Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

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

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning , and ending

Name of foundation
STEPHANIE H. & DAVID A. SPINA
FAMILY FOUNDATION

A Employer identification number
20-2017017

Number and street (or P O box number if mail is not delivered to street address) | Room/suite
17 CAMPBELL ROAD

B Telephone number
508-357-7187

City or town, state or province, country, and ZIP or foreign postal code
WAYLAND, MA 01778

C If exemption application is pending, check here ▶ ☐

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

D 1. Foreign organizations, check here ▶ ☐
2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

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

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

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶$ 10,176,359.

J Accounting method: [X] 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).)

		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received			N/A	
	2 Check ▶ [X] if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	146,114.	146,114.		STATEMENT 1
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	316,674.			
	b Gross sales price for all assets on line 6a 1,527,630.				
	7 Capital gain net income (from Part IV, line 2)		316,674.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss)				
	11 Other income	5,642.	5,642.		STATEMENT 2
	12 **Total** Add lines 1 through 11	468,430.	468,430.		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0.	0.		0.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees				
	b Accounting fees STMT 3	3,500.	1,750.		1,750.
	c Other professional fees STMT 4	46,491.	46,491.		0.
	17 Interest				
	18 Taxes STMT 5	23,186.	4,629.		70.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses STMT 6	57,612.	57,612.		0.
	24 **Total operating and administrative expenses.** Add lines 13 through 23	130,789.	110,482.		1,820.
	25 Contributions, gifts, grants paid	545,500.			545,500.
	26 **Total expenses and disbursements** Add lines 24 and 25	676,289.	110,482.		547,320.
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	<207,859.>			
	b **Net investment income** (if negative, enter -0-)		357,948.		
	c **Adjusted net income** (if negative, enter -0-)			N/A	

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

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	228,314.	108,258.	108,258.
	3 Accounts receivable ▶ 15,422.			
	Less: allowance for doubtful accounts ▶		15,422.	15,422.
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations STMT 7	1,602,523.	1,090,158.	1,118,167.
	b Investments - corporate stock STMT 8	475,957.	495,245.	680,386.
	c Investments - corporate bonds			
	11 Investments - land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other STMT 9	5,790,685.	6,180,537.	8,254,126.
	14 Land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	15 Other assets (describe ▶)			
	16 **Total assets** (to be completed by all filers - see the instructions. Also, see page 1, item I)	8,097,479.	7,889,620.	10,176,359.
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
	23 **Total liabilities** (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances	**Foundations that follow SFAS 117, check here** ▶ ☐ **and complete lines 24 through 26 and lines 30 and 31.**			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☒ **and complete lines 27 through 31.**			
	27 Capital stock, trust principal, or current funds	0.	0.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	8,097,479.	7,889,620.	
	30 **Total net assets or fund balances**	8,097,479.	7,889,620.	
	31 **Total liabilities and net assets/fund balances**	8,097,479.	7,889,620.	

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	8,097,479.
2	Enter amount from Part I, line 27a	2	<207,859.>
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	7,889,620.
5	Decreases not included in line 2 (itemize) ▶	5	0.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	7,889,620.

Part IV Capital Gains and Losses for Tax on Investment Income

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

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a				
b				
c				
d				
e	1,527,630.		1,432,477.	316,674.

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

	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a				
b				
c				
d				
e				316,674.

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 } 2 316,674.

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

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2012	408,570.	8,527,326.	.047913
2011	433,271.	8,742,493.	.049559
2010	365,518.	8,922,345.	.040967
2009	488,274.	8,005,546.	.060992
2008	498,606.	9,058,653.	.055042

2	Total of line 1, column (d)	2	.254473
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	.050895
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	9,414,573.
5	Multiply line 4 by line 3	5	479,155.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	3,579.
7	Add lines 5 and 6	7	482,734.
8	Enter qualifying distributions from Part XII, line 4	8	547,320.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter: ________ (attach copy of letter if necessary-see instructions)				
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☒ and enter 1% of Part I, line 27b			1	3,579.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).				
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			2	0.
3 Add lines 1 and 2			3	3,579.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			4	0.
5 **Tax based on investment income** Subtract line 4 from line 3. If zero or less, enter -0-			5	3,579.
6 Credits/Payments:				
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a	7,600.		
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	7,600.
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	4,021.
11 Enter the amount of line 10 to be: **Credited to 2014 estimated tax** ▶	4,021.	**Refunded** ▶	11	0.

Part VII-A | Statements Regarding Activities

		Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)?	1b		X
If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities			
c Did the foundation file **Form 1120-POL** for this year?	1c		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: **(1)** On the foundation. ▶ $ 0. **(2)** On foundation managers. ▶ $ 0.			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0.			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities*	2		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		X
4a Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A	4b		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7 Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col. (c), and Part XV*	7	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ MA			
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation*	8b	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		X

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

		Line	Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ▶ WWW.GUIDESTAR.ORG

14 The books are in care of ▶ RAPHAEL & RAPHAEL, ATTN: B. CARNEY Telephone no. ▶ 617-357-0100
Located at ▶ 52 CHURCH STREET, BOSTON, MA ZIP+4 ▶ 02116

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

If "Yes," attach the statement required by Regulations section 53 4945-5(d).

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** No: X

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

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

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

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
DAVID A. SPINA 17 CAMPBELL ROAD WAYLAND, MA 01778	TRUSTEE 2.00	0.	0.	0.
STEPHANIE H. SPINA 17 CAMPBELL ROAD WAYLAND, MA 01778	TRUSTEE 2.00	0.	0.	0.

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

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

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

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

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

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

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

Part IX-A Summary of Direct Charitable Activities

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

Part IX-B Summary of Program-Related Investments

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

Form **990-PF** (2013)

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:			
a	Average monthly fair market value of securities		1a	9,388,562.
b	Average of monthly cash balances		1b	169,380.
c	Fair market value of all other assets		1c	
d	Total (add lines 1a, b, and c)		1d	9,557,942.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e 0.		
2	Acquisition indebtedness applicable to line 1 assets		2	0.
3	Subtract line 2 from line 1d		3	9,557,942.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)		4	143,369.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4		5	9,414,573.
6	**Minimum investment return.** Enter 5% of line 5		6	470,729.

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	470,729.
2a	Tax on investment income for 2013 from Part VI, line 5	2a 3,579.		
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b		
c	Add lines 2a and 2b		2c	3,579.
3	Distributable amount before adjustments. Subtract line 2c from line 1		3	467,150.
4	Recoveries of amounts treated as qualifying distributions		4	0.
5	Add lines 3 and 4		5	467,150.
6	Deduction from distributable amount (see instructions)		6	0.
7	**Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1		7	467,150.

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	547,320.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	547,320.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	3,579.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	543,741.

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				467,150.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			418,818.	
b Total for prior years: 2011 , ____ , ____		19,070.		
3 Excess distributions carryover, if any, to 2013:				
a From 2008				
b From 2009				
c From 2010				
d From 2011				
e From 2012				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2013 from Part XII, line 4: ▶ $ 547,320.				
a Applied to 2012, but not more than line 2a			418,818.	
b Applied to undistributed income of prior years (Election required - see instructions) *		19,070.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2013 distributable amount				109,432.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				357,718.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2009				
b Excess from 2010				
c Excess from 2011				
d Excess from 2012				
e Excess from 2013				

* SEE STATEMENT 10

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

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

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

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

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

1 **Information Regarding Foundation Managers:**

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

SEE STATEMENT 11

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

NONE

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

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

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

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				
AMERICAN CIVIL LIBERTIES UNION 125 BROAD STREET, 18TH FLOOR NEW YORK, NY 10004	N/A	PUBLIC	COMMUNITY & CHARITABLE	2,500.
AMERICAN HEART ASSOCIATION 20 SPEEN STREET FRAMINGHAM, MA 01701	N/A	PUBLIC	MEDICAL	55,000.
CHAPIN SENIOR CENTER - KEARSARGE AREA COUNCIL ON AGING 37 PLEASANT STREET, PO BOX 1263 NEW LONDON, NH 03257	N/A	PUBLIC	COMMUNITY & CHARITABLE	1,000.
ELECTRONIC FRONTIER FOUNDATION 454 SHOTWELL STREET SAN FRANCISCO, CA 94110	N/A	PUBLIC	COMMUNITY & CHARITABLE	2,500.
HABITAT FOR HUMANITY 111 PARK AVE WORCESTER, MA 01609	N/A	PUBLIC	COMMUNITY & CHARITABLE	5,000.
Total SEE CONTINUATION SHEET(S)			▶ 3a	545,500.
b Approved for future payment NONE				
Total			▶ 3b	0.

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10-10-13

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income (a) Business code	Unrelated business income (b) Amount	Excluded by section 512, 513, or 514 (c) Exclusion code	Excluded by section 512, 513, or 514 (d) Amount	(e) Related or exempt function income
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					
4 Dividends and interest from securities			14	146,114.	
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			14	5,642.	
8 Gain or (loss) from sales of assets other than inventory			18	316,674.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a					
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)		0.		468,430.	0.

13 **Total.** Add line 12, columns (b), (d), and (e) 13 468,430.

(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).

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

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

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

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

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

b If "Yes," complete the following schedule.

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

Sign Here

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

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

Signature of officer or trustee: David A. Spina | Date: 5/5/2014 | Title: TRUSTEE

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
BRIAN J. CARNEY		4/30/14		P00219125

Firm's name ▶ RAPHAEL AND RAPHAEL LLP — Firm's EIN ▶ 04-2206126

Firm's address ▶ 52 CHURCH STREET BOSTON, MA 02116 — Phone no. 617-210-1200

Form 990-PF (2013)

323622 10-10-13

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	K-1 DYNAMIC EQUITY MANAGERS PORTFOLIO 2	P		
b	K-1 DYNAMIC EQUITY MANAGERS PORTFOLIO 2	P		
c	K-1 DYNAMIC EQUITY MANAGERS PORTFOLIO 3	P		
d	K-1 DYNAMIC EQUITY MANAGERS PORTFOLIO 3	P		
e	GS 44267-1 SEE ATTACHED SCHEDULE		VARIOUS	06/30/13
f	GS 44267-1 SEE ATTACHED SCHEDULE		VARIOUS	06/30/13
g	GS 46522-7 SEE ATTACHED SCHEDULE		VARIOUS	06/30/13
h	GS 46522-7 SEE ATTACHED SCHEDULE		VARIOUS	06/30/13
i	CAPITAL GAINS DIVIDENDS			
j				
k				
l				
m				
n				
o				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a				28,708.
b				66,525.
c				16,439.
d				109,849.
e	120,272.		114,987.	5,285.
f	1,170,254.		1,106,968.	63,286.
g	37,222.		37,374.	<152.>
h	199,600.		173,148.	26,452.
i	282.			282.
j				
k				
l				
m				
n				
o				

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

	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a				28,708.
b				66,525.
c				16,439.
d				109,849.
e				5,285.
f				63,286.
g				<152.>
h				26,452.
i				282.
j				
k				
l				
m				
n				
o				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter "-0-" in Part I, line 7 }	2	316,674.
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8	3	N/A

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

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
HOLY CROSS COLLEGE ONE COLLEGE ST WORCESTER, MA 01610	N/A	PUBLIC	EDUCATIONAL	50,000.
NATIVITY SCHOOL OF WORCESTER 67 LINCOLN STREET WORCESTER, MA 01605	N/A	PUBLIC	EDUCATIONAL	16,000.
NEW ENGLAND CENTER FOR HOMELESS VETERANS 17 COURT ST BOSTON, MA 02108	N/A	PUBLIC	COMMUNITY & CHARITABLE	100,000.
NEW LONDON BARN PLAYHOUSE PO BOX 9 NEW LONDON, NH 03257	N/A	PUBLIC	COMMUNITY & CHARITABLE	500.
PARMENTER FOUNDATION 400 BOSTON POST ROAD, STE 1A SUDBURY, MA 01776	N/A	PUBLIC	COMMUNITY & CHARITABLE	5,000.
PARTNERS IN HEALTH 888 COMMONWEALTH AVE, 3RD FLOOR BOSTON, MA 02215	N/A	PUBLIC	COMMUNITY & CHARITABLE	35,000.
PIONEER INSTITUTE 85 DEVONSHIRE ST BOSTON, MA 02109	N/A	PUBLIC	COMMUNITY & CHARITABLE	10,000.
PLANNED PARENTHOOD LEAGUE OF MASSACHUSETTS 1055 COMMONWEALTH AVENUE BOSTON, MA 02215	N/A	PUBLIC	COMMUNITY & CHARITABLE	5,000.
ST. ANDREWS EPISCOPAL CHURCH 52 GOULD ROAD NEW LONDON, NH 03257	N/A	PUBLIC	RELIGIOUS	1,500.
ST. ELIZABETH EPISCOPAL CHURCH ONE MORSE ROAD SUDBURY, MA 01776	N/A	PUBLIC	RELIGIOUS	60,000.
Total from continuation sheets				479,500.

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

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
SUDBURY VALLEY TRUSTEES 18 WOLBACH RD SUDBURY, MA 01776	N/A	PUBLIC	COMMUNITY & CHARITABLE	1,000.
THE AUSBON SARGENT LAND PRESERVATION TRUST PO BOX 2040 NEW LONDON, NH 03257	N/A	PUBLIC	COMMUNITY & CHARITABLE	1,000.
THE BOSTON FOUNDATION 75 ARLINGTON STREET BOSTON, MA 02116	N/A	PUBLIC	COMMUNITY & CHARITABLE	2,000.
THE SALVATION ARMY 25 SHAWMUT ROAD CANTON, MA 02021	N/A	PUBLIC	COMMUNITY & CHARITABLE	10,000.
TRACY MEMORIAL LIBRARY 304 MAIN STREET NEW LONDON, NH 03257	N/A	PUBLIC	COMMUNITY & CHARITABLE	500.
UNITED WAY OF MASS BAY 51 SLEEPER ST BOSTON, MA 02210	N/A	PUBLIC	COMMUNITY & CHARITABLE	30,000.
HILLSDALE COLLEGE 33 EAST COLLEGE ST HILLSDALE, MI 49242	N/A	PUBLIC	EDUCATIONAL	25,000.
THE EPISCOPAL DIOCESE OF MASSACHUSETTS 138 TREMONT STREET BOSTON, MA 02111	N/A	PUBLIC	COMMUNITY & CHARITABLE	70,000.
WESTMINSTER PRESBYTERIAN CHURCH / ED/ GIFT FUND 1515 HELEN AVE PORTAGE, MI 49002	N/A	PUBLIC	COMMUNITY & CHARITABLE	50,000.
EPISCOPAL RELIEF & DEVELOPMENT 815 SECOND AVE NEW YORK, NY 10017	N/A	PUBLIC	COMMUNITY & CHARITABLE	1,000.
Total from continuation sheets				

STEPHANIE H. & DAVID A. SPINA FAMILY FOUNDATION 20-2017017

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

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
FRIENDS OF THE WAYLAND COUNCIL ON AGING INC 41 COCHITUATE ROAD WAYLAND, MA 01778	N/A	PUBLIC	COMMUNITY & CHARITABLE	1,000.
NO BARRIERS 420 S HOWES STE B300 FORT COLLINS, CO 80521	N/A	PUBLIC	COMMUNITY & CHARITABLE	2,500.
DHARMA SEED PO BOX 1494 GREENFIELD, MA 01302	N/A	PUBLIC	COMMUNITY & CHARITABLE	2,500.
Total from continuation sheets				

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05-01-13

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 1

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME
GS 010-44267-1	80,408.	282.	80,126.	80,126.	
GS 010-46522-7	12,752.	0.	12,752.	12,752.	
GS 010-71193-5	3,678.	0.	3,678.	3,678.	
K-1 FROM DYNAMIC EQUITY MANAGERS PORTFOLIO 2	20,069.	0.	20,069.	20,069.	
K-1 FROM DYNAMIC EQUITY MANAGERS PORTFOLIO 3	29,489.	0.	29,489.	29,489.	
TO PART I, LINE 4	146,396.	282.	146,114.	146,114.	

FORM 990-PF OTHER INCOME STATEMENT 2

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME
ORDINARY AND SEC 988 INCOME	5,642.	5,642.	
TOTAL TO FORM 990-PF, PART I, LINE 11	5,642.	5,642.	

FORM 990-PF ACCOUNTING FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
RAPHAEL AND RAPHAEL	3,500.	1,750.		1,750.
TO FORM 990-PF, PG 1, LN 16B	3,500.	1,750.		1,750.

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
GOLDMAN SACHS	46,491.	46,491.		0.
TO FORM 990-PF, PG 1, LN 16C	46,491.	46,491.		0.

FORM 990-PF TAXES STATEMENT 5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FEDERAL TAXES	18,487.	0.		0.
FOREIGN TAX PAID	4,629.	4,629.		0.
MA FILLING FEES	70.	0.		70.
TO FORM 990-PF, PG 1, LN 18	23,186.	4,629.		70.

FORM 990-PF OTHER EXPENSES STATEMENT 6

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
PORTFOLIO DEDUCTIONS	57,612.	57,612.		0.
TO FORM 990-PF, PG 1, LN 23	57,612.	57,612.		0.

FORM 990-PF U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS STATEMENT 7

DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE
GOVERMENT BONDS	X		1,090,158.	1,118,167.
TOTAL U.S. GOVERNMENT OBLIGATIONS			1,090,158.	1,118,167.
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS				
TOTAL TO FORM 990-PF, PART II, LINE 10A			1,090,158.	1,118,167.

FORM 990-PF CORPORATE STOCK STATEMENT 8

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE STOCK	495,245.	680,386.
TOTAL TO FORM 990-PF, PART II, LINE 10B	495,245.	680,386.

FORM 990-PF OTHER INVESTMENTS STATEMENT 9

DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
OTHER INVESTMENTS	COST	548,638.	577,492.
US EQUITY INVESTMENTS	COST	2,904,868.	5,102,919.
NON US EQUITY INVESTMENTS	COST	2,727,031.	2,573,715.
TOTAL TO FORM 990-PF, PART II, LINE 13		6,180,537.	8,254,126.

FORM 990-PF — ELECTION UNDER REGULATIONS SECTION 53.4942(A)-3(D)(2) TO APPLY EXCESS QUALIFYING DISTRIBUTIONS TO PRIOR YEAR'S UNDISTRIBUTED INCOME — STATEMENT 10

PURSUANT TO IRC SEC. 4942(H)(2) AND REG. 53.4942(A)-3(D)(2), THE FOUNDATION HERBY ELECTS TO TREAT CURRENT YEAR QUALIFYING DISTRIBUTIONS IN EXCESS OF THE IMMEDIATELY PRECEDING TAX YEAR'S UNDISTRIBUTED INCOME AS BEING MADE OUT OF UNDISTRIBUTED INCOME FOR THE TAX YEAR ENDING 12/31/2011 IN THE AMOUNT OF $19,070.
AS REPORTED PREVIOUSLY TO THE IRS THE UNDISTRIBUTED INCOME IN 2011 WAS THE RESULT OF A BOOK-KEEPING ERROR BY THE FOUNDATION.

FORM 990-PF | PART XV - LINE 1A | STATEMENT 11

LIST OF FOUNDATION MANAGERS

NAME OF MANAGER

DAVID A. SPINA
STEPHANIE H. SPINA

REALIZED GAIN AND LOSS SUMMARY

SHORT-TERM GAINS (LOSSES)		LONG-TERM GAINS (LOSSES)		ORDINARY GAINS (LOSSES)	
Net Covered Short-Term Gains (Losses)	5 285 48	Net Covered Long-Term Gains (Losses)	0 00	Net Ordinary Gains (Losses)	0 00
Net NonCovered Short-Term Gains (Losses)	0 00	Net NonCovered Long-Term Gains (Losses)	63,285 87		
Net 1099B Non Reportable Short-Term Gains (Losses)	0 00	Net 1099B Non Reportable Long-Term Gains (Losses)	0 00		
Net Miscellaneous Short-Term Gains (Losses)	0 00	Net Miscellaneous Long-Term Gains (Losses)	0 00	Net Miscellaneous Ordinary Gains (Losses)	0 00
Net Regulated Futures Contract Short-Term Gains (Losses)	0 00	Net Regulated Futures Contract Long-Term Gains (Losses)	0 00		
Total Short-Term Gains (Losses)	**5,285 48**	**Total Long-Term Gains (Losses)**	**63,285.87**	**Total Ordinary Gains (Losses)**	**0.00**

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
Covered Short-Term Gains (Losses)							
ISHARES MSCI EAFE ETF (464287465)	07/03/2013	08/01/2013	1,642 00	100,032 17	0 00	94,118 62	5,913 55
ISHARES MSCI EMERGING MKTS ETF (464287234)	07/16/2013	08/29/2013	119 00	4,496 97	0 00	4,696 47	(199.50)
ISHARES MSCI EMERGING MKTS ETF (464287234)	07/11/2013	08/29/2013	120 00	4,534 76	0 00	4,688 11	(153.35)
ISHARES RUSSELL 2000 ETF (464287655)	07/19/2013	08/29/2013	110.00	11,208.33	0 00	11,483 55	(275.22)
Net Covered Short-Term Gains (Losses)				**120,272.23**	**0.00**	**114,986.75**	**5,285.48**

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
BNP PARIBAS LNKD TO BASKET OF 6 COMMOD FUT 0% COUPON DUE NOV 21, 2014 STRUCTURED NOTE (05567LY35)	05/23/2011	03/01/2013	100,000 00	96,401 80	0 00	100,000.00	(3,598.20)
SPDR S&P 500 ETF TRUST (78462F103)	03/31/2011	03/22/2013	650 00	100,900 48	0 00	86,271.25	14,629 23
SPDR S&P 500 ETF TRUST (78462F103)	09/30/2008	04/29/2013	950 00	151,269 86	0 00	110,072.04	41,197 82
THE GOLDMAN SACHS GROUP, INC LINKED TO MSCI EAFE 0% DUE 07/03/2013 STRUCTURED NOTE (38146M361)	02/28/2011	07/03/2013	111 00	111,000 00	0 00	111,000 00	0.00

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

GS 44267-1 1/5

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
RABOBANK NEDERLAND, UTRECHT LINKED TO MSCI TAIWAN INDX 0% DUE 07/11/2013 STRUCTURED NOTE (21686C498)	03/14/2011	07/11/2013	10 00	10,000.00	0 00	10,000 00	0.00
THE GOLDMAN SACHS GROUP, INC LNKD TO THE RUSSELL 2000 INDEX 0% COUPON DUE 07/19/2013 STRUCTURED NOTE (38146M213)	03/14/2011	07/19/2013	10 00	12,215.00	0.00	10,000.00	2,215.00
THE GOLDMAN SACHS GROUP, INC. LINKED TO DJIA 0% COUPON DUE 07/29/2013 STRUCTURED NOTE (38146M197)	03/14/2011	07/29/2013	15 00	19,470.54	0.00	15,000 00	4,470 54
FHLB 5 125% 08/14/2013 FA (3133XGVFB)	12/15/2006	08/14/2013	300,000 00	300,000 00	(7,221 00)	300,000 00	0 00
THE GOLDMAN SACHS GROUP, INC LINKED TO FX BASKET VS USD 0% COUPON DUE 02/04/2014 STRUCTURED NOTE (38143UE80)	09/27/2011	11/11/2013	110,000 00	131,043 77	0 00	110,000 00	21,043 77
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	07/31/2008	12/17/2013	14 29	146 47	0 00	155 88	(9 41)
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	02/26/2010	12/17/2013	15 23	156 14	0 00	166 62	(10.48)
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	02/27/2009	12/17/2013	15 73	161 23	0 00	156.76	4.47
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	12/15/2008	12/17/2013	16 85	172 72	0 00	166.42	6.30
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	03/31/2009	12/17/2013	16 87	172 91	0 00	177.76	(4 85)
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	06/30/2009	12/17/2013	17 50	179 36	0.00	184.56	(5.20)
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	09/30/2009	12/17/2013	18 59	190.55	0.00	201.48	(10.93)
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	01/30/2009	12/17/2013	18 67	191 39	0 00	189 82	1.57
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	03/31/2010	12/17/2013	18 68	191.46	0 00	203 94	(12.48)

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[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment.

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REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	08/29/2008	12/17/2013	20 35	208 58	0 00	223 81	(15 23)
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	12/15/2008	12/17/2013	23 83	244 29	0 00	235 37	8 92
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	07/31/2009	12/17/2013	34 42	352.80	0 00	363.03	(10 23)
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	05/29/2009	12/17/2013	41 60	426.44	0.00	436.72	(10 28)
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	04/30/2009	12/17/2013	43 48	445.68	0.00	449 02	(3.34)
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	01/29/2010	12/17/2013	44 77	458 88	0 00	495 54	(36.66)
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	08/31/2009	12/17/2013	44 84	459.60	0.00	476 97	(17 37)
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	11/30/2009	12/17/2013	58 46	599.17	0 00	654 05	(54.88)
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	10/30/2009	12/17/2013	62.73	642.96	0 00	686.77	(43 81)
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	12/31/2008	12/17/2013	89 68	919.18	0 00	905 37	13 81
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	11/28/2008	12/17/2013	91 10	933.74	0 00	874.97	58 77
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	12/31/2009	12/17/2013	93.22	955 49	0 00	1,018.71	(63.22)
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	09/30/2008	12/17/2013	95 06	974 40	0.00	1,002 65	(28.25)
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	10/31/2008	12/17/2013	99.07	1,015 46	0.00	953 53	61.93

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[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

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Realized and unrealized gains and loss values do not include securities for which cost basis is unavailable The recognition of any loss reflected herein may be disallowed or deferred by the application of capital loss limitations wash sale rules or other special tax rules, and you are strongly urged to consult your own outside tax and other advisors about this and all tax-related matters addressed in any way herein All information regarding the cost basis and acquisition dates of securities that you acquired elsewhere and that were subsequently delivered into your Goldman Sachs account(s) were provided by you and/or a third party and Goldman Sachs makes no representation as to the accuracy and completeness of such information and it should not be relied upon as such

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REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	07/14/2008	12/17/2013	2,250 49	23,067 50	0 00	25,000 00	(1,932 50)
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	07/07/2008	12/17/2013	2,254 56	23,109 21	0 00	25,000 00	(1,890 79)
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	07/21/2008	12/17/2013	2,287 65	23,448 42	0 00	25,000 00	(1,551 58)
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	07/28/2008	12/17/2013	2,293 97	23,513 14	0 00	25,000 00	(1,486 86)
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	08/04/2008	12/17/2013	2,486 78	25,489 49	0 00	27,151 19	(1,661 70)
GS INFLATION PROTECTED SECURITIES FUND INSTITUTIONAL SHARES (38144N841)	07/01/2008	12/17/2013	10,646 45	109,126 10	0 00	117,094 11	(7,968 01)
Net NonCovered Long-Term Gains (Losses)				**1,170,254.21**	**(7,221.00)**	**1,106,968.34**	**63,285.87**

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Tax Year	Account No	Legal Name
2013	010-46522-7	STEPHANIE H. AND DAVID A.

REALIZED GAINS AND LOSSES

Supplemental Information - Consult your Form 1099 for tax reporting purposes

REALIZED GAIN AND LOSS SUMMARY

SHORT-TERM GAINS (LOSSES)		LONG-TERM GAINS (LOSSES)		ORDINARY GAINS (LOSSES)	
Net Covered Short-Term Gains (Losses)	(151 96)	Net Covered Long-Term Gains (Losses)	2,341 41	Net Ordinary Gains (Losses)	0 00
Net NonCovered Short-Term Gains (Losses)	0 00	Net NonCovered Long-Term Gains (Losses)	24 109 98		
Net 1099B Non Reportable Short-Term Gains (Losses)	0 00	Net 1099B Non Reportable Long-Term Gains (Losses)	0 00		
Net Miscellaneous Short-Term Gains (Losses)	0 00	Net Miscellaneous Long-Term Gains (Losses)	0 00	Net Miscellaneous Ordinary Gains (Losses)	0 00
Net Regulated Futures Contract Short-Term Gains (Losses)	0 00	Net Regulated Futures Contract Long-Term Gains (Losses)	0 00		
Total Short-Term Gains (Losses)	**(151.96)**	**Total Long-Term Gains (Losses)**	**26,451.39**	**Total Ordinary Gains (Losses)**	**0 00**

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
Covered Short-Term Gains (Losses)							
LI & FUNG LIMITED UNSPONSORED ADR CMN (501897102)	07/25/2012	01/15/2013	412.00	1,187 52	0.00	1,456.54	(269.02)
COMPASS GROUP PLC SPONSORED ADR CMN (20449X203)	12/07/2012	04/23/2013	100 00	1,285 97	0 00	1,168.56	117 41
LULULEMON ATHLETICA INC CMN (550021109)	01/29/2013	04/23/2013	15 00	1,147 02	0 00	1,046 37	100 65
CHECK POINT SOFTWARE TECH. LTD ORDINARY SHARES (M22465104)	05/24/2012	04/29/2013	11.00	500 65	0 00	579 48	(78.83)
CHECK POINT SOFTWARE TECH LTD ORDINARY SHARES (M22465104)	05/24/2012	04/30/2013	14.00	643 60	0 00	737 51	(93.91)
TAIWAN SEMICONDUCTOR MFG ADS LTD ADS 1ADS EQUALS 5ORDS (874039100)	07/26/2012	06/06/2013	54 00	1,003 30	0 00	719.18	284.12
TAIWAN SEMICONDUCTOR MFG ADS LTD ADS 1ADS EQUALS 5ORDS (874039100)	07/26/2012	06/07/2013	17 00	317.73	0 00	226.41	91.32
TAIWAN SEMICONDUCTOR MFG ADS LTD ADS 1ADS EQUALS 5ORDS (874039100)	07/27/2012	06/07/2013	100 00	1,868 96	0 00	1,365 10	503 86
TAIWAN SEMICONDUCTOR MFG ADS LTD ADS 1ADS EQUALS 5ORDS (874039100)	07/27/2012	06/12/2013	37 00	677 52	0 00	505 09	172.43
TAIWAN SEMICONDUCTOR MFG ADS LTD ADS 1ADS EQUALS 5ORDS (874039100)	08/31/2012	06/12/2013	41 00	750 76	0.00	600.76	150 00
TAIWAN SEMICONDUCTOR MFG ADS LTD ADS 1ADS EQUALS 5ORDS (874039100)	08/31/2012	06/13/2013	39 00	708 42	0 00	571.45	136 97

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SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
Covered Short-Term Gains (Losses)							
TAIWAN SEMICONDUCTOR MFG ADS LTD ADS 1ADS EQUALS 5ORDS (874039100)	09/19/2012	06/13/2013	100 00	1,816 48	0.00	1,507.42	309 06
ROYAL BANK OF SCOTLAND GROUP P SPONSORED ADR CMN (780097689)	12/14/2012	06/28/2013	139 00	1,159.69	0.00	1,357 44	(197.75)
ROYAL BANK OF SCOTLAND GROUP P SPONSORED ADR CMN (780097689)	12/14/2012	07/01/2013	27 00	228 68	0 00	263.68	(35.00)
ROYAL BANK OF SCOTLAND GROUP P SPONSORED ADR CMN (780097689)	12/19/2012	07/01/2013	62 00	525.10	0 00	636 63	(111.53)
ROYAL BANK OF SCOTLAND GROUP P SPONSORED ADR CMN (780097689)	12/18/2012	07/01/2013	65.00	550.51	0 00	644.14	(93 63)
ROYAL BANK OF SCOTLAND GROUP P SPONSORED ADR CMN (780097689)	12/17/2012	07/01/2013	110.00	931 63	0 00	1,073 70	(142.07)
ROYAL BANK OF SCOTLAND GROUP P SPONSORED ADR CMN (780097689)	12/21/2012	07/02/2013	6 00	49.97	0.00	61 55	(11 58)
ROYAL BANK OF SCOTLAND GROUP P SPONSORED ADR CMN (780097689)	12/19/2012	07/02/2013	36.00	299.80	0.00	369 66	(69 86)
ROYAL BANK OF SCOTLAND GROUP P SPONSORED ADR CMN (780097689)	12/20/2012	07/02/2013	94 00	782 82	0 00	972 75	(189 93)
ROYAL BANK OF SCOTLAND GROUP P SPONSORED ADR CMN (780097689)	04/05/2013	07/03/2013	9 00	73 67	0.00	75 18	(1 51)
ROYAL BANK OF SCOTLAND GROUP P SPONSORED ADR CMN (780097689)	12/21/2012	07/03/2013	42.00	343 76	0 00	430 83	(87 07)
ROYAL BANK OF SCOTLAND GROUP P SPONSORED ADR CMN (780097689)	04/05/2013	07/03/2013	149 00	1,221.62	0 00	1,244 57	(22 95)
SIEMENS AKTIENGESELLSCHAFT SPONSORED ADR CMN (826197501)	07/26/2012	07/09/2013	6 00	623 78	0 00	491.58	132 20
ELEKTA AB UNSPONSORED ADR CMN (28617Y101)	12/07/2012	07/24/2013	99.00	1,720.90	0 00	1,510 24	210.66
ELEKTA AB UNSPONSORED ADR CMN (28617Y101)	12/10/2012	07/25/2013	11 00	188 21	0 00	167 57	20.64
ELEKTA AB UNSPONSORED ADR CMN (28617Y101)	12/07/2012	07/25/2013	37 00	633 06	0 00	564.43	68 63

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REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
Covered Short-Term Gains (Losses)							
ELEKTA AB UNSPONSORED ADR CMN (28617Y101)	12/10/2012	07/26/2013	15 00	254 25	0 00	228 51	25.74
ELEKTA AB UNSPONSORED ADR CMN (28617Y101)	12/10/2012	07/29/2013	32 00	546 00	0.00	487.48	58 52
BURBERRY GROUP PLC SPONSORED ADR CMN (12082W204)	10/22/2012	09/13/2013	29 00	1,477 71	0 00	1,099 49	378.22
ASML HOLDING N V ADR CMN (N07059210)	12/14/2012	10/22/2013	2 00	188 36	0.00	127.02	61.34
TULLOW OIL PLC ADR CMN (899415202)	12/14/2012	10/23/2013	60 00	470 25	0 00	583 54	(113 29)
TULLOW OIL PLC ADR CMN (899415202)	12/14/2012	10/24/2013	83.00	646.13	0.00	807 23	(161 10)
TULLOW OIL PLC ADR CMN (899415202)	12/14/2012	10/24/2013	96.00	745 22	0 00	933 66	(188 44)
ELEKTA AB UNSPONSORED ADR CMN (28617Y101)	12/11/2012	10/30/2013	4.00	59.85	0 00	62 92	(3.07)
ELEKTA AB UNSPONSORED ADR CMN (28617Y101)	12/10/2012	10/30/2013	25 00	374 06	0 00	380 84	(6 78)
ELEKTA AB UNSPONSORED ADR CMN (28617Y101)	12/11/2012	10/31/2013	8 00	118 19	0 00	125 84	(7.65)
ELEKTA AB UNSPONSORED ADR CMN (28617Y101)	12/11/2012	10/31/2013	27 00	398 89	0.00	422 47	(23 58)
ELEKTA AB UNSPONSORED ADR CMN (28617Y101)	12/12/2012	10/31/2013	65 00	960 31	0 00	1,022 64	(62 33)
TULLOW OIL PLC ADR CMN (899415202)	12/14/2012	10/31/2013	43 00	325 04	0 00	418 20	(93 16)
TULLOW OIL PLC ADR CMN (899415202)	12/14/2012	10/31/2013	48 00	363 58	0 00	466 83	(103 25)
ELEKTA AB UNSPONSORED ADR CMN (28617Y101)	12/12/2012	11/01/2013	15.00	219.02	0 00	235 99	(16 97)
TULLOW OIL PLC ADR CMN (899415202)	12/14/2012	11/01/2013	224 00	1,689.49	0 00	2,178 54	(489.05)
ELEKTA AB UNSPONSORED ADR CMN (28617Y101)	01/24/2013	11/04/2013	18 00	262 30	0 00	269.49	(7 19)
ELEKTA AB UNSPONSORED ADR CMN (28617Y101)	12/12/2012	11/04/2013	34 00	495 46	0.00	534 92	(39.46)
TULLOW OIL PLC ADR CMN (899415202)	05/21/2013	11/04/2013	8 00	60 21	0 00	64 87	(4.66)
TULLOW OIL PLC ADR CMN (899415202)	12/14/2012	11/04/2013	56 00	421.49	0 00	544 63	(123 14)
ELEKTA AB UNSPONSORED ADR CMN (28617Y101)	01/24/2013	11/05/2013	6 00	87 09	0 00	89.83	(2.74)
TULLOW OIL PLC ADR CMN (899415202)	05/21/2013	11/05/2013	55 00	412 92	0 00	445 99	(33.07)
ELEKTA AB UNSPONSORED ADR CMN (28617Y101)	03/07/2013	11/06/2013	15 00	216 98	0 00	219 36	(2.38)
ELEKTA AB UNSPONSORED ADR CMN (28617Y101)	01/29/2013	11/06/2013	23 00	332.71	0 00	349.59	(16 88)
ELEKTA AB UNSPONSORED ADR CMN (28617Y101)	01/29/2013	11/06/2013	26 00	376.11	0 00	395 18	(19 07)

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REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
Covered Short-Term Gains (Losses)							
ELEKTA AB UNSPONSORED ADR CMN (28617Y101)	01/30/2013	11/06/2013	57 00	824 56	0 00	866 47	(41.91)
ELEKTA AB UNSPONSORED ADR CMN (28617Y101)	01/24/2013	11/06/2013	83.00	1,200 67	0 00	1,242 67	(42.00)
TULLOW OIL PLC ADR CMN (899415202)	05/21/2013	11/06/2013	40 00	299 92	0 00	324 36	(24.44)
ELEKTA AB UNSPONSORED ADR CMN (28617Y101)	03/07/2013	11/07/2013	46 00	670 01	0 00	672.72	(2.71)
TULLOW OIL PLC ADR CMN (899415202)	05/21/2013	11/07/2013	13 00	96 89	0 00	105 42	(8.53)
TULLOW OIL PLC ADR CMN (899415202)	05/21/2013	11/08/2013	29 00	208 31	0 00	235.16	(26 85)
TULLOW OIL PLC ADR CMN (899415202)	05/21/2013	11/12/2013	55 00	388 66	0 00	445.99	(57.33)
TATA MOTORS LIMITED SPONSORED ADR CMN (876568502)	04/02/2013	12/13/2013	13 00	394.96	0.00	319.92	75.04
TATA MOTORS LIMITED SPONSORED ADR CMN (876568502)	04/02/2013	12/13/2013	13 00	394 96	0.00	318 06	76.90
Net Covered Short-Term Gains (Losses)				**37,221.69**	**0.00**	**37,373.65**	**(151.96)**

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
Covered Long-Term Gains (Losses)							
LI & FUNG LIMITED UNSPONSORED ADR CMN (501897102)	09/01/2011	01/03/2013	245.00	900 57	0 00	918.14	(17 57)
LI & FUNG LIMITED UNSPONSORED ADR CMN (501897102)	09/08/2011	01/03/2013	264 00	970 41	0.00	985 14	(14 73)
LI & FUNG LIMITED UNSPONSORED ADR CMN (501897102)	09/19/2011	01/15/2013	226 00	651.41	0 00	774 14	(122 73)
LI & FUNG LIMITED UNSPONSORED ADR CMN (501897102)	09/16/2011	01/15/2013	237.00	683 11	0 00	857 82	(174 71)
LI & FUNG LIMITED UNSPONSORED ADR CMN (501897102)	09/08/2011	01/15/2013	297 00	856 06	0 00	1,108 29	(252.23)
LI & FUNG LIMITED UNSPONSORED ADR CMN (501897102)	09/09/2011	01/15/2013	440 00	1,268 23	0 00	1,655 81	(387.58)
KDDI CORP UNSPONSORED ADR CMN (48667L106)	05/10/2011	01/23/2013	380.00	6,539 08	0 00	6,512.03	27 05
SWATCH GROUP SA (THE) ADR CMN (870123106)	10/11/2011	01/29/2013	59 00	1,596 32	0 00	1,115 68	480 64
LAS VEGAS SANDS CORP CMN (517834107)	12/20/2011	01/31/2013	32.00	1,755 27	0 00	1,347.04	408 23
VODAFONE GROUP PLC SPONSORED ADR CMN (92857W209)	11/23/2011	02/01/2013	98 00	2,675 91	0.00	2,562.91	113 00

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REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
Covered Long-Term Gains (Losses)							
VODAFONE GROUP PLC SPONSORED ADR CMN (92857W209)	01/25/2012	02/01/2013	103.00	2,812 43	0 00	2,829.82	(17 39)
SWATCH GROUP SA (THE) ADR CMN (870123106)	10/11/2011	03/07/2013	57.00	1,608 78	0 00	1,077 86	530 92
SBERBANK SPONSORED ADR CMN TRADEABLE ON LNSE & NASDAQ UK LINE SBNCYQ L-US LINE SBRCY (80585Y308)	09/12/2011	03/27/2013	492 00	6,101.64	0 00	5,228 97	872.67
MICHELIN COMPAGNIE GENERALE DE UNSPONSORED ADR CMN (59410T106)	03/13/2012	04/23/2013	13 00	209 17	0 00	187 86	21 31
MICHELIN COMPAGNIE GENERALE DE UNSPONSORED ADR CMN (59410T106)	03/12/2012	04/23/2013	72 00	1,158 45	0 00	1,004 86	153 59
CHECK POINT SOFTWARE TECH LTD ORDINARY SHARES (M22465104)	11/10/2011	04/25/2013	4 00	180 53	0 00	229 86	(49.33)
CHECK POINT SOFTWARE TECH LTD ORDINARY SHARES (M22465104)	11/09/2011	04/25/2013	30 00	1,353 98	0.00	1,717.51	(363.53)
CHECK POINT SOFTWARE TECH LTD ORDINARY SHARES (M22465104)	11/10/2011	04/26/2013	13 00	586 36	0 00	747 05	(160.69)
CHECK POINT SOFTWARE TECH LTD ORDINARY SHARES (M22465104)	12/21/2011	04/26/2013	15 00	676.56	0 00	770 54	(93.98)
CHECK POINT SOFTWARE TECH LTD ORDINARY SHARES (M22465104)	11/17/2011	04/26/2013	25 00	1,127.61	0 00	1,359 56	(231.95)
CHECK POINT SOFTWARE TECH. LTD ORDINARY SHARES (M22465104)	12/21/2011	04/29/2013	12 00	546 16	0 00	616 44	(70.28)
CHECK POINT SOFTWARE TECH LTD ORDINARY SHARES (M22465104)	04/24/2012	04/29/2013	24 00	1,092 31	0 00	1,428 81	(336 50)
MERCADOLIBRE INC CMN (58733R102)	09/16/2011	05/01/2013	1 00	98 31	0 00	68 18	30.13
MERCADOLIBRE INC CMN (58733R102)	09/15/2011	05/01/2013	9 00	884.84	0 00	617 28	267.56
MERCADOLIBRE INC CMN (58733R102)	09/16/2011	05/08/2013	3 00	353.63	0.00	204.54	149 09
MERCADOLIBRE INC CMN (58733R102)	09/16/2011	05/09/2013	7 00	845 53	0 00	477.27	368.26
MERCADOLIBRE INC CMN (58733R102)	09/20/2011	05/10/2013	1 00	120.10	0.00	69 75	50.35
MERCADOLIBRE INC CMN (58733R102)	09/16/2011	05/10/2013	6 00	720 65	0 00	409.09	311 56
ITAU UNIBANCO BANCO HLDNG S.A SPONSORED ADR CMN (465562106)	02/03/2011	05/21/2013	0.60	8.32	0 00	0 00	8.32
SIEMENS AKTIENGESELLSCHAFT SPONSORED ADR CMN (826197501)	02/03/2011	06/24/2013	3 00	300.15	0.00	382 57	(82 42)
SIEMENS AKTIENGESELLSCHAFT SPONSORED ADR CMN (826197501)	01/11/2011	06/24/2013	10 00	1,000 48	0 00	1,183 52	(183 04)
SIEMENS AKTIENGESELLSCHAFT SPONSORED ADR CMN (826197501)	03/10/2011	06/25/2013	4.00	400.16	0.00	510.29	(110.13)

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

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LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
Covered Long-Term Gains (Losses)							
SIEMENS AKTIENGESELLSCHAFT SPONSORED ADR CMN (826197501)	02/03/2011	06/25/2013	10 00	1,000 40	0 00	1,275 23	(274.83)
ACCENTURE PLC CMN (G1151C101)	06/01/2012	06/28/2013	21 00	1,507 43	0 00	1,161.92	345 51
SIEMENS AKTIENGESELLSCHAFT SPONSORED ADR CMN (826197501)	05/09/2011	07/05/2013	6 00	601 04	0 00	824.48	(223.44)
SIEMENS AKTIENGESELLSCHAFT SPONSORED ADR CMN (826197501)	03/10/2011	07/05/2013	10 00	1,001.75	0 00	1,275 74	(273.99)
ITAU UNIBANCO BANCO HLDNG S A SPONSORED ADR CMN (465562106)	02/03/2011	07/08/2013	29 00	345.42	0.00	564.72	(219 30)
SIEMENS AKTIENGESELLSCHAFT SPONSORED ADR CMN (826197501)	09/15/2011	07/08/2013	1.00	103.52	0 00	97 06	6.46
SIEMENS AKTIENGESELLSCHAFT SPONSORED ADR CMN (826197501)	05/09/2011	07/08/2013	7 00	724.67	0 00	961.90	(237 23)
SIEMENS AKTIENGESELLSCHAFT SPONSORED ADR CMN (826197501)	08/30/2011	07/08/2013	17 00	1,759.92	0.00	1,744.03	15 89
SIEMENS AKTIENGESELLSCHAFT SPONSORED ADR CMN (826197501)	09/15/2011	07/09/2013	12.00	1,247.57	0 00	1,164.76	82.81
YANDEX N V CMN (N97284108)	06/02/2011	07/24/2013	10.00	304 87	0.00	329 94	(25 07)
YANDEX N V CMN (N97284108)	05/27/2011	07/24/2013	45 00	1,371.93	0.00	1,549 60	(177 67)
POTASH CORP OF SASKATCHEWAN INC (73755L107)	11/28/2011	07/31/2013	31 00	927 38	0 00	1,314 46	(387.08)
POTASH CORP OF SASKATCHEWAN INC (73755L107)	04/19/2011	07/31/2013	46 00	1,376.11	0 00	2,628 56	(1,252 45)
MERCADOLIBRE INC CMN (58733R102)	09/20/2011	08/02/2013	5.00	643.41	0.00	348 77	294 64
CNOOC LIMITED SPONSORED ADR CMN (126132109)	08/09/2011	08/23/2013	1 00	201 35	0 00	184 97	16.38
CNOOC LIMITED SPONSORED ADR CMN (126132109)	08/09/2011	08/26/2013	3 00	602 74	0 00	554 91	47 83
CNOOC LIMITED SPONSORED ADR CMN (126132109)	08/09/2011	08/27/2013	5.00	980.59	0.00	924 84	55 75
ITAU UNIBANCO BANCO HLDNG S A SPONSORED ADR CMN (465562106)	02/03/2011	09/17/2013	48 00	665 76	0 00	934 71	(268.95)
ACCENTURE PLC CMN (G1151C101)	06/01/2012	09/24/2013	22 00	1,653 88	0 00	1,217 25	436 63
MERCADOLIBRE INC CMN (58733R102)	09/22/2011	09/25/2013	3 00	388.87	0 00	180 06	208.81
MERCADOLIBRE INC CMN (58733R102)	09/20/2011	09/25/2013	7 00	907.37	0 00	488 27	419 10
ASML HOLDING N V ADR CMN (N07059210)	10/12/2012	10/15/2013	14 00	1,363 44	0 00	985 02	378 42
ASML HOLDING N V ADR CMN (N07059210)	10/12/2012	10/15/2013	20.00	1,934 54	0.00	1,407 17	527 37
TEVA PHARMACEUTICAL IND LTD ADS (881624209)	03/16/2011	10/15/2013	3 00	119 30	0 00	142 64	(23.34)
TEVA PHARMACEUTICAL IND LTD ADS (881624209)	03/16/2011	10/16/2013	40.00	1,591.59	0 00	1,901 87	(310.28)

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[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment.

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LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
Covered Long-Term Gains (Losses)							
HANG LUNG PPTYS LTD SPONSORED ADR CMN (41043M104)	10/05/2012	10/17/2013	79 00	1,294 22	0 00	1,370 27	(76.05)
ASML HOLDING N V ADR CMN (N07059210)	10/12/2012	10/22/2013	7 00	659 28	0 00	492.51	166 77
ASML HOLDING N V. ADR CMN (N07059210)	10/19/2012	10/22/2013	22 00	2,072 03	0 00	1,509 68	562.35
BAIDU, INC SPONSORED ADR CMN (056752108)	04/25/2012	10/30/2013	11 00	1,820 52	0 00	1,467 00	353.52
SYNGENTA AG SPONSORED ADR CMN (87160A100)	03/23/2012	11/15/2013	17.00	1,345.28	0 00	1,142.42	202 86
SYNGENTA AG SPONSORED ADR CMN (87160A100)	03/23/2012	11/18/2013	17 00	1,340 20	0 00	1,142 42	197.78
YUM BRANDS, INC CMN (988498101)	03/07/2012	11/22/2013	21.00	1,647 42	0 00	1,391.70	255 72
HSBC HOLDINGS PLC SPONSORED ADR CMN (404280406)	02/29/2012	12/04/2013	41 00	2,222.17	0.00	1,829 57	392.60
Net Covered Long-Term Gains (Losses)				**75,808.49**	**0.00**	**73,467.08**	**2,341.41**
NonCovered Long-Term Gains (Losses)							
ARM HOLDINGS PLC SPON ADR SPONSORED ADR CMN (042068106)	05/02/2008	01/02/2013	33.00	1,280 85	0.00	211 40	1,069.45
BG GROUP PLC SPON ADR ADR CMN (055434203)	07/13/2009	01/02/2013	65 00	1,080 04	0 00	1,045 96	34 08
BG GROUP PLC SPON ADR ADR CMN (055434203)	07/02/2009	01/02/2013	68 00	1,129 88	0 00	1,163 68	(33 80)
BG GROUP PLC SPON ADR ADR CMN (055434203)	07/13/2009	01/03/2013	90 00	1,480 99	0.00	1,448 25	32.74
BG GROUP PLC SPON ADR ADR CMN (055434203)	04/30/2010	01/03/2013	95 00	1,563 26	0 00	1,630 33	(67.07)
BG GROUP PLC SPON ADR ADR CMN (055434203)	08/04/2009	01/03/2013	115 00	1,892 37	0 00	2,004.86	(112.49)
FLSMIDTH & CO A/S SPONSORED ADR CMN (343793105)	08/25/2009	01/03/2013	190.00	1,102.75	0.00	993 76	108 99
ASML HOLDING N V ADR CMN (N07059210)		01/04/2013	0 00	57 79	0 00	No Cost	57 79 [8]
FLSMIDTH & CO A/S SPONSORED ADR CMN (343793105)	08/25/2009	01/04/2013	41 00	236 92	0.00	214 44	22.48
FLSMIDTH & CO A/S SPONSORED ADR CMN (343793105)	08/26/2009	01/04/2013	254 00	1,467.78	0.00	1,379.68	88.10
FLSMIDTH & CO A/S SPONSORED ADR CMN (343793105)	08/26/2009	01/07/2013	155.00	902 35	0 00	841 93	60.42
FLSMIDTH & CO. A/S SPONSORED ADR CMN (343793105)	09/10/2009	01/07/2013	175 00	1,018.79	0.00	1,013 97	4.82
FLSMIDTH & CO A/S SPONSORED ADR CMN (343793105)	09/10/2009	01/08/2013	91 00	532 56	0 00	527 26	5.30
EMBRAER SA ADR CMN (29082A107)	05/31/2006	01/24/2013	27 00	842 62	0 00	900 12	(57 50)

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[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment.

[8] Due to incomplete cost basis gains may be incorrectly stated and should not be used for tax reporting purposes Please consult with your tax advisor

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LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
TEVA PHARMACEUTICAL IND LTD ADS (881624209)	11/20/2006	02/06/2013	42 00	1,596 52	0 00	1,327.60	268.92
CARNIVAL CORPORATION CMN (143658300)	10/30/2006	02/13/2013	19 00	710 50	0.00	936 18	(225 68)
CARNIVAL CORPORATION CMN (143658300)	10/31/2006	02/13/2013	25 00	934 87	0 00	1,232.48	(297 61)
EMBRAER SA ADR CMN (29082A107)	05/31/2006	02/26/2013	11 00	360 35	0 00	366 71	(6 36)
EMBRAER SA ADR CMN (29082A107)	05/31/2006	02/27/2013	24.00	809 81	0 00	800 10	9.71
TOYOTA MOTOR CORPORATION SPON ADR (892331307)	01/28/2008	03/27/2013	3.00	308.19	0 00	305 58	2.61
TOYOTA MOTOR CORPORATION SPON ADR (892331307)	05/03/2007	03/27/2013	20.00	2,054 54	0 00	2,407 28	(352.74)
TURKIYE GARANTI BANKASI AS GDS CMN (900148701)	06/30/2010	04/02/2013	75.00	390 62	0 00	322.70	67.92
TURKIYE GARANTI BANKASI AS GDS CMN (900148701)	02/04/2010	04/02/2013	180.00	937.47	0 00	780.21	157 26
TURKIYE GARANTI BANKASI AS GDS CMN (900148701)	03/16/2010	04/02/2013	404 00	2,104 11	0 00	1,680 96	423.15
TURKIYE GARANTI BANKASI AS GDS CMN (900148701)	06/30/2010	04/03/2013	271.00	1,402.91	0.00	1,166 01	236.90
TURKIYE GARANTI BANKASI AS GDS CMN (900148701)	12/01/2010	04/03/2013	298.00	1,542 68	0 00	1,711 03	(168.35)
KOMATSU LTD ADR (NEW) SPONSORED GDS CMN (500458401)	10/21/2008	04/04/2013	56 00	1,208 34	0 00	630 67	577.67
KOMATSU LTD ADR (NEW) SPONSORED GDS CMN (500458401)	12/03/2007	04/04/2013	83 00	1,790 93	0 00	2,527 34	(736 41)
EMBRAER SA ADR CMN (29082A107)	05/31/2006	04/12/2013	20.00	711 55	0 00	666 75	44.80
EMBRAER SA ADR CMN (29082A107)	05/31/2006	04/15/2013	13 00	441 03	0 00	433 39	7 64
EMBRAER SA ADR CMN (29082A107)	05/31/2006	04/16/2013	3.00	101 39	0 00	100.01	1 38
EMBRAER SA ADR CMN (29082A107)	02/20/2007	04/16/2013	7 00	236.57	0 00	324.25	(87 68)
TOYOTA MOTOR CORPORATION SPON ADR (892331307)	01/28/2008	04/17/2013	12 00	1,340 09	0 00	1,222.30	117.79
ARM HOLDINGS PLC SPON ADR SPONSORED ADR CMN (042068106)	05/02/2008	04/23/2013	28 00	1,270 89	0 00	179.37	1,091 52
KINGFISHER PLC SPONSORED ADR CMN (495724403)	05/31/2006	04/23/2013	6 00	55 32	0 00	51 00	4.32
KINGFISHER PLC SPONSORED ADR CMN (495724403)	06/30/2006	04/23/2013	154 00	1,419 84	0 00	1,372.17	47.67
SCHLUMBERGER LTD CMN (806857108)	01/11/2008	04/23/2013	1 00	71.63	0.00	94 41	(22.78)
SCHLUMBERGER LTD CMN (806857108)	01/22/2008	04/23/2013	16.00	1,146.05	0.00	1,243 35	(97.30)
SCHLUMBERGER LTD CMN (806857108)	01/22/2008	05/20/2013	11.00	848 94	0 00	854.81	(5.87)

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[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

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LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
SCHLUMBERGER LTD CMN (806857108)	12/09/2008	05/20/2013	12 00	926 11	0 00	510.33	415.78
CNOOC LIMITED SPONSORED ADR CMN (126132109)	10/05/2009	05/21/2013	13 00	2,411 45	0 00	1,751 12	660.33
POTASH CORP OF SASKATCHEWAN INC (73755L107)	09/16/2008	06/12/2013	22 00	887 09	0 00	1,153.21	(266.12)
TEVA PHARMACEUTICAL IND LTD ADS (881624209)	11/20/2006	06/12/2013	2.00	78.15	0.00	63 22	14.93
TEVA PHARMACEUTICAL IND LTD ADS (881624209)	12/13/2006	06/12/2013	73 00	2,852.44	0.00	2,323 45	528.99
POTASH CORP OF SASKATCHEWAN INC (73755L107)	04/30/2009	06/13/2013	24 00	966 38	0 00	699 29	267.09
POTASH CORP OF SASKATCHEWAN INC (73755L107)	04/30/2009	06/24/2013	15 00	574 14	0 00	437 05	137.09
POTASH CORP OF SASKATCHEWAN INC (73755L107)	10/07/2009	06/24/2013	22 00	842 07	0.00	656.36	185.71
SAP AG (SPON ADR) (803054204)	10/16/2008	07/03/2013	11 00	781 01	0.00	382.18	398.83
SAP AG (SPON ADR) (803054204)	10/29/2009	07/03/2013	12 00	852.00	0.00	561 20	290 80
ITAU UNIBANCO BANCO HLDNG S A SPONSORED ADR CMN (465562106)	07/30/2009	07/05/2013	56 00	644 53	0 00	839 96	(195.43)
ITAU UNIBANCO BANCO HLDNG S A SPONSORED ADR CMN (465562106)	06/24/2009	07/05/2013	95 00	1,093 40	0 00	1,186.44	(93 04)
ITAU UNIBANCO BANCO HLDNG S.A SPONSORED ADR CMN (465562106)	07/30/2009	07/08/2013	37 00	440 72	0 00	554.98	(114.26)
ITAU UNIBANCO BANCO HLDNG S A SPONSORED ADR CMN (465562106)	05/20/2010	07/08/2013	87.00	1,036.28	0.00	1,390.10	(353.82)
SAP AG (SPON ADR) (803054204)	10/29/2009	07/09/2013	22 00	1,583 07	0 00	1,028 87	554.20
CNOOC LIMITED SPONSORED ADR CMN (126132109)	11/12/2009	07/15/2013	4 00	701 02	0 00	644.79	56 23
CNOOC LIMITED SPONSORED ADR CMN (126132109)	10/05/2009	07/15/2013	5.00	876 28	0.00	673 51	202.77
RECKITT BENCKISER GROUP PLC SPONSORED ADR CMN (756255204)	12/17/2008	07/17/2013	59 00	833 62	0.00	460 48	373.14
RECKITT BENCKISER GROUP PLC SPONSORED ADR CMN (756255204)	02/23/2009	07/17/2013	87 00	1,229.23	0 00	699 23	530 00
ASSA ABLOY AB UNSPONSORED ADR (SWEDEN) (045387107)	11/23/2010	07/19/2013	47 00	1,046.02	0 00	623 07	422.95
TENCENT HOLDINGS LIMITED UNSPONSORED ADR CMN (88032Q109)	04/23/2010	07/19/2013	44 00	1,872.89	0 00	912.67	960.22
ASSA ABLOY AB UNSPONSORED ADR (SWEDEN) (045387107)	11/23/2010	07/22/2013	36.00	801 37	0.00	477.25	324.12
MITSUBISHI UFJ FINL GROUP, INC SPONSORED ADR CMN (606822104)	06/12/2009	07/29/2013	134.00	823 06	0.00	899.64	(76 58)
MITSUBISHI UFJ FINL GROUP, INC SPONSORED ADR CMN (606822104)	05/13/2009	07/29/2013	163.00	1,001.19	0 00	1,072.75	(71.56)
POTASH CORP OF SASKATCHEWAN INC (73755L107)	10/07/2009	07/29/2013	28 00	1,046 07	0 00	835 37	210.70

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[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment.

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REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
TENCENT HOLDINGS LIMITED UNSPONSORED ADR CMN (88032Q109)	04/26/2010	07/29/2013	5 00	225.76	0 00	106 04	119.72
TENCENT HOLDINGS LIMITED UNSPONSORED ADR CMN (88032Q109)	04/23/2010	07/29/2013	63 00	2,844 56	0.00	1,306 78	1,537 78
CNOOC LIMITED SPONSORED ADR CMN (126132109)	05/20/2010	07/30/2013	1 00	180.46	0.00	153 09	27.37
CNOOC LIMITED SPONSORED ADR CMN (126132109)	11/12/2009	07/30/2013	8 00	1,443 68	0 00	1,289 58	154.10
POTASH CORP OF SASKATCHEWAN INC (73755L107)	10/07/2009	07/31/2013	52 00	1,555 59	0 00	1,551 40	4.19
TENCENT HOLDINGS LIMITED UNSPONSORED ADR CMN (88032Q109)	04/26/2010	08/01/2013	39 00	1,796 31	0 00	827 14	969.17
CNOOC LIMITED SPONSORED ADR CMN (126132109)	05/20/2010	08/22/2013	4 00	800.51	0.00	612.36	188.15
CNOOC LIMITED SPONSORED ADR CMN (126132109)	05/20/2010	08/23/2013	4 00	805.40	0.00	612 36	193 04
INDUSTRIAL & COMMERCIAL BANK O ADR CMN (455807107)	04/08/2009	09/06/2013	110.00	1,491 88	0 00	1,199 27	292.61
INDUSTRIAL & COMMERCIAL BANK O ADR CMN (455807107)	05/20/2009	09/06/2013	140.00	1,898 75	0.00	1,749.84	148 91
HANG LUNG PPTYS LTD SPONSORED ADR CMN (41043M104)	11/08/2007	09/09/2013	12.00	200 90	0 00	270 23	(69.33)
HANG LUNG PPTYS LTD SPONSORED ADR CMN (41043M104)	11/08/2007	09/10/2013	2 00	33 59	0 00	45 04	(11.45)
HANG LUNG PPTYS LTD SPONSORED ADR CMN (41043M104)	08/19/2008	09/10/2013	19 00	319 06	0 00	284 48	34 58
HANG LUNG PPTYS LTD SPONSORED ADR CMN (41043M104)	08/19/2008	09/17/2013	35.00	586 13	0 00	524 04	62 09
HANG LUNG PPTYS LTD SPONSORED ADR CMN (41043M104)	08/19/2008	09/18/2013	11.00	184 04	0 00	164 70	19.34
HANG LUNG PPTYS LTD SPONSORED ADR CMN (41043M104)	08/19/2008	09/19/2013	35.00	594.10	0 00	524.04	70 06
HANG LUNG PPTYS LTD SPONSORED ADR CMN (41043M104)	08/19/2008	09/23/2013	23.00	397.48	0.00	344 37	53 11
HANG LUNG PPTYS LTD SPONSORED ADR CMN (41043M104)	08/19/2008	09/24/2013	12.00	203.56	0.00	179.67	23.89
ASSA ABLOY AB UNSPONSORED ADR (SWEDEN) (045387107)	12/21/2010	09/25/2013	12.00	279 52	0 00	172 89	106.63
ASSA ABLOY AB UNSPONSORED ADR (SWEDEN) (045387107)	11/23/2010	09/25/2013	17.00	395 99	0.00	225 37	170.62
CARNIVAL CORPORATION CMN (143658300)	10/31/2006	09/25/2013	20 00	654 56	0 00	985 98	(331.42)
CARNIVAL CORPORATION CMN (143658300)	05/30/2007	09/25/2013	36 00	1,178 20	0 00	1,812 36	(634 16)
ASSA ABLOY AB UNSPONSORED ADR (SWEDEN) (045387107)	12/21/2010	09/26/2013	62 00	1,431.91	0 00	893 27	538 64
HANG LUNG PPTYS LTD SPONSORED ADR CMN (41043M104)	08/19/2008	09/26/2013	5 00	84 45	0 00	74 86	9 59
ASSA ABLOY AB UNSPONSORED ADR (SWEDEN) (045387107)	12/22/2010	09/27/2013	11.00	251.58	0.00	157.59	93.99

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[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

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REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
ASSA ABLOY AB UNSPONSORED ADR (SWEDEN) (045387107)	12/21/2010	09/27/2013	12 00	274 17	0 00	172 89	101.28
ASSA ABLOY AB UNSPONSORED ADR (SWEDEN) (045387107)	12/21/2010	09/27/2013	29 00	663 25	0 00	417.82	245 43
HANG LUNG PPTYS LTD SPONSORED ADR CMN (41043M104)	08/19/2008	09/27/2013	20 00	339 02	0 00	299.45	39.57
HANG LUNG PPTYS LTD SPONSORED ADR CMN (41043M104)	08/19/2008	09/30/2013	5 00	84.90	0.00	74.86	10 04
SCHLUMBERGER LTD CMN (806857108)	12/15/2008	10/08/2013	1 00	88.28	0 00	42.23	46 05
SCHLUMBERGER LTD CMN (806857108)	12/09/2008	10/08/2013	15 00	1,324.25	0 00	637.91	686.34
TENCENT HOLDINGS LIMITED UNSPONSORED ADR CMN (88032Q109)	04/26/2010	10/10/2013	30 00	1,582 71	0.00	636 26	946.45
TEVA PHARMACEUTICAL IND LTD ADS (881624209)	12/13/2006	10/10/2013	36 00	1,446.79	0.00	1,145.81	300.98
TEVA PHARMACEUTICAL IND LTD ADS (881624209)	04/25/2007	10/10/2013	41.00	1,647.73	0 00	1,519 66	128.07
HANG LUNG PPTYS LTD SPONSORED ADR CMN (41043M104)	08/19/2008	10/11/2013	59 00	987 81	0 00	883.38	104 43
HENNES & MAURITZ AB ADR CMN (425883105)	06/10/2008	10/14/2013	155 00	1,290.31	0.00	858.22	432 09
DASSAULT SYSTEMES SPONSORED ADR CMN (237545108)	01/25/2008	10/15/2013	6 00	673.32	0.00	317 59	355.73
HENNES & MAURITZ AB ADR CMN (425883105)	06/10/2008	10/15/2013	331 00	2,768.50	0.00	1,832 71	935.79
SAP AG (SPON ADR) (803054204)	10/29/2009	10/15/2013	5 00	362.94	0 00	233 84	129.10
SAP AG (SPON ADR) (803054204)	11/18/2009	10/15/2013	17 00	1,233 97	0 00	832 07	401.90
TEVA PHARMACEUTICAL IND LTD ADS (881624209)	12/23/2010	10/15/2013	14.00	556 74	0.00	706.30	(149.56)
TEVA PHARMACEUTICAL IND LTD ADS (881624209)	04/25/2007	10/15/2013	25.00	994.17	0 00	926.62	67 55
DASSAULT SYSTEMES SPONSORED ADR CMN (237545108)	01/29/2008	10/16/2013	5.00	558 28	0.00	272 79	285.49
DASSAULT SYSTEMES SPONSORED ADR CMN (237545108)	01/25/2008	10/16/2013	9 00	1,004 90	0 00	476 39	528 51
HANG LUNG PPTYS LTD SPONSORED ADR CMN (41043M104)	08/19/2008	10/16/2013	57 00	928.39	0 00	853 43	74 96
SAP AG (SPON ADR) (803054204)	11/18/2009	10/16/2013	12.00	871.12	0.00	587 35	283 77
HANG LUNG PPTYS LTD SPONSORED ADR CMN (41043M104)	08/19/2008	10/17/2013	38 00	622.54	0.00	568 96	53.58
SAP AG (SPON ADR) (803054204)	11/18/2009	10/17/2013	4 00	290 74	0 00	195 78	94 96
SAP AG (SPON ADR) (803054204)	01/25/2010	10/17/2013	11 00	799 54	0 00	510 51	289.03
EMBRAER SA ADR CMN (29082A107)	02/20/2007	10/30/2013	5 00	152 67	0 00	231 61	(78 94)

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LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
EMBRAER SA ADR CMN (29082A107)	02/21/2007	10/30/2013	40 00	1,221.32	0 00	1,844 45	(623 13)
TENCENT HOLDINGS LIMITED UNSPONSORED ADR CMN (88032Q109)	04/26/2010	10/30/2013	6 00	328.49	0.00	127 25	201.24
TENCENT HOLDINGS LIMITED UNSPONSORED ADR CMN (88032Q109)	06/17/2010	10/30/2013	26.00	1,423.44	0.00	416 38	1,007 06
NOVARTIS AG-ADR SPONSORED ADR CMN (66987V109)	09/29/2006	10/31/2013	7.00	543 96	0 00	410 26	133 70
NOVARTIS AG-ADR SPONSORED ADR CMN (66987V109)	07/18/2007	10/31/2013	24 00	1,865 01	0 00	1,284 22	580 79
WAL-MART DE MEXICO SAB DE CV SPONSORED ADR REPSTG SER V SHS (93114W107)	02/20/2009	11/06/2013	22 00	539 99	0.00	218.93	321.06
WAL-MART DE MEXICO SAB DE CV SPONSORED ADR REPSTG SER V SHS (93114W107)	01/23/2009	11/06/2013	29 00	711 81	0 00	313 49	398 32
WAL-MART DE MEXICO SAB DE CV SPONSORED ADR REPSTG SER V SHS (93114W107)	01/28/2009	11/06/2013	96.00	2,356.32	0 00	1,081 13	1,275 19
WAL-MART DE MEXICO SAB DE CV SPONSORED ADR REPSTG SER V SHS (93114W107)	02/20/2009	11/07/2013	82.00	1,969.17	0.00	816 00	1,153 17
CANADIAN NATIONAL RAILWAY CO. CMN (136375102)	09/27/2007	12/04/2013	6 00	334.26	0.00	171 61	162.65
KOMATSU LTD ADR (NEW) SPONSORED GDS CMN (500458401)	05/11/2009	12/05/2013	21 00	416 40	0 00	296 75	119 65
KOMATSU LTD ADR (NEW) SPONSORED GDS CMN (500458401)	10/21/2008	12/05/2013	112 00	2,220 81	0 00	1,261 34	959.47
TENCENT HOLDINGS LIMITED UNSPONSORED ADR CMN (88032Q109)	06/17/2010	12/12/2013	18 00	1,084 26	0 00	288 26	796 00
HENNES & MAURITZ AB ADR CMN (425883105)	06/10/2008	12/16/2013	137.00	1,178 84	0.00	758.56	420.28
CARNIVAL CORPORATION CMN (143658300)	04/07/2008	12/19/2013	3.00	113 61	0.00	126 46	(12.85)
CARNIVAL CORPORATION CMN (143658300)	05/31/2007	12/19/2013	18.00	681 63	0 00	908 47	(226.84)
CARNIVAL CORPORATION CMN (143658300)	05/30/2007	12/19/2013	22.00	833.10	0 00	1,107 56	(274.46)
Net NonCovered Long-Term Gains (Losses)				**123,791.11**	**0.00**	**99,681.13**	**24,109.98**

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