not Reported to the IRS
(continued)

LONG-TERM TRANSACTIONS ***NOT reported on Form 1099-B***

Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
DIAMOND HILL LONG-SHORT FD A OPEN END / CUSIP: 25264S403 / Symbol: DIAMX							
01/07/13	60.745	1,128.04	02/01/11	1,017.48	...	110.56	Sale
04/08/13	160.989	3,169.87	02/01/11	2,696.57	...	473 30	Sale
05/14/13	87.074	1,781.53	02/01/11	1,458 49	...	323.04	Sale
07/08/13	114.268	2,358.50	02/01/11	1,913.99	...	444.51	Sale
09/09/13	24.238	510 20	02/01/11	405 99	...	104.21	Sale
09/16/13	48.087	1,020.41	02/01/11	805.46	...	214.95	Sale
10/22/13	106.395	2,308.78	02/01/11	1,782.12	...	526 66	Sale
Security total:		12,277.33		10,080.10	0 00	2,197.23	
EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FD CL A / CUSIP: 277923736 / Symbol: EAGMX							
09/09/13	80.814	765.31	07/12/10	837.23	...	-71.92	Sale
09/16/13	161 798	1,530.61	07/12/10	1,676 23	...	-145.62	Sale
	33 tax lots for 10/22/13.						
	1,379.901	*13,026.27*	*07/12/10*	*14,295.77*	...	*-1,269.51*	*Sale*
	37.625	*355 18*	*08/02/10*	*389.04*	..	*-33.86*	*Sale*
	70.699	*667 40*	*09/01/10*	*732.44*	...	*-65.04*	*Sale*
	68.683	*648.37*	*10/01/10*	*711.56*	...	*-63.19*	*Sale*
	71.517	*675.12*	*11/01/10*	*738.06*	...	*-62.94*	*Sale*
	69 405	*655.18*	*12/01/10*	*716.95*	..	*-61.77*	*Sale*
	72 339	*682.88*	*01/03/11*	*743 64*	.	*-60.76*	*Sale*
	72.732	*686.59*	*02/01/11*	*744.05*	...	*-57.46*	*Sale*
	3,925 303	*37,054.86*	*02/01/11*	*40,195.10*	..	*-3,140.24*	*Sale*
	76 539	*722.53*	*03/01/11*	*782.99*	...	*-60.46*	*Sale*
	77.561	*732.18*	*04/01/11*	*791.12*	...	*-58 94*	*Sale*
	282.440	*2,666.23*	*04/12/11*	*2,880.89*	..	*-214.66*	*Sale*
	75.274	*710.59*	*05/02/11*	*772.31*	.	*-61.72*	*Sale*
	68.967	*651.05*	*06/01/11*	*705.53*	...	*-54 48*	*Sale*
	67.345	*635.74*	*07/01/11*	*684.90*	...	*-49.16*	*Sale*
	69.220	*653.44*	*08/01/11*	*703.97*	...	*-50.53*	*Sale*
	69.049	*651.82*	*09/01/11*	*698.78*	..	*-46 96*	*Sale*
	68 867	*650 10*	*10/03/11*	*678.34*	..	*-28.24*	*Sale*
	69.631	*657.32*	*11/01/11*	*693 52*	..	*-36.20*	*Sale*
	67.034	*632.80*	*12/01/11*	*663.64*	..	*-30 84*	*Sale*
	69.974	*660.55*	*01/03/12*	*687.84*	.	*-27.29*	*Sale*
	183.496	*1,732.20*	*01/10/12*	*1,820.28*	...	*-88.08*	*Sale*

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc.

Account G511433281

Proceeds Not Reported to the IRS
(continued)

2013

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FD CL A / CUSIP. 277923736 / Symbol: EAGMX (cont'd)							
	69.140	652 68	02/01/12	690.71	...	-38 03	Sale
	64.950	613 13	03/01/12	650.80	...	-37.67	Sale
	69.986	660.67	04/02/12	697.76	..	-37.09	Sale
	106.922	1,009.34	04/10/12	1,066.01	...	-56.67	Sale
	68.213	643.93	05/01/12	678.72	..	-34.79	Sale
	59.792	564.44	06/01/12	582.97	..	-18.53	Sale
	23.046	217.55	07/02/12	225.85	...	-8.30	Sale
	84 690	799.47	07/10/12	830.81	...	-31.34	Sale
	23.964	226.22	08/01/12	235.33	...	-9.11	Sale
	24.079	227.31	09/04/12	237.42	...	-10.11	Sale
	23 102	218.08	10/01/12	230.33	...	-12.25	Sale
10/22/13	7,631.485	72,041.22	VARIOUS	77,957.43	0.00	-5,916.22	Total of 33 lots
Security total:		74,337.14		80,470.89	0.00	-6,133.76	
GATEWAY FUND CLASS A OPEN END SBI/CBI / CUSIP: 367829207 / Symbol. GATEX							
07/08/13	43.188	1,211.42	05/18/12	1,138.87	..	72.55	Sale
09/09/13	27.100	765.30	05/18/12	714.63	..	50.67	Sale
09/16/13	53.951	1,530 60	05/18/12	1,422.69	...	107.91	Sale
10/22/13	269 306	7,683.30	05/18/12	7,101 60	...	581.70	Sale
Security total:		11,190.62		10,377.79	0 00	812 83	
IVA WORLDWIDE FD CL A OPEN END / CUSIP: 45070A107 / Symbol: IVWAX							
09/09/13	43.311	765.31	05/18/12	651.83	.	113 48	Sale
09/16/13	85 845	1,530 61	05/18/12	1,291.97	...	238.64	Sale
10/22/13	2,540.884	46,803.08	05/18/12	38,240 30	...	8,562 78	Sale
Security total		49,099.00		40,184.10	0 00	8,914 90	
IVY ASSET STRATEGY FD A OPEN END / CUSIP 466000759 / Symbol: WASAX							
09/09/13	17.515	510.20	05/18/12	409.68	...	100 52	Sale
09/16/13	34 708	1,020.41	05/18/12	811.82	...	208.59	Sale
10/22/13	290.504	8,918.48	05/18/12	6,794.89	...	2,123 59	Sale
Security total.		10,449.09		8,016.39	0.00	2,432 70	
JP MORGAN STRATEGIC INCOME OPPORTUNITIES FUND CLASS A / CUSIP: 4812A4385 / Symbol· JSOAX							
01/07/13	79.399	941.67	12/21/11	899.59	..	42.08	Sale

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes

Oppenheimer & Co. Inc.

Account G511433281

Proceeds Not Reported to the IRS
(continued)

2013

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional Information
JP MORGAN STRATEGIC INCOME OPPORTUNITIES FUND CLASS A / CUSIP. 4812A4385 / Symbol: JSOAX (cont'd)							
07/08/13	60.510	714.62	12/21/11	685 58	...	29 04	Sale
09/09/13	56.162	663 27	12/21/11	636 32	...	26.95	Sale
09/16/13	112.133	1,326 53	12/21/11	1,270.47	...	56 06	Sale
	Security total	3,646.09		3,491.96	0.00	154 13	
LORD ABBETT INVT TR SHORT DURATION INCOME FD CL F / CUSIP: 543916464 / Symbol: LDLFX							
09/09/13	146.095	663.27	05/18/12	667.65	...	-4 38	Sale
09/16/13	292.187	1,326.53	05/18/12	1,335 29	...	-8.76	Sale
	8 tax lots for 10/22/13.						
	21,043.812	*96,170 22*	*05/18/12*	*96,170.22*	...	*0.00*	*Sale*
	20.993	*95 94*	*06/04/12*	*95.94*	...	*0 00*	*Sale*
	73 197	*334.51*	*07/03/12*	*335.24*	...	*-0.73*	*Sale*
	103.684	*473 84*	*07/10/12*	*475.91*	...	*-2.07*	*Sale*
	71.720	*327.76*	*08/02/12*	*330.63*	...	*-2 87*	*Sale*
	73.368	*335.29*	*09/05/12*	*338.96*	...	*-3.67*	*Sale*
	71.696	*327 65*	*10/02/12*	*332.67*	...	*-5.02*	*Sale*
	135.782	*620.52*	*10/10/12*	*630.03*	...	*-9 51*	*Sale*
10/22/13	21,594.252	98,685.73	VARIOUS	98,709.60	0.00	-23 87	Total of 8 lots
	Security total.	100,675.53		100,712.54	0.00	-37 01	
MERGER FUND-SBI OPEN END SBI/CBI / CUSIP: 589509108 / Symbol: MERFX							
01/07/13	40.590	643.76	03/25/10	641.32	...	2 44	Sale
07/08/13	142 715	2,272 03	03/25/10	2,254 90	...	17.13	Sale
09/09/13	63.301	1,020.41	03/25/10	1,000.16	...	20.25	Sale
09/16/13	126.445	2,040.82	03/25/10	1,997.83	...	42 99	Sale
10/22/13	2,950.718	47,949.16	03/25/10	46,621.34	...	1,327.82	Sale
	Security total:	53,926.18		52,515.55	0 00	1,410.63	
EQUINOX MUTUALHEDGE FUTURES STRAT FD CL A / CUSIP: 66537V682 / Symbol: MHFAX							
04/08/13	59.786	578.73	02/01/11	617.59	...	-38 86	Sale
09/09/13	115.170	1,020.41	02/01/11	1,189 71	...	-169.30	Sale
09/16/13	229.306	2,040.82	02/01/11	2,368.73	...	-327 91	Sale
	6 tax lots for 10/22/13						
	6,253.570	*57,095.10*	*02/01/11*	*64,599.38*	...	*-7,504.28*	*Sale*

\# Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes

Oppenheimer & Co. Inc.

Account G511433281

2013

Proceeds Not Reported to the IRS

(continued)

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
EQUINOX MUTUALHEDGE FUTURES STRAT FD CL A / CUSIP: 66537V682 / Symbol: MHFAX (cont'd)							
	222.389	*2,030.41*	*07/12/11*	*2,250.58*	.	*-220 17*	*Sale*
	263.709	*2,407.66*	*01/03/12*	*2,616.00*	...	*-208.34*	*Sale*
	322.257	*2,942 21*	*01/10/12*	*3,219 35*	..	*-277.14*	*Sale*
	339.881	*3,103.11*	*04/10/12*	*3,313.84*	...	*-210 73*	*Sale*
	772.542	*7,053 31*	*05/18/12*	*7,663 62*	...	*-610.31*	*Sale*
10/22/13	8,174.348	74,631.80	VARIOUS	83,662.77	0.00	-9,030 97	Total of 6 lots
Security total:		78,271.76		87,838.80	0.00	-9,567 04	
ALTEGRIS MACRO STRATEGY CL I OPEN END / CUSIP: 66537Y504 / Symbol: MCRIX							
07/08/13	375.520	3,244 49	05/18/12	3,676 34	...	-431.85	Sale
09/09/13	92.095	765.31	05/18/12	901.61	...	-136 30	Sale
09/16/13	183.526	1,530.61	05/18/12	1,796.72	...	-266.11	Sale
3 tax lots for 10/22/13.							
	7,062.630	*58,266.70*	*05/18/12*	*69,143.15*	...	*-10,876.45*	*Sale*
	177.485	*1,464 25*	*07/10/12*	*1,723.38*	..	*-259 13*	*Sale*
	344 297	*2,840.45*	*10/10/12*	*3,277.71*	...	*-437.26*	*Sale*
10/22/13	7,584.412	62,571 40	VARIOUS	74,144.24	0.00	-11,572.84	Total of 3 lots
Security total:		68,111.81		80,518.91	0.00	-12,407.10	
PIMCO ALL ASSET FUND-A OPEN END / CUSIP. 72200Q711 / Symbol: PASAX							
01/07/13	122.452	1,545.35	02/01/11	1,478.00	.	67.35	Sale
05/14/13	14.790	189.76	02/01/11	178.52	...	11.24	Sale
09/09/13	42.305	510.20	02/01/11	510.62	...	-0.42	Sale
09/16/13	83 640	1,020.41	02/01/11	1,009.53	...	10.88	Sale
10/22/13	227.043	2,851.66	02/01/11	2,740.41	...	111.25	Sale
Security total.		6,117.38		5,917.08	0.00	200 30	
WASATCH FDS INC 1ST SOURCE LONG/SHORT FD / CUSIP: 936793835 / Symbol: FMLSX							
01/07/13	389.472	5,569.45	02/01/11	5,059.24	.	510.21	Sale
04/08/13	277 704	4,151.67	02/01/11	3,607.37	...	544.30	Sale
05/14/13	235.541	3,665.02	02/01/11	3,059.68	...	605.34	Sale
07/08/13	182.151	2,816.06	02/01/11	2,366.14	..	449.92	Sale
09/09/13	65 285	1,020.41	02/01/11	848.05	.	172.36	Sale
09/16/13	130.071	2,040.82	02/01/11	1,689.62	...	351.20	Sale

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc.

Account G511433281

Proceeds Not Reported to the IRS
(continued)

2013

LONG-TERM TRANSACTIONS *NOT reported on Form 1099-B*

Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
WASATCH FDS INC 1ST SOURCE LONG/SHORT FD / CUSIP· 936793835 / Symbol· FMLSX (cont'd)							
10/22/13	273.513	4,460.99	02/01/11	3,552.93	...	908 06	Sale
	Security total.	23,724.42		20,183.03	0.00	3,541.39	
WELLS FARGO ADV ABSOLUTE RETURN FD ADMIN / CUSIP: 94987W307 / Symbol: WARDX							
09/09/13	46.850	510.20	05/18/12	449.29	...	60.91	Sale
09/16/13	92 680	1,020.41	05/18/12	888.80	..	131.61	Sale
10/22/13	124.188	1,397.12	05/18/12	1,190.96	...	206 16	Sale
	Security total:	2,927 73		2,529 05	0.00	398.68	
	Totals:	**582,694.11**		**581,842.69**	**0.00**	**851.41**	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes

7657

Oppenheimer & Co. Inc. — Proceeds Not Reported to the IRS — Account: G5L1407657

2013

SHORT-TERM TRANSACTIONS *NOT reported on Form 1099-B*

Report on Form 8949, Part I, with Box C checked

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
MOTORS LIQ CO GUC TR UNIT BEN INT / CUSIP: 62010U101 / Symbol: MTLQU							
02/05/13	613.000	14,277.58	10/01/12	10,421.00	...	3,856.58	Sale

LONG-TERM TRANSACTIONS *NOT reported on Form 1099-B*

Report on Form 8949, Part II, with Box F checked

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
BANK OF AMERICA CORPORATION PFD 1/1200SER8 8.625% / CUSIP: 060505559 / Symbol: BMLPRQCL							
05/28/13	14,000.000	350,000.00	12/11/08	[illegible]	...	80,889.00	Tender
BANK OF AMERICA CORPORATION DEP 1/1000SR H 8.2% / CUSIP: 060505765 / Symbol: BACPRHCL							
05/01/13	5,601.000	140,025.00	12/11/08	109,110.63	...	30,914.37	Tender
CREDIT SUISSE GUERNSEY BRH 7.9% CAP NT 13 / CUSIP: 225448208 / Symbol: CRPCL							
03/28/13	8,000.000	200,000.00	12/10/09	201,599.20	...	-1,599.20	Tender
CSFB MTG PTC 2005-4 CL III-A5 6% DUE 08/25/35 / CUSIP: 225458QB7 / Symbol:							
04/25/13	1,000.000	1,000.00	12/11/08	1,041.00	...	-41.00	Redemption Original basis: $1,041.00
06/25/13	1,000.000	1,000.00	12/11/08	1,041.00	...	-41.00	Redemption Original basis: $1,041.00
07/26/13	1,000.000	1,000.00	12/11/08	1,041.00	...	-41.00	Redemption Original basis: $1,041.00
08/27/13	1,000.000	1,000.00	12/11/08	1,041.00	...	-41.00	Redemption Original basis: $1,041.00
Security total:		4,000.00		4,164.00	0.00	-164.00	
GENERAL MTRS CO / CUSIP. 37045V100 / Symbol: GM							
5 tax lots for 02/05/13.							
	971.000	*27,709.93*	*12/20/04*	*128,030.35*	...	*-100,320.42*	*Sale*
	388.000	*11,072.56*	*01/18/05*	*48,571.68*	...	*-37,499.12*	*Sale*
	971.000	*27,709.93*	*03/09/05*	*117,031.17*	...	*-89,321.24*	*Sale*
	63.000	*1,797.86*	*07/28/11*	*0.00*	...	*1,797.86*	*Sale*

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. Account G51 1407657
2013
Proceeds Not Reported to the IRS
(continued)

LONG-TERM TRANSACTIONS   NOT reported on Form 1099-B

Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
GENERAL MTRS CO / CUSIP: 37045V100 / Symbol: GM (cont'd)							
	47.000	*1,341.26*	*10/28/11*	*0.00*	...	*1,341.26*	*Sale*
02/05/13	2,440.000	69,631.54	VARIOUS	293,633.20	0.00	-224,001.66	Total of 5 lots
GENERAL MTRS CO WARRANT / CUSIP: 37045V118 / Symbol:							
	5 tax lots for 02/05/13.						
	883.000	*16,968.89*	*12/20/04*	*81,503.58*	...	*-64,534.69*	*Sale*
	353.000	*6,783.71*	*01/18/05*	*30,920.52*	..	*-24,136.81*	*Sale*
	883.000	*16,968.89*	*03/09/05*	*74,501.55*	...	*-57,532.66*	*Sale*
	57.000	*1,095.39*	*07/28/11*	*0.00*	...	*1,095.39*	*Sale*
	43.000	*826.34*	*10/28/11*	*0.00*	...	*826.34*	*Sale*
02/05/13	2,219.000	42,643.22	VARIOUS	186,925.65	0.00	-144,282.43	Total of 5 lots
GENERAL MTRS CO WARRANT / CUSIP: 37045V126 / Symbol:							
	5 tax lots for 02/05/13.						
	883.000	*10,970.49*	*12/20/04*	*62,871.07*	...	*-51,900.58*	*Sale*
	353.000	*4,385.71*	*01/18/05*	*23,851.80*	...	*-19,466.09*	*Sale*
	883.000	*10,970.49*	*03/09/05*	*57,469.78*	...	*-46,499.29*	*Sale*
	57.000	*708.17*	*07/28/11*	*0.00*	...	*708.17*	*Sale*
	43.000	*534.24*	*10/28/11*	*0.00*	...	*534.24*	*Sale*
02/05/13	2,219.000	27,569.10	VARIOUS	144,192.65	0.00	-116,623.55	Total of 5 lots
	Totals:	**833,868.86**		**1,208,736.33**	**0.00**	**-374,867.47**	

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