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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
THE BROTHERTON FOUNDATION

A Employer identification number
20-5623767

Number and street (or P O box number if mail is not delivered to street address)
524 SHEFFIELD ROAD

Room/suite

B Telephone number (see instructions)
(864) 859-1471

City or town, state or province, country, and ZIP or foreign postal code
EASLEY, SC 29642

C If exemption application is pending, check here ▶ ☐

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

D 1. Foreign organizations, check here ▶ ☐

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

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

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

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)*▶$ 2,537,107

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)	350,000			
	2	Check ▶ ☐ if the foundation is **not** required to attach Sch B				
	3	Interest on savings and temporary cash investments	291	291	291	
	4	Dividends and interest from securities	34,803	34,803	34,803	
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	57,874			
	b	Gross sales price for all assets on line 6a 616,090				
	7	Capital gain net income (from Part IV, line 2)		8,378		
	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)	6,931	6,931	6,931	
	12	**Total.** Add lines 1 through 11	449,899	50,403	42,025	
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc				
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach schedule)				
	c	Other professional fees (attach schedule)	1,125			
	17	Interest				
	18	Taxes (attach schedule) (see instructions)	1,774			
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule)	17,470			
	24	**Total operating and administrative expenses.** Add lines 13 through 23	20,369	0		0
	25	Contributions, gifts, grants paid	160,000			160,000
	26	**Total expenses and disbursements.** Add lines 24 and 25	180,369	0		160,000
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	269,530			
	b	**Net investment income** (if negative, enter -0-)		50,403		
	c	**Adjusted net income** (if negative, enter -0-)			42,025	

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

			Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing	21,329	159,130	159,130
	2	Savings and temporary cash investments	2,195,369	2,327,098	2,377,977
	3	Accounts receivable ▶ Less allowance for doubtful accounts ▶			
	4	Pledges receivable ▶ Less allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶ Less allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)			
	c	Investments—corporate bonds (attach schedule)			
	11	Investments—land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶			
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I)	2,216,698	2,486,228	2,537,107
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	2,216,698	2,486,228	
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☐ **and complete lines 27 through 31.**			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	**Total net assets or fund balances** (see page 17 of the instructions)	2,216,698	2,486,228	
	31	**Total liabilities and net assets/fund balances** (see page 17 of the instructions)	2,216,698	2,486,228	

Part III **Analysis of Changes in Net Assets or Fund Balances**

1	Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	2,216,698
2	Enter amount from Part I, line 27a	2	269,530
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	2,486,228
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	2,486,228

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	8,378
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	81,750	3,620,695	0 022579
2011	65,935	1,557,346	0 042338
2010	64,818	1,169,626	0 055418
2009	49,707	1,133,142	0 043867
2008	18,292	814,942	0 022446

2	**Total** of line 1, column (d)	2	0 186648
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0 037330
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	2,572,256
5	Multiply line 4 by line 3	5	96,022
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	504
7	Add lines 5 and 6	7	96,526
8	Enter qualifying distributions from Part XII, line 4	8	160,000

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	504
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	504
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	504
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	12
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶	9	516
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶	10	
11	Enter the amount of line 10 to be **Credited to 2014 estimated tax** ▶ **Refunded** ▶	11	

Part VII-A Statements Regarding Activities

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

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

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

Website address ▶N/A

14 The books are in care of ▶DAVID LARRY BROTHERTON Telephone no ▶(864) 859-1471

Located at ▶524 SHEFFIELD RD EASLEY SC ZIP+4 ▶29642

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

and enter the amount of tax-exempt interest received or accrued during the year . . . ▶ | 15 |

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

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

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

				Yes	No
1a	During the year did the foundation (either directly or indirectly)				
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ **Yes** ☑ **No**			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ **Yes** ☑ **No**			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ **Yes** ☑ **No**			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☐ **Yes** ☑ **No**			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ **Yes** ☑ **No**			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days).	☐ **Yes** ☑ **No**			
b	If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)?		1b		
	Organizations relying on a current notice regarding disaster assistance check here. ▶ ☐				
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?		1c		
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
DAVID L BROTHERTON 524 SHEFFIELD ROAD EASLEY, SC 29642	TRUSTEE 5 00	0	0	0
CARMEN K BROTHERTON 524 SHEFFIELD ROAD EASLEY, SC 29642	TRUSTEE 5 00	0	0	0

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

(a) Name and address of each employee paid more than $50,000	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances
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	2,528,042
b	Average of monthly cash balances.	1b	83,385
c	Fair market value of all other assets (see instructions).	1c	0
d	**Total** (add lines 1a, b, and c).	1d	2,611,427
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	2,611,427
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	39,171
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	2,572,256
6	**Minimum investment return.** Enter 5% of line 5.	6	128,613

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	128,613
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	504		
b	Income tax for 2013 (This does not include the tax from Part VI).	2b			
c	Add lines 2a and 2b.			2c	504
3	Distributable amount before adjustments Subtract line 2c from line 1.			3	128,109
4	Recoveries of amounts treated as qualifying distributions.			4	
5	Add lines 3 and 4.			5	128,109
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	128,109

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	160,000
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	160,000
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	504
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4.	6	159,496

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					128,109
2 Undistributed income, if any, as of the end of 2013					
a Enter amount for 2012 only.				151,598	
b Total for prior years 20___, 20___, 20___					
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.					
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ $ 160,000					
a Applied to 2012, but not more than line 2a				151,598	
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.					8,402
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).)*					
6 **Enter the net total of each column as indicated below:**					
a Corpus Add lines 3f, 4c, and 4e Subtract line 5					
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					119,707
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)					
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions) . . .					
9 **Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a					
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. . . .					

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			(e) Total
	(a) 2013	**(b)** 2012	**(c)** 2011	**(d)** 2010	
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				160,000
b *Approved for future payment*				
Total . . . . ▶ 3b				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments. . . .					
3 Interest on savings and temporary cash investments					291
4 Dividends and interest from securities. . . .					34,803
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.					6,931
8 Gain or (loss) from sales of assets other than inventory					57,874
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). .					99,899

13 **Total.** Add line 12, columns (b), (d), and (e). 13 99,899

(See worksheet in line 13 instructions to verify calculations)

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

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

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

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

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

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

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

b If "Yes," complete the following schedule

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

Sign Here

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

****** | 2014-05-07 | ******

Signature of officer or trustee | Date | Title

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed ☐	PTIN
H DEAN LEE		2014-05-16		P01213108
Firm's name ▶ LEE BROOME MACBAY & ASSOCIATES LLC			Firm's EIN ▶	
Firm's address ▶ PO BOX 5476 SPARTANBURG, SC 293045476			Phone no (864) 574-3620	

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*				
MARY'S HOUSE P O BOX 132 PICKENS,SC 29671			DOMESTIC VIOLENCE SHELTER	20,000
LOAVES AND FISHES 25 WOODS LAKE RD GREENVILLE,SC 29607			FOOD FOR NEEDY	1,000
TUSCULUM COLLEGE P O BOX 5040 GREENEVILLE,TN 37743			EDUCATION	55,000
WAKE FOREST UNIVERSITY 1834 WAKE FOREST ROAD WINSTON SALEM,NC 27106			EDUCATION	2,500
S C OVARIAN CANCER FOUND P O BOX 6531 GREENVILLE,SC 29606			MEDICAL RESEARCH	15,000
PICKENS COUNTY MUSEUN 138 HAGOOD MILL ROAD PICKENS,SC 29671			HISTORICAL	500
SHINE INC 1027 PENDLETON STREET SUITE B BOX 214 EASLEY,SC 29642			FEED THE POOR	5,000
NISWONGER FOUNDATION P O BOX 5112 GREENVILLE,TN 37743			EDUCATION	5,000
UNITED CHRISTIAN MINISTRIES P O BOX 1774 EASLEY,SC 29641			HEAKTH CLINICS	5,000
CLEMENT'S KINDNESS FUND FOR THE CHI 630 E WASHINGTON ST SUITE A GREENVILLE,SC 29601			CAMP FOR CHILDREN WITH CANCER	5,000
MIRACLE HILL MINISTRIES P O BOX 2546 GREENVILLE,SC 29602			CHILDRENS HOME	10,000
GHS OFFICE OF PHILANTHROPY 300 MC BEE AVE SUITE 200 GREENVILLE,SC 296012898			CANCER FUND	25,000
UNIVERSITY OF TENNESSEE C/O CHARLES FEIGERLE 552 BUEHLER HALL KNOXVILLE,TN 379961600			SCHOLARSHIPS	10,000
METROPOLITAN ARTS COUNCIL 123 W BROAD ST GREENVILLE,SC 29601			ARTS	1,000
Total . . . . ▶ **3a**				160,000

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Schedule B
(Form 990, 990-EZ, or 990-PF)
Department of the Treasury
Internal Revenue Service

Schedule of Contributors

▶ Attach to Form 990, 990-EZ, or 990-PF.
▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at *www.irs.gov/form990*.

OMB No 1545-0047

2013

Name of the organization	Employer identification number
THE BROTHERTON FOUNDATION	20-5623767

Organization type (check one)

Filers of:	Section:
Form 990 or 990-EZ	☐ 501(c)( ) (enter number) organization
	☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
	☐ 527 political organization
Form 990-PF	☑ 501(c)(3) exempt private foundation
	☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
	☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule.**
Note. Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule See instructions

General Rule

☑ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, $5,000 or more (in money or property) from any one contributor Complete Parts I and II

Special Rules

☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of **(1)** $5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1 Complete Parts I and II

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than $1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals Complete Parts I, II, and III

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc , purposes, but these contributions did not total more than $1,000 If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc , purpose Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc , contributions of $5,000 or more during the year . . . . ▶ $ ____________

Caution. An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF)

Name of organization
THE BROTHERTON FOUNDATION

Employer identification number
20-5623767

Part I **Contributors** (see instructions) Use duplicate copies of Part I if additional space is needed

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	ORTEC INC P O BOX 1769 EASLEY, SC 29641	$ 350,000	Person ☐ Payroll ☑ Noncash ☐ (Complete Part II for noncash contributions)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)

Name of organization
THE BROTHERTON FOUNDATION

Employer identification number
20-5623767

Part II Noncash Property (see instructions) Use duplicate copies of Part II if additional space is needed

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

Name of organization
THE BROTHERTON FOUNDATION

Employer identification number
20-5623767

Part III *Exclusively* **religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than $1,000 for the year.** Complete columns **(a)** through **(e) and** the following line entry
For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc ,
contributions of **$1,000 or less** for the year (Enter this information once See instructions) ▶ $
Use duplicate copies of Part III if additional space is needed

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP 4	Relationship of transferor to transferee

TY 2013 Compensation Explanation

Name: THE BROTHERTON FOUNDATION

EIN: 20-5623767

Person Name	Explanation
DAVID L BROTHERTON	
CARMEN K BROTHERTON	

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: THE BROTHERTON FOUNDATION

EIN: 20-5623767

Name	Date Acquired	How Acquired	Date Sold	Purchaser Name	Gross Sales Price	Basis	Basis Method	Sales Expenses	Total (net)	Accumulated Depreciation
SEE ATTACHED		PURCHASE			607,712	558,216			49,496	

TY 2013 Other Expenses Schedule

Name: THE BROTHERTON FOUNDATION

EIN: 20-5623767

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXPENSES				
U S TRUST FEES	17,470			

TY 2013 Other Income Schedule

Name: THE BROTHERTON FOUNDATION

EIN: 20-5623767

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
OTHER INVESTMENT INCOME	6,931	6,931	6,931

TY 2013 Other Professional Fees Schedule

Name: THE BROTHERTON FOUNDATION

EIN: 20-5623767

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
TAX RETURN PREPARATION	1,125			

TY 2013 Taxes Schedule

Name: THE BROTHERTON FOUNDATION

EIN: 20-5623767

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAX	700			
EXCISE TAX	1,074			

TY 2013 IRS Payment

Name:	THE BROTHERTON FOUNDATION
EIN:	20-5623767
Routing Transit Number:	053904483
Bank Account Number:	000772326177
Type of Account:	Checking
Payment Amount in Dollars and Cents:	516
Requested Payment Date:	2014-05-15
Taxpayer's Daytime Phone Number:	(864) 859-1471

Proceeds From Broker Transactions

We have adjusted tax costs for amortization of premium paid for the acquisition of municipal bonds through date of sale and for non-taxable dividends. An asterisk symbol (*) next to the tax cost indicates that the tax cost has been adjusted for the current year's return of capital. However, we have not made adjustments to the cost basis of all partnerships.

If applicable, we have shown IRC Section 988 translation gains and losses separately within the sales sections. Please note these gains or losses are not entitled to capital gains treatment. Rather, under IRC Section 988, they are either ordinary income or loss. However, we have not made adjustments to the cost basis of all partnerships.

Short term transactions

This category includes sales of assets held 12 months or less.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
AMAZON COM INC	AMZN	023135106	1	04/19/12	01/08/13	$264.85	$191.99	$72.86
AMAZON COM INC	AMZN	023135106	2	03/13/12	01/08/13	$529.69	$366.51	$163.18
BAIDU COM INC SPONSORED ADR RE	BIDU	056752108	3	04/19/12	01/08/13	$302.63	$437.73	$-135.10
BIOGEN IDEC INC	BIIB	09062X103	1	09/13/12	01/08/13	$144.87	$152.16	$-7.29
BIOGEN IDEC INC	BIIB	09062X103	1	04/19/12	01/08/13	$144.87	$126.48	$18.39
EOG RES INC	EOG	26875P101	3	08/01/12	01/08/13	$371.98	$302.22	$69.76
VISA INC CL A	V	92826C839	1	08/01/12	01/08/13	$157.43	$128.09	$29.34
LAS VEGAS SANDS CORP	LVS	517834107	13	10/01/12	01/08/13	$660.48	$602.15	$58.33
EOG RES INC	EOG	26875P101	2	07/05/12	01/08/13	$247.99	$186.11	$61.88
LINKEDIN CORP	LNKD	53578A108	1	10/01/12	01/08/13	$110.25	$117.85	$-7.60
LAS VEGAS SANDS CORP	LVS	517834107	5	10/01/12	01/25/13	$263.46	$231.59	$31.87
LAS VEGAS SANDS CORP	LVS	517834107	8	09/13/12	01/30/13	$408.93	$355.33	$53.60
LAS VEGAS SANDS CORP	LVS	517834107	6	07/05/12	01/30/13	$306.70	$255.91	$50.79
LAS VEGAS SANDS CORP	LVS	517834107	4	10/01/12	01/30/13	$204.47	$185.28	$19.19
LINKEDIN CORP	LNKD	53578A108	4	05/09/12	02/08/13	$602.18	$449.24	$152.94
LINKEDIN CORP	LNKD	53578A108	6	10/01/12	02/08/13	$903.27	$707.10	$196.17
MICHAEL KORS HLDGS LTD	KORS	G60754101	5	03/13/12	02/14/13	$307.37	$243.82	$63.55
AMPHENOL CORP NEW CL A	APH	032095101	1575	12/06/12	02/27/13	$110,034.90	$95,929.31	$14,105.59

Short term transactions

This category includes sales of assets held 12 months or less.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
LINKEDIN CORP	LNKD	53578A108	2	05/09/12	02/28/13	$336.55	$224.62	$111.93
LINKEDIN CORP	LNKD	53578A108	2	05/09/12	03/01/13	$332.52	$224.62	$107.90
LINKEDIN CORP	LNKD	53578A108	5	05/09/12	03/07/13	$868.13	$561.56	$306.57
BAIDU COM INC SPONSORED ADR RE	BIDU	056752108	1	08/01/12	03/13/13	$87.61	$122.99	$-35.38
MICHAEL KORS HLDGS LTD	KORS	G60754101	3	03/13/12	03/13/13	$175.51	$146.30	$29.21
LINKEDIN CORP	LNKD	53578A108	1	05/09/12	03/13/13	$180.61	$112.31	$68.30
PRECISION CASTPARTS CORP	PCP	740189105	1	03/04/13	03/13/13	$190.78	$186.16	$4.62
EMC CORPORATION	EMC	268648102	5	09/13/12	03/13/13	$124.80	$137.27	$-12.47
LULULEMON ATHLETICA INC	LULU	550021109	6	01/08/13	03/21/13	$388.15	$427.18	$-39.03
CELGENE CORP COM	CELG	151020104	3	05/22/12	04/03/13	$345.42	$209.83	$135.59
ISHARES INC MSCI JAPAN INDEX F	EWJ	464286848	2145	12/06/12	04/09/13	$23,551.57	$20,057.68	$3,493.89
CELGENE CORP COM	CELG	151020104	6	05/22/12	04/23/13	$757.04	$419.66	$337.38
ALEXION PHARMACEUTICALS INC	ALXN	015351109	5	12/14/12	04/23/13	$458.20	$472.71	$-14.51
GILEAD SCIENCES INC	GILD	375558103	13	03/07/13	04/23/13	$690.84	$585.13	$105.71
ALEXION PHARMACEUTICALS INC	ALXN	015351109	2	01/30/13	04/23/13	$183.28	$193.01	$-9.73
ALEXION PHARMACEUTICALS INC	ALXN	015351109	10	02/21/13	04/24/13	$899.08	$866.40	$32.68
ALEXION PHARMACEUTICALS INC	ALXN	015351109	5	12/14/12	04/24/13	$449.54	$472.71	$-23.17
ALEXION PHARMACEUTICALS INC	ALXN	015351109	4	01/25/13	04/24/13	$359.63	$376.55	$-16.92
YUM BRANDS INC	YUM	988498101	5	10/01/12	04/25/13	$338.83	$335.68	$3.15
EMC CORPORATION	EMC	268648102	8	10/01/12	05/14/13	$184.34	$219.08	$-34.74
EMC CORPORATION	EMC	268648102	10	09/13/12	05/14/13	$230.42	$274.54	$-44.12
EMC CORPORATION	EMC	268648102	9	01/30/13	05/14/13	$207.38	$221.74	$-14.36
FMC TECHNOLOGIES INC	FTI	30249U101	1	01/24/13	05/15/13	$56.12	$51.88	$4.24
FMC TECHNOLOGIES INC	FTI	30249U101	1	02/19/13	05/15/13	$56.12	$52.44	$3.68
FMC TECHNOLOGIES INC	FTI	30249U101	3	02/15/13	05/15/13	$168.34	$154.25	$14.09
GILEAD SCIENCES INC	GILD	375558103	7	03/07/13	05/15/13	$394.15	$315.07	$79.08
GILEAD SCIENCES INC	GILD	375558103	1	02/19/13	05/15/13	$56.31	$42.32	$13.99
YUM BRANDS INC	YUM	988498101	4	10/01/12	05/15/13	$280.51	$268.54	$11.97

Short term transactions

This category includes sales of assets held 12 months or less.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
YUM BRANDS INC	YUM	988498101	2	09/13/12	05/15/13	$140.25	$133.31	$6.94
MICHAEL KORS HLDGS LTD	KORS	G60754101	2	04/23/13	05/28/13	$123.72	$108.19	$15.53
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	1522.53	12/06/12	06/11/13	$22,975.02	$25,000.00	$-2,024.98
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	11.55	06/30/12	06/11/13	$174.33	$175.26	$-0.93
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	13.97	12/11/12	06/11/13	$210.87	$228.34	$-17.47
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	20.17	12/31/12	06/11/13	$304.40	$329.41	$-25.01
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	10.68	11/30/12	06/11/13	$161.18	$174.32	$-13.14
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	16.97	04/30/13	06/11/13	$256.08	$274.40	$-18.32
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	10.74	10/31/12	06/11/13	$162.10	$173.49	$-11.39
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	17.1	01/31/13	06/11/13	$258.04	$275.82	$-17.78
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	10.73	09/30/12	06/11/13	$161.90	$172.53	$-10.63
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	17.25	02/28/13	06/11/13	$260.32	$276.88	$-16.56
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	17.23	03/31/13	06/11/13	$260.05	$273.66	$-13.61
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	10.83	08/31/12	06/11/13	$163.44	$171.78	$-8.34
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	10.88	07/31/12	06/11/13	$164.10	$170.85	$-6.75
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	17.42	05/31/13	06/11/13	$262.84	$271.55	$-8.71
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	13.81	12/11/12	06/11/13	$208.32	$225.58	$-17.26
YUM BRANDS INC	YUM	988498101	3	08/01/12	06/13/13	$214.53	$194.14	$20.39
YUM BRANDS INC	YUM	988498101	3	07/05/12	06/13/13	$214.53	$193.87	$20.66
YUM BRANDS INC	YUM	988498101	5	02/08/13	06/13/13	$357.55	$326.45	$31.10
YUM BRANDS INC	YUM	988498101	1	09/13/12	06/13/13	$71.51	$66.66	$4.85
BAIDU COM INC SPONSORED ADR RE	BIDU	056752108	1	10/01/12	06/19/13	$95.01	$112.20	$-17.19
BAIDU COM INC SPONSORED ADR RE	BIDU	056752108	1	07/05/12	06/19/13	$95.02	$116.04	$-21.02
BAIDU COM INC SPONSORED ADR RE	BIDU	056752108	1	08/01/12	06/19/13	$95.01	$122.99	$-27.98
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	99.69	12/14/12	06/21/13	$1,053.69	$1,086.59	$-32.90
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	225.93	12/14/12	06/21/13	$2,388.12	$2,462.68	$-74.56
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	49.06	12/31/12	06/21/13	$518.57	$534.27	$-15.70
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	41.03	01/31/13	06/21/13	$433.68	$446.40	$-12.72

Short term transactions

This category includes sales of assets held 12 months or less.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	55.06	07/31/12	06/21/13	$581.95	$597.37	$-15.42
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	46.85	05/31/13	06/21/13	$495.22	$507.87	$-12.65
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	57.28	06/30/12	06/21/13	$605.46	$611.19	$-5.73
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	55.6	04/30/13	06/21/13	$587.66	$612.68	$-25.02
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	48.48	09/30/12	06/21/13	$512.48	$535.75	$-23.27
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	52.63	10/31/12	06/21/13	$556.28	$582.59	$-26.31
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	41.99	02/28/13	06/21/13	$443.86	$458.13	$-14.27
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	45.5	11/30/12	06/21/13	$480.91	$505.48	$-24.57
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	42.42	03/31/13	06/21/13	$448.38	$463.23	$-14.85
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	54.17	08/31/12	06/21/13	$572.60	$591.56	$-18.96
FMC TECHNOLOGIES INC	FTI	30249U101	2	02/15/13	07/18/13	$114.10	$102.83	$11.27
FMC TECHNOLOGIES INC	FTI	30249U101	4	09/13/12	07/18/13	$228.19	$194.79	$33.40
FACEBOOK INC	FB	30303M102	21	01/08/13	07/26/13	$709.78	$610.51	$99.27
BAIDU COM INC SPONSORED ADR RE	BIDU	056752108	5	10/01/12	07/26/13	$635.41	$560.98	$74.43
FACEBOOK INC	FB	30303M102	10	02/15/13	07/26/13	$337.99	$282.57	$55.42
FACEBOOK INC	FB	30303M102	4	02/19/13	07/26/13	$135.20	$112.76	$22.44
FACEBOOK INC	FB	30303M102	11	05/28/13	07/26/13	$371.79	$268.71	$103.08
FACEBOOK INC	FB	30303M102	9	06/19/13	07/26/13	$304.20	$219.33	$84.87
FACEBOOK INC	FB	30303M102	14	06/19/13	07/31/13	$513.68	$341.18	$172.50
MICHAEL KORS HLDGS LTD	KORS	G60754101	5	04/23/13	09/04/13	$376.74	$270.48	$106.26
FACEBOOK INC	FB	30303M102	13	06/19/13	09/09/13	$574.37	$316.81	$257.56
QUALCOMM INC	QCOM	747525103	3	04/23/13	09/09/13	$204.75	$195.05	$9.70
FACEBOOK INC	FB	30303M102	34	10/25/12	09/09/13	$1,502.21	$781.11	$721.10
QUALCOMM INC	QCOM	747525103	4	10/01/12	09/09/13	$272.99	$248.83	$24.16
QUALCOMM INC	QCOM	747525103	3	01/08/13	09/09/13	$204.75	$191.48	$13.27
EDWARDS LIFESCIENCES CORP	EW	28176E108	3	10/01/12	09/25/13	$207.01	$324.07	$-117.06
EDWARDS LIFESCIENCES CORP	EW	28176E108	1	12/17/12	09/25/13	$69.01	$91.22	$-22.21
EDWARDS LIFESCIENCES CORP	EW	28176E108	1	12/14/12	09/25/13	$69.00	$91.18	$-22.18

Short term transactions

This category includes sales of assets held 12 months or less.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
EDWARDS LIFESCIENCES CORP	EW	28176E108	3	06/19/13	09/26/13	$204.67	$209.71	$-5.04
EDWARDS LIFESCIENCES CORP	EW	28176E108	8	02/12/13	09/26/13	$545.78	$698.16	$-152.38
EDWARDS LIFESCIENCES CORP	EW	28176E108	8	12/14/12	09/26/13	$545.78	$729.47	$-183.69
EDWARDS LIFESCIENCES CORP	EW	28176E108	8	02/11/13	09/26/13	$545.78	$692.66	$-146.88
FACEBOOK INC	FB	30303M102	9	10/25/12	10/25/13	$470.33	$206.76	$263.57
GILEAD SCIENCES INC	GILD	375558103	2	02/19/13	11/04/13	$139.29	$84.63	$54.66
GILEAD SCIENCES INC	GILD	375558103	4	02/15/13	11/04/13	$278.57	$166.38	$112.19
GILEAD SCIENCES INC	GILD	375558103	10	01/08/13	11/04/13	$696.43	$388.08	$308.35
TJX COS INC NEW	TJX	872540109	1	04/23/13	11/14/13	$63.06	$47.28	$15.78
AMAZON COM INC	AMZN	023135106	1	09/04/13	11/14/13	$367.00	$294.29	$72.71
COGNIZANT TECHNOLOGY SOLUTION	CTSH	192446102	3	07/18/13	11/14/13	$279.63	$218.66	$60.97
NOVO-NORDISK A S ADR	NVO	670100205	2	06/19/13	11/15/13	$347.68	$319.81	$27.87
AMAZON COM INC	AMZN	023135106	1	05/15/13	11/19/13	$366.20	$266.92	$99.28
PRECISION CASTPARTS CORP	PCP	740189105	1	09/27/13	11/26/13	$259.14	$228.05	$31.09
PRICELINE.COM INC	PCLN	741503403	1	01/08/13	12/19/13	$1,188.15	$659.57	$528.58
COGNIZANT TECHNOLOGY SOLUTION	CTSH	192446102	4	07/18/13	12/26/13	$394.30	$291.55	$102.75
RED HAT INC	RHT	756577102	8	05/17/13	12/26/13	$445.94	$440.67	$5.27
Total short term gain/loss from sales:						$199,355.98	$179,411.15	$19,944.83

Short term transactions with loss disallowed due to wash sale

This category includes sales of assets held 12 months or less.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Portion subject to 988	Net gain or loss / Wash sale loss disallowed
FMC TECHNOLOGIES INC	FTI	30249U101	1	02/19/13	03/13/13	$51.99	$52.45		$-0.46
								$0.00	$0.46

Short term transactions with loss disallowed due to wash sale

This category includes sales of assets held 12 months or less.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Portion subject to 988	Net gain or loss / Wash sale loss disallowed
ARM HLDGS PLC SPONSORED ADR	ARMH	042068106	1	10/25/13	11/14/13	$45.43	$47.80		$-2.37
								$0.00	$2.37
RED HAT INC	RHT	756577102	2	05/17/13	11/26/13	$93.30	$110.17		$-16.87
								$0.00	$16.87
Total short term gain/loss from sales:						$190.72	$210.42		$-19.70
Total short term loss disallowed from wash sales:									$19.70
Total short term Section 988 translation gain/loss from securities subject to wash sale:								$0.00	

Long term transactions

This category includes sales of assets held more than 12 months.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
BIOGEN IDEC INC	BIIB	09062X103	4	04/25/11	01/08/13	$579.47	$400.39	$179.08
EOG RES INC	EOG	26875P101	2	10/21/11	01/08/13	$247.98	$180.34	$67.64
VISA INC CL A	V	92826C839	2	09/20/11	01/08/13	$314.85	$186.83	$128.02
VISA INC CL A	V	92826C839	2	01/04/12	01/08/13	$314.86	$204.24	$110.62
SALESFORCE COM INC	CRM	79466L302	3	12/30/09	01/08/13	$505.25	$221.25	$284.00
BIOGEN IDEC INC	BIIB	09062X103	2	04/25/11	02/15/13	$337.25	$200.19	$137.06
BIOGEN IDEC INC	BIIB	09062X103	1	06/03/11	02/15/13	$168.63	$95.43	$73.20
NOVO-NORDISK A S ADR	NVO	670100205	5	01/08/10	02/15/13	$854.04	$325.20	$528.84
NOVO-NORDISK A S ADR	NVO	670100205	3	01/08/10	02/19/13	$517.58	$195.12	$322.46
PRECISION CASTPARTS CORP	PCP	740189105	2	09/22/10	02/21/13	$363.60	$258.57	$105.03
NOVO-NORDISK A S ADR	NVO	670100205	1	01/08/10	02/21/13	$172.50	$65.04	$107.46
LAUDER ESTEE COS INC CL A	EL	518439104	2	12/31/10	02/21/13	$126.64	$80.70	$45.94
LAS VEGAS SANDS CORP	LVS	517834107	1	08/19/11	03/13/13	$53.18	$41.53	$11.65

U.S. TRUST

Bank of America Private Wealth Management

IM THE BROTHERTON FOUNDATION

Long term transactions

This category includes sales of assets held more than 12 months.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis		Net gain or loss
LULULEMON ATHLETICA INC	LULU	550021109	15	05/07/10	03/21/13	$970.38	$273.81		$696.57
LULULEMON ATHLETICA INC	LULU	550021109	5	08/31/10	03/21/13	$323.46	$82.53		$240.93
LULULEMON ATHLETICA INC	LULU	550021109	29	08/31/10	03/22/13	$1,826.02	$478.66		$1,347.36
LULULEMON ATHLETICA INC	LULU	550021109	4	08/31/10	03/22/13	$251.86	$65.93		$185.93
BIOGEN IDEC INC	BIIB	09062X103	3	06/03/11	04/23/13	$636.78	$286.29		$350.49
ALEXION PHARMACEUTICALS INC	ALXN	015351109	1	09/23/10	04/24/13	$89.91	$31.52		$58.39
EMC CORPORATION	EMC	268648102	147	10/30/09	05/14/13	$3,387.20	$2,449.16		$938.04
LAS VEGAS SANDS CORP	LVS	517834107	13	08/19/11	05/15/13	$757.87	$537.71	*	$220.16
ALEXION PHARMACEUTICALS INC	ALXN	015351109	3	09/22/10	05/15/13	$312.20	$94.53		$217.67
GOOGLE INC CL A	GOOG	38259P508	1	10/16/08	05/15/13	$906.09	$322.18		$583.91
LAUDER ESTEE COS INC CL A	EL	518439104	2	12/31/10	05/28/13	$143.47	$80.70		$62.77
FRANKLIN RESOURCES INC	BEN	354613101	1	10/11/10	05/28/13	$166.05	$113.39		$52.66
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	11.38	04/30/12	06/11/13	$171.66	$173.94		$-2.28
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	11.74	01/31/12	06/11/13	$177.17	$173.88		$3.29
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	11.42	03/31/12	06/11/13	$172.25	$173.16		$-0.91
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	11.8	05/31/12	06/11/13	$178.11	$174.69		$3.42
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	11.61	10/31/11	06/11/13	$175.19	$170.67		$4.52
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	4.52	02/29/12	06/11/13	$68.21	$68.98		$-0.77
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	1.9	12/08/11	06/11/13	$28.66	$27.59		$1.07
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	14.76	12/31/11	06/11/13	$222.70	$214.29		$8.41
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	11.89	11/30/11	06/11/13	$179.34	$171.50		$7.84
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	2540.58	06/16/10	06/11/13	$38,337.34	$36,000.00		$2,337.34
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	12.09	09/30/11	06/11/13	$182.45	$170.12		$12.33
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	6.64	12/08/11	06/11/13	$100.15	$96.43		$3.72
YUM BRANDS INC	YUM	988498101	8	02/03/12	06/13/13	$572.07	$514.91		$57.16
LAUDER ESTEE COS INC CL A	EL	518439104	1	01/07/11	06/13/13	$68.09	$40.15		$27.94
LAUDER ESTEE COS INC CL A	EL	518439104	4	01/07/11	06/13/13	$272.38	$160.62		$111.76
LAUDER ESTEE COS INC CL A	EL	518439104	2	12/31/10	06/13/13	$136.19	$80.69		$55.50

Long term transactions

This category includes sales of assets held more than 12 months.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
LAUDER ESTEE COS INC CL A	EL	518439104	9	01/07/11	06/14/13	$611.89	$361.38	$250.51
YUM BRANDS INC	YUM	988498101	3	02/03/12	06/14/13	$214.11	$193.09	$21.02
BIOGEN IDEC INC	BIIB	09062X103	7	06/03/11	06/19/13	$1,449.85	$668.01	$781.84
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	39.23	11/30/11	06/21/13	$414 62	$407.17	$7.45
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	4816.96	01/09/12	06/21/13	$50,915.22	$50,000.00	$915.22
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	39.25	12/31/11	06/21/13	$414.92	$407.06	$7.86
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	36.93	12/12/11	06/21/13	$390.34	$381.48	$8.86
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	48.76	12/12/11	06/21/13	$515.38	$503.68	$11.70
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	26.6	04/30/12	06/21/13	$281.15	$282.21	$-1.06
PIMCO TOTAL RETURN FUND	PTTR X	693390700	4578.76	01/09/12	06/21/13	$48,946.89	$50,000.00	$-1,053.11
PIMCO TOTAL RETURN FUND	PTTR X	693390700	10142.24	12/10/08	06/21/13	$108,420.49	$100,408.13	$8,012.36
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	60.06	03/31/12	06/21/13	$634.79	$632.99	$1.80
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	52.25	02/29/12	06/21/13	$552.31	$551.27	$1.04
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	51.7	01/31/12	06/21/13	$546.44	$542.82	$3.62
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	10505.44	02/28/11	06/21/13	$111,042.52	$109,571.76	$1,470.76
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	52.46	05/31/12	06/21/13	$554.53	$559.26	$-4.73
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	40.37	09/30/11	06/21/13	$426.69	$422.65	$4.04
METROPOLITAN WEST FDS TOTAL RE	MWTI X	592905509	41.2	10/31/11	06/21/13	$435.44	$430.91	$4.53
ALEXION PHARMACEUTICALS INC	ALXN	015351109	2	09/22/10	07/15/13	$217.27	$63.02	$154.25
YUM BRANDS INC	YUM	988498101	35	02/02/12	07/16/13	$2,496.86	$2,231.27	$265.59
YUM BRANDS INC	YUM	988498101	8	02/03/12	07/16/13	$570.71	$514.92	$55.79
LAS VEGAS SANDS CORP	LVS	517834107	8	08/19/11	07/18/13	$445.03	$329.58 *	$115.45
LINKEDIN CORP	LNKD	53578A108	1	05/09/12	07/18/13	$200.10	$112.31	$87.79
LINKEDIN CORP	LNKD	53578A108	2	05/09/12	07/19/13	$398.41	$224.62	$173.79
BAIDU COM INC SPONSORED ADR RE	BIDU	056752108	3	07/19/10	07/26/13	$381.24	$219.04	$162.20
LAUDER ESTEE COS INC CL A	EL	518439104	4	12/29/10	08/13/13	$265.06	$159.69	$105.37
LAUDER ESTEE COS INC CL A	EL	518439104	4	12/30/10	08/13/13	$265.05	$159.48	$105.57
LAUDER ESTEE COS INC CL A	EL	518439104	2	12/23/10	08/13/13	$132.53	$79.82	$52.71

Long term transactions

This category includes sales of assets held more than 12 months.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis		Net gain or loss
LAUDER ESTEE COS INC CLA	EL	518439104	4	01/07/11	08/13/13	$265.05	$160.26		$104.79
LAUDER ESTEE COS INC CLA	EL	518439104	4	01/07/11	08/13/13	$265.05	$160.62		$104.43
LAUDER ESTEE COS INC CLA	EL	518439104	12	12/28/10	08/14/13	$781.84	$477.58		$304.26
LAUDER ESTEE COS INC CLA	EL	518439104	2	12/27/10	08/14/13	$130.31	$79.71		$50.60
LAUDER ESTEE COS INC CLA	EL	518439104	4	12/30/10	08/14/13	$260.62	$159.48		$101.14
LAUDER ESTEE COS INC CLA	EL	518439104	4	12/27/10	08/14/13	$260.62	$159.39		$101.23
LAS VEGAS SANDS CORP	LVS	517834107	28	10/03/11	08/27/13	$1,543.32	$1,027.65	*	$515.67
LAS VEGAS SANDS CORP	LVS	517834107	20	08/22/11	08/27/13	$1,102.37	$809.23	*	$293.14
LAS VEGAS SANDS CORP	LVS	517834107	16	08/19/11	08/27/13	$881.90	$659.17	*	$222.73
MICHAEL KORS HLDGS LTD	KORS	G60754101	4	03/13/12	09/04/13	$301.39	$195.06		$106.33
MICHAEL KORS HLDGS LTD	KORS	G60754101	4	03/13/12	09/09/13	$303.09	$195.06		$108.03
EDWARDS LIFESCIENCES CORP	EW	28176E108	5	09/13/12	09/25/13	$345.02	$528.64		$-183.62
EDWARDS LIFESCIENCES CORP	EW	28176E108	3	09/17/12	09/25/13	$207.01	$314.29		$-107.28
EDWARDS LIFESCIENCES CORP	EW	28176E108	23	06/14/12	09/25/13	$1,587.06	$2,239.53		$-652.47
CELGENE CORP COM	CELG	151020104	2	08/01/12	10/25/13	$310.48	$136.97		$173.51
GILEAD SCIENCES INC	GILD	375558103	4	09/17/12	11/04/13	$278.57	$131.28		$147.29
BAIDU COM INC SPONSORED ADR RE	BIDU	056752108	1	07/19/10	11/14/13	$159.19	$73.01		$86.18
QUALCOMM INC	QCOM	747525103	7	12/12/08	11/14/13	$497.59	$236.72		$260.87
QUALCOMM INC	QCOM	747525103	5	08/01/12	11/14/13	$355.43	$297.93		$57.50
QUALCOMM INC	QCOM	747525103	7	10/16/08	11/14/13	$497.60	$261.99		$235.61
QUALCOMM INC	QCOM	747525103	3	07/05/12	11/14/13	$213.25	$168.53		$44.72
QUALCOMM INC	QCOM	747525103	1	10/01/12	11/14/13	$71.08	$62.21		$8.87
LINKEDIN CORP	LNKD	53578A108	1	05/09/12	11/14/13	$221.81	$112.31		$109.50
ALEXION PHARMACEUTICALS INC	ALXN	015351109	3	09/22/10	11/14/13	$359.50	$94.53		$264.97
FRANKLIN RESOURCES INC	BEN	354613101	2	10/11/10	11/14/13	$108.59	$75.59		$33.00
NOVO-NORDISK A S ADR	NVO	670100205	2	01/07/10	11/15/13	$347.67	$129.78		$217.89
NOVO-NORDISK A S ADR	NVO	670100205	2	01/07/10	11/18/13	$348.32	$129.78		$218.54
NOVO-NORDISK A S ADR	NVO	670100205	2	01/07/10	11/18/13	$348.32	$129.72		$218.60

Long term transactions

This category includes sales of assets held more than 12 months.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
NOVO-NORDISK A S ADR	NVO	670100205	5	01/07/10	11/18/13	$870.80	$324.04	$546.76
CELGENE CORP COM	CELG	151020104	2	06/12/09	11/19/13	$306.83	$86.33	$220.50
CELGENE CORP COM	CELG	151020104	1	08/01/12	11/19/13	$153.42	$68.49	$84.93
CELGENE CORP COM	CELG	151020104	2	07/05/12	11/19/13	$306.84	$130.12	$176.72
NOVO-NORDISK A S ADR	NVO	670100205	3	01/07/10	11/19/13	$522.30	$194.42	$327.88
QUALCOMM INC	QCOM	747525103	11	12/12/08	11/19/13	$791.10	$371.99	$419.11
QUALCOMM INC	QCOM	747525103	34	12/12/08	11/21/13	$2,415.44	$1,149.80	$1,265.64
BAIDU COM INC SPONSORED ADR RE	BIDU	056752108	4	07/19/10	12/17/13	$673.77	$286.36	$387.41
FRANKLIN RESOURCES INC	BEN	354613101	5	10/07/10	12/26/13	$284.51	$187.98	$96.53
FRANKLIN RESOURCES INC	BEN	354613101	7	10/11/10	12/26/13	$398 32	$264.57	$133.75
FRANKLIN RESOURCES INC	BEN	354613101	3	10/08/10	12/26/13	$170.71	$113.34	$57.37
AMAZON COM INC	AMZN	023135106	1	03/13/12	12/27/13	$400.31	$183.26	$217.05
AMAZON COM INC	AMZN	023135106	3	10/16/08	12/27/13	$1,200.93	$138.11	$1,062.82
Total long term gain/loss from sales:						$408,356.25	$378,805.31	$29,550.94

Long term transactions with loss disallowed due to wash sale

This category includes sales of assets held more than 12 months.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Portion subject to 988	Net gain or loss / Wash sale loss disallowed
MFS EMERGING MKTS DEBT FUND	MEDI X	55273E640	6.77	02/29/12	06/11/13	$102.08	$103.23		$-1.15
								$0.00	$1.15

Long term transactions with loss disallowed due to wash sale

This category includes sales of assets held more than 12 months.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Portion subject to 988	Net gain or loss	Wash sale loss disallowed
METROPOLITAN WEST FDS TOTAL RE	MWTIX	592905509	30.75	04/30/12	06/21/13	$325.03	$326.26		$-1.23	
								$0.00		$1.23
Total long term gain/loss from sales:						$427.11	$429.49		$-2.38	
Total long term loss disallowed from wash sales:										$2.38
Total long term Section 988 translation gain/loss from securities subject to wash sale:								$0.00		