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Return of Private Foundation

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

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

For calendar year 2013 or tax year beginning

, and ending

Name of foundation
RICHARD ROTH FOUNDATION

Number and street (or P O box number if mail is not delivered to street address) Room/suite
C/O WTAS LLC, 1177 AVE OF THE AMERICAS, 1

City or town, state or province, country, and ZIP or foreign postal code
NEW YORK, NY 10036

A Employer identification number
20-5706189

B Telephone number
(646) 213-5100

C If exemption application is pending, check here

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

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

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

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

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

I Fair market value of all assets at end of year (from Part II, col (c), line 16) **J** Accounting method: Cash Accrual
 Other (specify) _____
▶ \$ **2,109,985.** (Part I, column (d) must be on cash basis.)

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)
1 Contributions, gifts, grants, etc., received					
2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B					
3 Interest on savings and temporary cash investments		41.	41.		STATEMENT 1
4 Dividends and interest from securities		44,364.	44,364.		STATEMENT 2
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		128,076.			
b Gross sales price for all assets on line 6a 707,611.					
7 Capital gain net income (from Part IV, line 2)			128,076.		
8 Net short-term capital gain				N/A	
9 Income modifications					
10a Gross sales less returns and allowances					
b Less Cost of goods sold					
c Gross profit or (loss)					
11 Other income					
12 Total. Add lines 1 through 11		172,481.	172,481.	0.	
13 Compensation of officers, directors, trustees, etc.		0.	0.	0.	0.
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees					
b Accounting fees					
c Other professional fees STMT 3		12,401.	12,401.	0.	0.
17 Interest					
18 Taxes STMT 4		6,515.	6,515.	0.	0.
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses STMT 5		963.	963.	0.	0.
24 Total operating and administrative expenses. Add lines 13 through 23		19,879.	19,879.	0.	0.
25 Contributions, gifts, grants paid		92,000.			92,000.
26 Total expenses and disbursements. Add lines 24 and 25		111,879.	19,879.	0.	92,000.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		60,602.			
b Net investment income (if negative, enter -0-)			152,602.		
c Adjusted net income (if negative, enter -0-)				0.	

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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		6,042.	53,014.	53,014.
	3	Accounts receivable ▶				
		Less: allowance for doubtful accounts ▶				
	4	Pledges receivable ▶				
		Less: allowance for doubtful accounts ▶				
	5	Grants receivable				
	6	Receivables due from officers, directors, trustees, and other disqualified persons				
	7	Other notes and loans receivable ▶				
		Less: allowance for doubtful accounts ▶				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges				
	10a	Investments - U.S. and state government obligations				
		b Investments - corporate stock STMT 6		1,019,910.	1,051,869.	1,339,953.
		c Investments - corporate bonds STMT 7		688,134.	709,519.	716,989.
	11	Investments - land, buildings, and equipment basis ▶				
	Less accumulated depreciation ▶					
12	Investments - mortgage loans					
13	Investments - other STMT 8		39,670.	0.	0.	
14	Land, buildings, and equipment basis ▶					
	Less accumulated depreciation ▶					
15	Other assets (describe ▶ ACCRUED DIVIDENDS)		44.	0.	29.	
16	Total assets (to be completed by all filers - see the instructions. Also, see page 1, item 1)		1,753,800.	1,814,402.	2,109,985.	
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 ▶ <input type="checkbox"/>					
	and complete lines 24 through 26 and lines 30 and 31.					
	24	Unrestricted				
	25	Temporarily restricted				
	26	Permanently restricted				
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/>					
	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		1,753,800.	1,814,402.		
30	Total net assets or fund balances		1,753,800.	1,814,402.		
31	Total liabilities and net assets/fund balances		1,753,800.	1,814,402.		

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 1,753,800.
2	Enter amount from Part I, line 27a	2 60,602.
3	Other increases not included in line 2 (itemize) ▶	3 0.
4	Add lines 1, 2, and 3	4 1,814,402.
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 1,814,402.

Part IV Capital Gains and Losses for Tax on Investment Income

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			
b			
c			
d			
e 707,611.		579,535.	128,076.

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a			
b			
c			
d			
e			128,076.

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	128,076.
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	33,683.

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	106,300.	1,865,812.	.056973
2011	121,299.	1,891,609.	.064125
2010	47,943.	845,560.	.056700
2009	41,799.	746,925.	.055961
2008	41,420.	910,641.	.045484

2 Total of line 1, column (d)	2	.279243
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	.055849
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	1,980,414.
5 Multiply line 4 by line 3	5	110,604.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	1,526.
7 Add lines 5 and 6	7	112,130.
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.	8	92,000.

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 <input type="checkbox"/> 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 <input type="checkbox"/> and enter 1% of Part I, line 27b		1	3,052.
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	3,052.
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	3,052.
6 Credits/Payments:			
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a	8,228.	
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	8,228.	
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	5,176.	
11 Enter the amount of line 10 to be: Credited to 2014 estimated tax <input type="checkbox"/> 5,176. Refunded <input type="checkbox"/> 0.	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?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? <i>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.</i>		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. <input type="checkbox"/> \$ 0. (2) On foundation managers. <input type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. <input type="checkbox"/> \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i>		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? <i>If "Yes," attach a conformed copy of the changes</i>		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i>		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col (c), and Part XV</i>	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> CA		
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? <i>If "No," attach explanation</i>	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)? <i>If "Yes," complete Part XIV</i>		X
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses</i>		X

N/A

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)
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)
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address N/A
14 The books are in care of WTAS LLC Telephone no. 646-213-5100 Located at 1177 AVENUE OF THE AMERICAS, NEW YORK, NY ZIP+4 10036
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
16 At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country

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.

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?
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?
(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)?
(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.)
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here
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?
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? 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.)
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?
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)
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?
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?

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)? Yes No
 Organizations relying on a current notice regarding disaster assistance check here N/A

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? Yes No
 If "Yes," attach the statement required by Regulations section 53.4945-5(d) N/A

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? Yes 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? Yes No

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
RICHARD ROTH 9302 S GARFIELD AVE SOUTH GATE, CA 90280	TRUSTEE 1.00	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	
3 All other program-related investments. See instructions.	
Total. Add lines 1 through 3 ▶	0.

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	1,991,522.
b	Average of monthly cash balances	1b	19,051.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	2,010,573.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	2,010,573.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	30,159.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	1,980,414.
6	Minimum investment return. Enter 5% of line 5	6	99,021.

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	99,021.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	3,052.
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	3,052.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	95,969.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	95,969.
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	95,969.

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	92,000.
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	92,000.
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	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	92,000.

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				95,969.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2013:				
a From 2008				
b From 2009				
c From 2010				
d From 2011	1,594.			
e From 2012	13,808.			
f Total of lines 3a through e	15,402.			
4 Qualifying distributions for 2013 from Part XII, line 4: ▶ \$ 92,000.				
a Applied to 2012, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2013 distributable amount				92,000.
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))	3,969.			3,969.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	11,433.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	11,433.			
10 Analysis of line 9:				
a Excess from 2009				
b Excess from 2010				
c Excess from 2011				
d Excess from 2012	11,433.			
e Excess from 2013				

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

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

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

NONE

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

NONE

- 2 **Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:**
- Check here if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

- a The name, address, and telephone number or e-mail address of the person to whom applications should be addressed:
- 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 GMHC, INC 446 WEST 33RD STREET NEW YORK, NY 10001-2601	NONE	PUBLIC CHARITY	SOCIAL MARKETING CAMPAIGNS AND ADVERTISEMENTS THAT TARGET MINORITY YOUTH TO PROMOTE HIV/AIDS	40,000.
ALI FORNEY CENTER 224 WEST 35TH STREET, 15TH FLOOR NEW YORK, NY 10001	NONE	PUBLIC CHARITY	GENERAL OPERATIONS	40,000.
JAZZ AT LINCOLN CENTER 3 COLUMBUS CIRCLE, 12TH FLOOR NEW YORK, NY 10019	NONE	PUBLIC CHARITY	GENERAL OPERATIONS	10,000.
AMERICAN FRIENDS OF KESHET EILON 25 TRINITY PASS ROAD POUND RIDGE, NY 10576	NONE	PUBLIC CHARITY	GENERAL OPERATIONS	1,000.
PEN AMERICA CENTER 588 BROADWAY, SUITE 303 NEW YORK, NY 10012	NONE	PUBLIC CHARITY	GENERAL OPERATIONS	1,000.
Total				92,000.
b Approved for future payment				
NONE				
Total				0.

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

- 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... a Transfers from the reporting foundation to a noncharitable exempt organization of: (1) Cash, (2) Other assets, b Other transactions: (1) Sales of assets to a noncharitable exempt organization, (2) Purchases of assets from a noncharitable exempt organization, (3) Rental of facilities, equipment, or other assets, (4) Reimbursement arrangements, (5) Loans or loan guarantees, (6) Performance of services or membership or fundraising solicitations, c Sharing of facilities, equipment, mailing lists, other assets, or paid employees, d If the answer to any of the above is "Yes," complete the following schedule.

Table with 4 columns: (a) Line no, (b) Amount involved, (c) Name of noncharitable exempt organization, (d) Description of transfers, transactions and sharing arrangements. Row 1 contains '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

Table with 3 columns: (a) Name of organization, (b) Type of organization, (c) Description of relationship. Row 1 contains 'N/A'.

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. Sign Here 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: GERALD D. DESROCHES; Preparer's signature; Date: 5/16/14; Check self-employed; PTIN: P01270263; Firm's name: WTAS LLC; Firm's EIN: 33-1197384; Firm's address: 1177 AVENUE OF THE AMERICAS, NEW YORK, NY 10036; Phone no. 646-213-5100

Application for Extension of Time To File an Exempt Organization Return

Department of the Treasury
Internal Revenue Service

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

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

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

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

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

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

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

		Enter filer's identifying number
Type or print	Name of exempt organization or other filer, see instructions. RICHARD ROTH FOUNDATION	Employer identification number (EIN) or 20-5706189
<small>File by the due date for filing your return. See instructions.</small>	Number, street, and room or suite no. If a P O box, see instructions. C/O WTAS LLC, 1177 AVE OF THE AMERICAS, 18TH FL	Social security number (SSN)
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. NEW YORK, NY 10036	

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

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

WTAS LLC

• The books are in the care of ▶ **1177 AVENUE OF THE AMERICAS - NEW YORK, NY 10036**
Telephone No ▶ **646-213-5100** Fax No ▶ _____

- If the organization does not have an office or place of business in the United States, check this box
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) _____. If this is for the whole group, check this box . If it is for part of the group, check this box and attach a list with the names and EINs of all members the extension is for

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

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

3a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	\$	0.
b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b	\$	8,228.
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c	\$	0.

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

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a FROM ISHARES S&P GSCI K-1 - ST	P		
b FROM ISHARES S&P GSCI K-1 - ST (1256 CONTRACT)	P		
c GS #8570 - SEE STMT ATTACHED - ST	P		
d GS #7552 - SEE STMT ATTACHED - ST	P		
e GS #7560 - SEE STMT ATTACHED - ST	P		
f GS #7552 - SEE STMT ATTACHED - ST	P		
g FROM ISHARES S&P GSCI K-1 - LT (1256 CONTRACT)	P		
h GS #7552 - SEE STMT ATTACHED - LT	P		
i FROM ISHARES S&P GSCI K-1 - LT	P		
j GS #8570 - SEE STMT ATTACHED - LT	P		
k GS #8570 - SEE STMT ATTACHED - LT	P		
l DISPOSITION OF ISHARES S&P GSCI K-1 - LT	P		
m GS #7552 - SEE STMT ATTACHED - LT	P		
n GS #7560 - SEE STMT ATTACHED - LT	P		
o PTP ADJUSTMENT	P		

(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		35.	-35.
b		2.	-2.
c	3,321.	2,687.	634.
d	10,174.	9,617.	557.
e	123,216.	108,373.	14,843.
f	133,843.	116,157.	17,686.
g		4.	-4.
h	462.	383.	79.
i	1,081.		1,081.
j	5,931.	4,014.	1,917.
k	20,000.	18,614.	1,386.
l	39,689.	40,020.	-331.
m	162,470.	121,538.	40,932.
n	203,913.	157,610.	46,303.
o		481.	-481.

(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			** -35.
b			** -2.
c			** 634.
d			** 557.
e			** 14,843.
f			** 17,686.
g			-4.
h			79.
i			1,081.
j			1,917.
k			1,386.
l			-331.
m			40,932.
n			46,303.
o			-481.

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

RICHARD ROTH FOUNDATION

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	(c) Date acquired	(d) Date sold
		P - Purchase D - Donation	(mo., day, yr.)	(mo., day, yr.)
1a	CAPITAL GAINS DIVIDENDS			
b				
c				
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	3,511.			3,511.
b				
c				
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a			3,511.
b			
c			
d			
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2	128,076.
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	33,683.

PROCEEDS FROM BROKER TRANSACTIONS
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year 2013 Account No 027-28857-0 Tax ID Number 20-5706189 Legal Name RICHARD ROTH FOUNDATION

NONCOVERED SECURITIES TRANSACTIONS (Gross proceeds less commissions and option premiums)

CUSIP number Box 1d Stock or other Symbol	Box 1a. Date of sale or exchange Box 1b: Date of acquisition	Box 2a. Gross proceeds of stocks, bonds, etc Box 1e Quantity sold	Box 3. Cost or other basis Box 6b Basis reported to IRS	Box 5. Wash sale loss disallowed Box 6a. Noncovered security	Box 1c. Type of gain or loss	Box 8: Description	Box 2b Loss not allowed based on amount in Box 2a
38141W810 GSFX	05/13/2013	20,000 00 1,872 66				GS CORE FIXED INCOME FUND INSTITUTIONAL SHARES DE DISCRETION EXERCISED	
46428R107 GSG	09/26/2013	39,689 30 1,225 00				ISHARES S&P GSCI COMMODITY INDEXED TRUST AVG PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTIONS DE DISCRETION EXERCISED	

**ACCOUNT TOTAL
(NONCOVERED) 59,689.30**



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* Gain or Loss information is provided for your information only and is not reported to the Internal Revenue Service

PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-28857-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 6a: Noncovered security	Box 7c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
97717W851	06/07/2013	3,885.21	2,686.56	0.00	0.00	LONG-TERM	WISDOM TREE JAPAN HEDGED EQUITY FUND ACCORD WITH THE CLIENT'S INSTRUCTIONS DE DISCRETION	
DXJ	06/05/2012	87.00	X				EXERCISED	
97717W851	07/10/2013	2,045.35	1,327.84	0.00	0.00	LONG-TERM	WISDOM TREE JAPAN HEDGED EQUITY FUND ACCORD WITH THE CLIENT'S INSTRUCTIONS DE DISCRETION	
DXJ	06/05/2012	43.00	X				EXERCISED	
ACCOUNT TOTAL (COVERED: LONG-TERM)		5,930.56	4,014.40	0.00	0.00			1,916.16



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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-28857-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a. Date of sale or exchange	Box 2a. Gross proceeds of stocks, bonds, etc	Box 3. Cost or other basis	Box 5. Wash sale loss disallowed	Box 1c. Type of gain or loss	Box 8. Description	Box 2b. Loss not allowed based on amount in Box 2a
Box 1d. Stock or other Symbol	Box 1b. Date of acquisition	Box 1e. Quantity sold	Box 6b. Basis reported to IRS	Box 6a. Noncovered security			
97717W851	01/17/2013	3,320.71	2,686.56	0.00	634.15	WISDOM TREE JAPAN HEDGED EQUITY FUND AVG PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTIONS DE DISCRETION EXERCISED	
DXJ	06/05/2012	87.00	X				
ACCOUNT TOTAL		3,320.71	2,686.56	0.00	634.15		

(COVERED: SHORT-TERM)



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PROCEEDS FROM BROKER TRANSACTIONS
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year Account No Tax ID Number Legal Name
2013 027-97756-0 20-5706189 RICHARD ROTH FOUNDATION

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 6: Noncovered security	Box 1c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
Box 1d: Stock or other Symbol	Box 1b: Date of acquisition	Box 1e: Quantity sold	Box 6b: Basis reported to IRS	Box 5a: Wash sale loss disallowed	Box 6a: Noncovered security	Box 1c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
151020104 CELG	01/10/2013 11/11/2011	747 41 8 00	518 39 X	0 00	0 00	LONG-TERM	CELGENE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
61166W101 MON	01/11/2013 11/21/2011	893 43 9 00	638 09 X	0 00	0 00	LONG-TERM	MONSANTO COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
82481R106 SHPG	01/11/2013 11/11/2011	979 45 10 00	971 60 X	0 00	0 00	LONG-TERM	SHIRE LIMITED SPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
018490102 AGN	01/23/2013 11/11/2011	2,299 48 22 00	1,850 20 X	0 00	0 00	LONG-TERM	ALLERGAN INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
369604103 GE	01/23/2013 11/11/2011	1,811 69 83 00	1,358 71 X	0 00	0 00	LONG-TERM	GENERAL ELECTRIC CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
018490102 AGN	01/25/2013 11/11/2011	960 17 9 00	756 90 X	0 00	0 00	LONG-TERM	ALLERGAN INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
369604103 GE	01/25/2013 11/11/2011	845 12 38 00	622 06 X	0 00	0 00	LONG-TERM	GENERAL ELECTRIC CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
78572M105 SBMRY	02/06/2013 11/11/2011	2,163 31 44 00	1,582 24 X	0 00	0 00	LONG-TERM	SABMILLER PLC SPONSORED ADR AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
018490102 AGN	02/07/2013 11/11/2011	1,802 49 17 00	1,429 70 X	0 00	0 00	LONG-TERM	ALLERGAN INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
82481R106 SHPG	02/14/2013 11/11/2011	1,126 34 12 00	1,165 92 X	0 00	0 00	LONG-TERM	SHIRE LIMITED SPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	



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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**
 2013

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange Box 1b: Date of acquisition	Box 2a: Gross proceeds of stocks, bonds, etc. Box 1e: Quantity sold	Box 3: Cost or other basis Box 6b: Basis reported to IRS	Box 5: Wash sale loss disallowed Box 6a: Noncovered security	Box 1c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
82481R106 SHPG	02/15/2013 11/11/2011	2,964 64 31 00	3,011 96 X	0 00	LONG-TERM	SHIRE LIMITED SPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
82481R106 SHPG	02/19/2013 11/11/2011	477 66 5 00	485 80 X	0 00	LONG-TERM	SHIRE LIMITED SPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
82481R106 SHPG	02/19/2013 01/23/2012	764 26 8 00	793 32 X	0 00	LONG-TERM	SHIRE LIMITED SPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
82481R106 SHPG	02/20/2013 01/23/2012	474 93 5 00	495 83 X	0 00	LONG-TERM	SHIRE LIMITED SPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
018490102 AGN	03/07/2013 11/11/2011	1,204 94 11 00	925 10 X	0 00	LONG-TERM	ALLERGAN INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
61166W101 MON	03/07/2013 11/23/2011	206 33 2 00	136 39 X	0 00	LONG-TERM	MONSANTO COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
61166W101 MON	03/07/2013 11/21/2011	309 50 3 00	212 70 X	0 00	LONG-TERM	MONSANTO COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
61166W101 MON	03/07/2013 11/21/2011	722 16 7 00	484 37 X	0 00	LONG-TERM	MONSANTO COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
018490102 AGN	03/12/2013 11/11/2011	1,428 82 13 00	1,093 30 X	0 00	LONG-TERM	ALLERGAN INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
151020104 CELG	03/15/2013 11/11/2011	2,930 99 26 00	1,684 76 X	0 00	LONG-TERM	CELGENE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year Account No Tax ID Number Legal Name
2013 027-97756-0 20-5706189 RICHARD ROTH FOUNDATION

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 1c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
Box 1d: Stock or other Symbol	Box 1b: Date of acquisition	Box 1e: Quantity sold	Box 6b: Basis reported to IRS	Box 6a: Noncovered security			
278865100	03/15/2013	1,273.57	987.06	0.00	LONG-TERM	ECOLAB INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
ECL	02/08/2012	16.00	X				
369604103	03/15/2013	655.83	458.36	0.00	LONG-TERM	GENERAL ELECTRIC CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
GE	11/11/2011	28.00	X				
61166W101	03/15/2013	1,981.95	1,295.69	0.00	LONG-TERM	MONSANTO COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
MON	11/23/2011	19.00	X				
78572M105	03/18/2013	1,302.86	899.00	0.00	LONG-TERM	SABMILLER PLC SPONSORED ADR AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
SBMRY	11/11/2011	25.00	X				
037833100	04/05/2013	2,110.81	1,927.45	0.00	LONG-TERM	APPLE, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
AAPL	11/11/2011	5.00	X				
78572M105	04/08/2013	1,039.44	719.20	0.00	LONG-TERM	SABMILLER PLC SPONSORED ADR AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
SBMRY	11/11/2011	20.00	X				
037833100	04/09/2013	1,702.22	1,541.96	0.00	LONG-TERM	APPLE, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
AAPL	11/11/2011	4.00	X				
151020104	04/09/2013	348.39	194.40	0.00	LONG-TERM	CELGENE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
CELG	11/11/2011	3.00	X				
192446102	04/09/2013	370.94	342.90	0.00	LONG-TERM	COGNIZANT TECHNOLOGY SOLUTIONS CORP CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
CTSH	11/11/2011	5.00	X				
256677105	04/09/2013	400.07	310.58	0.00	LONG-TERM	DOLLAR GENERAL CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
DG	11/11/2011	8.00	X				

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a. Date of sale or exchange	Box 2a. Gross proceeds of stocks, bonds, etc.	Box 3. Cost or other basis	Box 5. Wash sale loss disallowed	Box 6a. Noncovered security	Box 7c. Type of gain or loss	Box 8. Description	Box 2b. Loss not allowed based on amount in Box 2a
38259F508 GOOG	04/09/2013 11/11/2011	780 15 1 00	600 68 X	0 00		LONG-TERM	GOOGLE, INC CMN CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
46120E602 ISRG	04/09/2013 11/11/2011	492 68 1 00	434 60 X	0 00		LONG-TERM	INTUITIVE SURGICAL, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
61166W101 MON	04/09/2013 11/23/2011	318 38 3 00	204 58 X	0 00		LONG-TERM	MONSANTO COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
92826C839 V	04/09/2013 11/11/2011	329 67 2 00	189 30 X	0 00		LONG-TERM	VISA INC CMN CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
037833100 AAPL	04/17/2013 11/11/2011	3,667 10 9 00	3,469 41 X	0 00		LONG-TERM	APPLE, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
037833100 AAPL	04/22/2013 11/11/2011	5,138 63 13 00	5,011 37 X	0 00		LONG-TERM	APPLE, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
037833100 AAPL	04/24/2013 11/11/2011	12,454 44 31 00	11,950 19 X	0 00		LONG-TERM	APPLE, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
369604103 GE	05/02/2013 11/11/2011	1,932 01 87 00	1,424 19 X	0 00		LONG-TERM	GENERAL ELECTRIC CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
369604103 GE	05/03/2013 11/11/2011	1,612 60 71 00	1,162 27 X	0 00		LONG-TERM	GENERAL ELECTRIC CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
78572M105 SBMRY	05/10/2013 11/11/2011	1,306 47 24 00	863 04 X	0 00		LONG-TERM	SABMILLER PLC SPONSORED ADR AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
192446102 CTSH	05/15/2013 11/11/2011	1,564 00 25 00	1,714 50 X	0 00		LONG-TERM	COGNIZANT TECHNOLOGY SOLUTIONS CORP CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange Box 1b: Date of acquisition	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 6a: Noncovered security	Box 7c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
369604103 GE	05/15/2013 11/11/2011	1,641.30 71.00	1,162.27 X	0.00		479.03 LONG-TERM	GENERAL ELECTRIC CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
278865100 ECL	05/16/2013 02/08/2012	443.24 5.00	312.47 X	0.00		130.77 LONG-TERM	ECOLAB INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
517834107 LVS	05/16/2013 11/11/2011	410.76 7.00	308.83 X	0.00		101.93 LONG-TERM	LAS VEGAS SANDS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
192446102 CTSH	05/23/2013 11/11/2011	257.54 4.00	274.32 X	0.00		(16.78) LONG-TERM	COGNIZANT TECHNOLOGY SOLUTIONS CORP CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
192446102 CTSH	05/23/2013 11/11/2011	772.61 12.00	816.53 X	0.00		(43.92) LONG-TERM	COGNIZANT TECHNOLOGY SOLUTIONS CORP CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
192446102 CTSH	05/23/2013 12/10/2011	1,674.00 26.00	1,858.45 X	0.00		(184.45) LONG-TERM	COGNIZANT TECHNOLOGY SOLUTIONS CORP CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
192446102 CTSH	05/24/2013 05/08/2012	190.10 3.00	176.04 X	0.00		14.06 LONG-TERM	COGNIZANT TECHNOLOGY SOLUTIONS CORP CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
192446102 CTSH	05/24/2013 12/10/2011	253.47 4.00	285.92 X	0.00		(32.45) LONG-TERM	COGNIZANT TECHNOLOGY SOLUTIONS CORP CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
192446102 CTSH	05/24/2013 12/20/2011	633.67 10.00	674.93 X	0.00		(41.26) LONG-TERM	COGNIZANT TECHNOLOGY SOLUTIONS CORP CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
192446102 CTSH	05/24/2013 02/08/2012	1,330.71 21.00	1,482.37 X	0.00		(151.66) LONG-TERM	COGNIZANT TECHNOLOGY SOLUTIONS CORP CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a Date of sale or exchange	Box 2a Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 1c: Type of gain or (loss)*	Box 2b Loss not allowed based on amount in Box 2a
Box 1d Stock or other Symbol	Box 1b Date of acquisition	Box 1e Quantity sold	Box 6b Basis reported to IRS	Box 6a: Noncovered security	Box 8: Description	
192446102	05/28/2013	1,971 00	1,819 09	0 00	LONG-TERM	
CTSH	05/08/2012	31 00	X		COGNIZANT TECHNOLOGY SOLUTIONS CORP CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
806857108	06/06/2013	3,694 90	3,843 72	0 00	LONG-TERM	
SLB	11/11/2011	51 00	X		SCHLUMBERGER LTD CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
806857108	06/07/2013	2,886 59	2,939 32	0 00	LONG-TERM	
SLB	11/11/2011	39 00	X		SCHLUMBERGER LTD CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
806857108	06/10/2013	2,939 09	3,014 69	0 00	LONG-TERM	
SLB	11/11/2011	40 00	X		SCHLUMBERGER LTD CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
393604103	06/12/2013	1,267 78	883 98	0 00	LONG-TERM	
GE	11/11/2011	54 00	X		GENERAL ELECTRIC CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
018490102	06/24/2013	1,343 23	1,506 69	0 00	LONG-TERM	
AGN	03/28/2012	16 00	X		ALLERGAN INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
018490102	06/24/2013	1,427 18	1,518 84	0 00	LONG-TERM	
AGN	01/23/2012	17 00	X		ALLERGAN INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
018490102	06/24/2013	2,098 80	2,152 51	0 00	LONG-TERM	
AGN	02/03/2012	25 00	X		ALLERGAN INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
018490102	06/24/2013	3,861 79	3,868 60	0 00	LONG-TERM	
AGN	11/11/2011	46 00	X		ALLERGAN INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
151020104	07/15/2013	805 60	388 79	0 00	LONG-TERM	
CELG	11/11/2011	6 00	X		CELGENE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
25470F104	07/15/2013	424 94	213 25	0 00	LONG-TERM	
DISCA	11/11/2011	5 00	X		DISCOVERY COMMUNICATIONS, INC CMN SERIES A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a. Date of sale or exchange acquisition	Box 2a. Gross proceeds of stocks, bonds, etc.	Box 3. Cost or other basis	Box 5. Wash sale loss disallowed	Box 6a. Noncovered security	Box 7c. Type of gain or loss	Box 8. Description	Box 2b. Loss not allowed based on amount in Box 2a
256677105	07/15/2013	378 70	271 76	0 00	0 00	LONG-TERM	DOLLAR GENERAL CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
DG	11/11/2011	7 00	X					
278642103	07/15/2013	398 08	273 08	0 00	0 00	LONG-TERM	EBAY INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
EBAY	06/04/2012	7 00	X					
278865100	07/15/2013	360 95	249 98	0 00	0 00	LONG-TERM	ECOLAB INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
ECL	02/08/2012	4 00	X					
307000109	07/15/2013	205 13	161 21	0 00	0 00	LONG-TERM	FAMILY DOLLAR STORES INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
FDO	01/13/2012	3 00	X					
369604103	07/15/2013	189 19	130 96	0 00	0 00	LONG-TERM	GENERAL ELECTRIC CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
GE	11/11/2011	8 00	X					
38259P508	07/15/2013	923 49	600 68	0 00	0 00	LONG-TERM	GOOGLE, INC CMN CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
GOOG	11/11/2011	1 00	X					
46120E602	07/15/2013	426 99	434 60	0 00	0 00	LONG-TERM	INTUITIVE SURGICAL, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
ISRG	11/11/2011	1 00	X					
517834107	07/15/2013	327 59	263 72	0 00	0 00	LONG-TERM	LAS VEGAS SANDS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
LVS	11/11/2011	6 00	X					
61166W101	07/15/2013	103 13	68 19	0 00	0 00	LONG-TERM	MONSANTO COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
MON	11/23/2011	1 00	X					
61166W101	07/15/2013	309 42	209 15	0 00	0 00	LONG-TERM	MONSANTO COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
MON	11/28/2011	3 00	X					

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a. Date of sale or exchange acquisition	Box 2a. Gross proceeds of stocks, bonds, etc.	Box 3. Cost or other basis	Box 5. Wash sale loss disallowed	Gain or (loss)*	Box 2b. Loss not allowed based on amount in Box 2a
Box 1d. Stock or other Symbol	Box 1b. Date of acquisition	Box 1e. Quantity sold	Box 6b. Basis reported to IRS	Box 6a. Noncovered security	Box 1c. Type of gain or loss	Box 8. Description
78572M105 SBMRY	07/15/2013 11/11/2011	247 04 5 00	179 80 X	0 00	LONG-TERM	SABMILLER PLC SPONSORED ADR AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
88032Q109 TCEHY	07/15/2013 11/11/2011	370 52 9 00	183 42 X	0 00	LONG-TERM	TENCENT HOLDINGS LIMITED UNSPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
92826C839 V	07/15/2013 11/11/2011	382 29 2 00	189 30 X	0 00	LONG-TERM	VISA INC CMN CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
988498101 YUM	07/15/2013 06/14/2012	141 90 2 00	138 90 X	0 00	LONG-TERM	YUM BRANDS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
988498101 YUM	07/15/2013 06/14/2012	283 80 4 00	256 70 X	0 00	LONG-TERM	YUM BRANDS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
278865100 ECL	07/19/2013 02/08/2012	278 43 3 00	187 48 X	0 00	LONG-TERM	ECOLAB INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
278865100 ECL	07/19/2013 02/10/2012	1,299 35 14 00	854 37 X	0 00	LONG-TERM	ECOLAB INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
256677105 DG	07/25/2013 11/11/2011	1,240 02 23 00	892 91 X	0 00	LONG-TERM	DOLLAR GENERAL CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
256677105 DG	07/26/2013 11/11/2011	1,510 83 30 00	1,164 66 X	0 00	LONG-TERM	DOLLAR GENERAL CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
256677105 DG	07/29/2013 11/11/2011	1,455 34 27 00	1,048 20 X	0 00	LONG-TERM	DOLLAR GENERAL CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
278865100 ECL	07/31/2013 02/15/2012	742 48 8 00	493 64 X	0 00	LONG-TERM	ECOLAB INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a. Date of sale or exchange	Box 1b. Date of acquisition	Box 2a. Gross proceeds of stocks, bonds, etc.	Box 3. Cost or other basis	Box 5. Wash sale loss disallowed	Box 6a. Noncovered security	Box 1c. Type of gain or loss	Box 8. Description	Box 2b. Loss not allowed based on amount in Box 2a
278865100	07/31/2013	07/31/2013	1,113.72	732.32	0.00	0.00	381.40	ECOLAB INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
ECL	02/10/2012		12.00	X			LONG-TERM		
307000109	08/13/2013	08/13/2013	143.51	110.21	0.00	0.00	33.30	FAMILY DOLLAR STORES INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
FDO	01/19/2012		2.00	X			LONG-TERM		
307000109	08/13/2013	08/13/2013	1,219.84	913.54	0.00	0.00	306.30	FAMILY DOLLAR STORES INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
FDO	01/13/2012		17.00	X			LONG-TERM		
307000109	08/19/2013	08/19/2013	1,290.53	991.87	0.00	0.00	298.66	FAMILY DOLLAR STORES INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
FDO	01/19/2012		18.00	X			LONG-TERM		
307000109	08/20/2013	08/20/2013	142.55	110.21	0.00	0.00	32.34	FAMILY DOLLAR STORES INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
FDO	01/19/2012		2.00	X			LONG-TERM		
307000109	08/20/2013	08/20/2013	142.55	112.54	0.00	0.00	30.01	FAMILY DOLLAR STORES INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
FDO	01/24/2012		2.00	X			LONG-TERM		
307000109	08/20/2013	08/20/2013	926.58	716.34	0.00	0.00	210.24	FAMILY DOLLAR STORES INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
FDO	01/20/2012		13.00	X			LONG-TERM		
307000109	08/21/2013	08/21/2013	1,284.84	1,012.84	0.00	0.00	272.00	FAMILY DOLLAR STORES INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
FDO	01/24/2012		18.00	X			LONG-TERM		
307000109	08/22/2013	08/22/2013	290.41	262.07	0.00	0.00	28.34	FAMILY DOLLAR STORES INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
FDO	08/06/2012		4.00	X			LONG-TERM		
307000109	08/22/2013	08/22/2013	1,016.43	787.77	0.00	0.00	228.66	FAMILY DOLLAR STORES INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
FDO	01/24/2012		14.00	X			LONG-TERM		

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange	Box 2a: Gross proceeds of stocks, bonds, etc	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 1c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
Box 1d: Stock or other Symbol	Box 1b: Date of acquisition	Box 1e: Quantity sold	Box 6b: Basis reported to IRS	Box 6a: Noncovered security			
307000109	08/23/2013	1,233.50	1,113.80	0.00	LONG-TERM	FAMILY DOLLAR STORES INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
FDO	08/06/2012	17.00	X				
151020104	09/05/2013	2,035.93	907.18	0.00	LONG-TERM	CELGENE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
CELG	11/11/2011	14.00	X				
151020104	09/06/2013	1,751.96	777.58	0.00	LONG-TERM	CELGENE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
CELG	11/11/2011	12.00	X				
369604103	09/10/2013	1,813.17	1,244.12	0.00	LONG-TERM	GENERAL ELECTRIC CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
GE	11/11/2011	76.00	X				
855244109	09/10/2013	1,469.64	876.20	0.00	LONG-TERM	STARBUCKS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
SBUX	08/06/2012	20.00	X				
369604103	09/12/2013	1,245.47	996.09	0.00	LONG-TERM	GENERAL ELECTRIC CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
GE	01/26/2012	52.00	X				
369604103	09/12/2013	3,185.53	2,177.21	0.00	LONG-TERM	GENERAL ELECTRIC CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
GE	11/11/2011	133.00	X				
78572M105	09/12/2013	1,671.71	1,222.64	0.00	LONG-TERM	SABMILLER PLC SPONSORED ADR AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
SBMRY	11/11/2011	34.00	X				
369604103	09/20/2013	627.34	498.05	0.00	LONG-TERM	GENERAL ELECTRIC CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
GE	01/26/2012	26.00	X				
369604103	09/20/2013	1,954.39	1,521.93	0.00	LONG-TERM	GENERAL ELECTRIC CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
GE	02/02/2012	81.00	X				

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year Account No Tax ID Number Legal Name
2013 027-97756-0 20-5706189 RICHARD ROTH FOUNDATION

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange acquisition	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 6a: Noncovered security	Box 1c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
78572M105 SBMRY	09/23/2013 11/11/2011	1,558.04 30.00	1,078.80 X	0.00	0.00	LONG-TERM	SABMILLER PLC SPONSORED ADR AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
78572M105 SBMRY	09/25/2013 11/11/2011	360.70 7.00	254.41 X	0.00	0.00	LONG-TERM	SABMILLER PLC SPONSORED ADR AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
78572M105 SBMRY	09/25/2013 11/11/2011	875.99 17.00	611.32 X	0.00	0.00	LONG-TERM	SABMILLER PLC SPONSORED ADR AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
855244109 SBUX	09/25/2013 08/14/2012	460.20 6.00	278.88 X	0.00	0.00	LONG-TERM	STARBUCKS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
855244109 SBUX	09/25/2013 08/06/2012	1,610.67 21.00	920.01 X	0.00	0.00	LONG-TERM	STARBUCKS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
78572M105 SBMRY	09/26/2013 11/11/2011	362.04 7.00	254.41 X	0.00	0.00	LONG-TERM	SABMILLER PLC SPONSORED ADR AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
78572M105 SBMRY	09/26/2013 08/28/2012	362.05 7.00	311.29 X	0.00	0.00	LONG-TERM	SABMILLER PLC SPONSORED ADR AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
78572M105 SBMRY	09/26/2013 12/15/2011	1,086.12 21.00	717.86 X	0.00	0.00	LONG-TERM	SABMILLER PLC SPONSORED ADR AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
78572M105 SBMRY	09/27/2013 08/28/2012	1,066.72 21.00	933.86 X	0.00	0.00	LONG-TERM	SABMILLER PLC SPONSORED ADR AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
278865100 ECL	10/03/2013 02/15/2012	1,564.10 16.00	987.28 X	0.00	0.00	LONG-TERM	ECOLAB INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
855244109 SBUX	10/03/2013 08/14/2012	2,376.50 31.00	1,440.86 X	0.00	0.00	LONG-TERM	STARBUCKS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	



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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 6: Noncovered security	Box 7: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
Box 1d: Stock or other Symbol	Box 1b: Date of acquisition	Box 1c: Quantity sold	Box 6b: Basis reported to IRS	Box 5a: Noncovered security	Box 6a: Noncovered security	Box 7a: Gain or loss		
278865100	10/21/2013	410.44	246.82	0.00	0.00	LONG-TERM	ECOLAB INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
ECL	02/15/2012	4.00	X					
278865100	10/21/2013	1,128.71	686.14	0.00	0.00	LONG-TERM	ECOLAB INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
ECL	02/27/2012	11.00	X					
740189105	10/21/2013	484.05	320.03	0.00	0.00	LONG-TERM	PRECISION CASTPARTS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
PCP	08/14/2012	2.00	X					
740189105	10/21/2013	968.11	645.62	0.00	0.00	LONG-TERM	PRECISION CASTPARTS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
PCP	08/10/2012	4.00	X					
872540109	10/21/2013	114.96	86.56	0.00	0.00	LONG-TERM	TJX COMPANIES INC (NEW) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
TJX	10/15/2012	2.00	X					
872540109	10/21/2013	1,321.99	990.05	0.00	0.00	LONG-TERM	TJX COMPANIES INC (NEW) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
TJX	10/17/2012	23.00	X					
907818108	10/23/2013	1,233.09	978.09	0.00	0.00	LONG-TERM	UNION PACIFIC CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
UNP	09/07/2012	8.00	X					
907818108	10/23/2013	1,849.64	1,476.14	0.00	0.00	LONG-TERM	UNION PACIFIC CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
UNP	08/29/2012	12.00	X					
907818108	10/24/2013	1,078.60	855.83	0.00	0.00	LONG-TERM	UNION PACIFIC CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
UNP	09/07/2012	7.00	X					
907818108	11/05/2013	153.22	122.26	0.00	0.00	LONG-TERM	UNION PACIFIC CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
UNP	09/07/2012	1.00	X					



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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year Account No Tax ID Number Legal Name
2013 027-97756-0 20-5706189 RICHARD ROTH FOUNDATION

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 1c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
Box 1d: Stock or other Symbol	Box 1b: Date of acquisition	Box 1e: Quantity sold	Box 6b: Basis reported to IRS	Box 6a: Noncovered security			
907818108 UNP	11/05/2013 09/11/2012	1,532 22 10 00	1,243 60 X	0 00	288 62 LONG-TERM	UNION PACIFIC CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
907818108 UNP	11/06/2013 10/26/2012	462 62 3 00	367 64 X	0 00	94 98 LONG-TERM	UNION PACIFIC CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
907818108 UNP	11/06/2013 09/11/2012	1,696 29 11 00	1,367 96 X	0 00	328 33 LONG-TERM	UNION PACIFIC CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
740189105 PCP	11/11/2013 08/14/2012	1,486 02 6 00	960 09 X	0 00	525 93 LONG-TERM	PRECISION CASTPARTS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
907818108 UNP	11/11/2013 11/06/2012	1,558 25 10 00	1,248 47 X	0 00	309 78 LONG-TERM	UNION PACIFIC CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
907818108 UNP	11/11/2013 10/26/2012	2,804 85 18 00	2,205 87 X	0 00	598 98 LONG-TERM	UNION PACIFIC CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
278865100 ECL	11/19/2013 02/27/2012	213 55 2 00	124 75 X	0 00	88 80 LONG-TERM	ECOLAB INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
278865100 ECL	11/19/2013 02/29/2012	1,281 31 12 00	724 15 X	0 00	557 16 LONG-TERM	ECOLAB INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
517834107 LVS	11/22/2013 11/11/2011	2,520 91 36 00	1,576 41 X	0 00	944 50 LONG-TERM	LAS VEGAS SANDS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
872540109 TJX	11/22/2013 10/18/2012	881 65 14 00	603 89 X	0 00	277 76 LONG-TERM	TJX COMPANIES INC (NEW) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	



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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange Box 1b: Date of acquisition	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 6a: Noncovered security	Box 7c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
872540109	11/22/2013	1,448.43	990.05	0.00	0.00	LONG-TERM	TJX COMPANIES INC (NEW) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
TJX	10/17/2012	23.00	X					
988498101	11/27/2013	1,005.23	841.60	0.00	0.00	LONG-TERM	YUM BRANDS, INC. CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
YUM	08/23/2012	13.00	X					
988498101	11/27/2013	1,159.87	1,041.72	0.00	0.00	LONG-TERM	YUM BRANDS, INC. CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
YUM	06/14/2012	15.00	X					
928260839	12/02/2013	2,460.03	1,135.80	0.00	0.00	LONG-TERM	VISA INC CMN CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
V	11/11/2011	12.00	X					
517834107	12/19/2013	2,777.85	1,570.50	0.00	0.00	LONG-TERM	LAS VEGAS SANDS CORP. CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
LVS	11/11/2011	36.00	X					
151020104	12/20/2013	3,008.73	1,166.37	0.00	0.00	LONG-TERM	CELGENE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
CELG	11/11/2011	18.00	X					
25470F104	12/20/2013	1,477.10	725.05	0.00	0.00	LONG-TERM	DISCOVERY COMMUNICATIONS, INC. CMN SERIES A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
DISCA	11/11/2011	17.00	X					
256677105	12/20/2013	1,445.25	931.73	0.00	0.00	LONG-TERM	DOLLAR GENERAL CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
DG	11/11/2011	24.00	X					
278642103	12/20/2013	1,838.34	1,326.37	0.00	0.00	LONG-TERM	EBAY INC. CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
EBAY	06/04/2012	34.00	X					
278865100	12/20/2013	822.70	482.77	0.00	0.00	LONG-TERM	ECOLAB INC. CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
ECL	02/29/2012	8.00	X					

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year 2013 Account No 027-97756-0 Tax ID Number 20-5706189 Legal Name RICHARD ROTH FOUNDATION

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a Date of sale or exchange	Box 2a Gross proceeds of stocks, bonds, etc	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 6a: Noncovered security	Box 1c: Type of gain or (loss)	Box 8 Description	Box 2b: Loss not allowed based on amount in Box 2a
Box 1d: Stock or other Symbol	Box 1b: Date of acquisition	Box 1e: Quantity sold	Box 6b: Basis reported to IRS	Box 5a: Wash sale loss disallowed	Box 6a: Noncovered security	Box 1c: Type of gain or (loss)	Box 8 Description	Box 2b: Loss not allowed based on amount in Box 2a
518439104	12/20/2013	74 60	59 06	0 00	0 00	LONG-TERM	ESTEE LAUDER COS INC CL-A CMN CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
EL	12/04/2012	1 00	X					
518439104	12/20/2013	1,119 05	866 04	0 00	0 00	LONG-TERM	ESTEE LAUDER COS INC CL-A CMN CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
EL	11/09/2012	15 00	X					
38259P508	12/20/2013	1,092 62	600 68	0 00	0 00	LONG-TERM	GOOGLE, INC CMN CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
GOOG	11/11/2011	1 00	X					
46120E602	12/20/2013	1,082 65	1,303 80	0 00	0 00	LONG-TERM	INTUITIVE SURGICAL, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
ISRG	11/11/2011	3 00	X					
517834107	12/20/2013	1,379 49	785 25	0 00	0 00	LONG-TERM	LAS VEGAS SANDS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
LVS	11/11/2011	18 00	X					
61166W101	12/20/2013	1,814 84	1,115 44	0 00	0 00	LONG-TERM	MONSANTO COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
MON	11/28/2011	16 00	X					
740189105	12/20/2013	266 29	160 01	0 00	0 00	LONG-TERM	PRECISION CASTPARTS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
PCP	08/14/2012	1 00	X					
740189105	12/20/2013	1,065 17	654 55	0 00	0 00	LONG-TERM	PRECISION CASTPARTS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
PCP	08/24/2012	4 00	X					
740189105	12/20/2013	1,601 91	981 83	0 00	0 00	LONG-TERM	PRECISION CASTPARTS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
PCP	08/24/2012	6 00	X					
880320109	12/20/2013	2,231 06	754 06	0 00	0 00	LONG-TERM	TENCENT HOLDINGS LIMITED UNSPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
TCEHY	11/11/2011	37 00	X					

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 6a: Noncovered security	Box 7c: Type of gain or (loss)*	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2b
Box 1d: Stock or other Symbol	Box 1b: Date of acquisition	Box 1e: Quantity sold	Box 6b: Basis reported to IRS	Box 5a: Noncovered security	Box 7c: Type of gain or (loss)*	Box 8: Description		
872540109	12/20/2013	818.85	560.76	0.00	0.00	LONG-TERM	TJX COMPANIES INC (NEW) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
TJX	10/18/2012	13.00	X					
92826C839	12/20/2013	1,524.92	662.55	0.00	0.00	LONG-TERM	VISA INC CMN CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
V	11/11/2011	7.00	X					
988498101	12/20/2013	655.90	582.64	0.00	0.00	LONG-TERM	YUM BRANDS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
YUM	08/23/2012	9.00	X					
988498101	12/20/2013	655.91	574.32	0.00	0.00	LONG-TERM	YUM BRANDS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
YUM	08/27/2012	9.00	X					
740189105	12/23/2013	536.91	327.28	0.00	0.00	LONG-TERM	PRECISION CASTPARTS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
PCP	08/24/2012	2.00	X					
740189105	12/23/2013	1,073.82	677.83	0.00	0.00	LONG-TERM	PRECISION CASTPARTS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
PCP	10/26/2012	4.00	X					
740189105	12/26/2013	1,079.43	677.83	0.00	0.00	LONG-TERM	PRECISION CASTPARTS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
PCP	10/26/2012	4.00	X					
740189105	12/27/2013	1,074.71	677.83	0.00	0.00	LONG-TERM	PRECISION CASTPARTS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
PCP	10/26/2012	4.00	X					
ACCOUNT TOTAL (COVERED: LONG-TERM)		203,913.17	157,609.97	0.00	0.00			46,303.20



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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Gain or (loss)*	Box 2b: Loss not allowed based on amount in Box 2a
Box 1d: Stock or other Symbol	Box 1b: Date of acquisition	Box 1e: Quantity	Box 6b: Basis reported to IRS	Box 6a: Noncovered security	Box 1c: Type of gain or loss	Box 8: Description
384802104 GWW	02/06/2013 06/20/2012	1,739.33 8.00	1,503.13 X	0.00	SHORT-TERM	W/W GRAINGER INCORPORATED CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
384802104 GWW	02/07/2013 06/20/2012	1,943.83 9.00	1,691.02 X	0.00	SHORT-TERM	W/W GRAINGER INCORPORATED CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
82481R106 SHPG	02/20/2013 03/29/2012	1,519.78 16.00	1,626.03 X	0.00	SHORT-TERM	SHIRE LIMITED SPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
384802104 GWW	02/22/2013 06/21/2012	1,798.41 8.00	1,492.90 X	0.00	SHORT-TERM	W/W GRAINGER INCORPORATED CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
30303M102 FB	03/05/2013 11/05/2012	2,630.89 96.00	2,040.97 X	0.00	SHORT-TERM	FACEBOOK, INC CMN CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
30303M102 FB	03/06/2013 11/05/2012	1,271.35 46.00	977.96 X	0.00	SHORT-TERM	FACEBOOK, INC CMN CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
30303M102 FB	03/06/2013 11/08/2012	3,592.96 130.00	2,645.19 X	0.00	SHORT-TERM	FACEBOOK, INC CMN CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
23918K108 DVA	03/07/2013 12/21/2012	2,488.87 21.00	2,353.57 X	0.00	SHORT-TERM	DAVITA HEALTHCARE PARTNERS INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
907818108 UNP	03/07/2013 08/29/2012	1,092.03 8.00	984.10 X	0.00	SHORT-TERM	UNION PACIFIC CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
384802104 GWW	03/07/2013 06/21/2012	691.83 3.00	559.84 X	0.00	SHORT-TERM	W/W GRAINGER INCORPORATED CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange Box 1b: Date of acquisition	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 6a: Noncovered security	Box 7c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2b
394802104 GWW	03/07/2013 11/05/2012	1,383.64 6.00	1,212.92 X	0.00		SHORT-TERM	W W GRAINGER INCORPORATED CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
394802104 GWW	03/08/2013 11/05/2012	924.60 4.00	808.62 X	0.00		SHORT-TERM	W W GRAINGER INCORPORATED CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
394802104 GWW	03/08/2013 12/19/2012	1,618.05 7.00	1,388.49 X	0.00		SHORT-TERM	W W GRAINGER INCORPORATED CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
518439104 EL	05/09/2013 11/09/2012	1,324.12 19.00	1,096.99 X	0.00		SHORT-TERM	ESTEE LAUDER COS INC CL-A CMN CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
855244109 SBUX	05/09/2013 08/01/2012	1,492.81 24.00	1,060.24 X	0.00		SHORT-TERM	STARBUCKS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
907818108 UNP	05/09/2013 08/29/2012	1,390.55 9.00	1,107.11 X	0.00		SHORT-TERM	UNION PACIFIC CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
740189105 PCP	05/16/2013 08/07/2012	424.49 2.00	318.37 X	0.00		SHORT-TERM	PRECISION CASTPARTS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
887317303 TWW	05/16/2013 03/07/2013	427.00 7.00	395.16 X	0.00		SHORT-TERM	TIME WARNER INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
192446102 CTSH	05/28/2013 12/17/2012	953.71 15.00	1,089.62 X	0.00		SHORT-TERM	COGNIZANT TECHNOLOGY SOLUTIONS CORP CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
192446102 CTSH	05/29/2013 12/17/2012	254.56 4.00	290.56 X	0.00		SHORT-TERM	COGNIZANT TECHNOLOGY SOLUTIONS CORP CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange Box 1b: Date of acquisition	Box 2a: Gross proceeds of stocks, bonds, etc	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 6a: Noncovered security	Box 1c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
192446102 CTSH	05/29/2013 01/11/2013	1,145.53 18.00	1,403.89 X	0.00	(258.36)	SHORT-TERM	COGNIZANT TECHNOLOGY SOLUTIONS CORP CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
192446102 CTSH	05/29/2013 02/07/2013	1,527.37 24.00	1,868.26 X	0.00	(340.89)	SHORT-TERM	COGNIZANT TECHNOLOGY SOLUTIONS CORP CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
740189105 PCP	06/05/2013 08/07/2012	638.54 3.00	477.55 X	0.00	160.99	SHORT-TERM	PRECISION CASTPARTS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
872540109 TJX	06/05/2013 10/15/2012	1,402.22 28.00	1,211.81 X	0.00	190.41	SHORT-TERM	TJX COMPANIES INC (NEW) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
740189105 PCP	06/19/2013 08/07/2012	1,534.07 7.00	1,114.29 X	0.00	419.78	SHORT-TERM	PRECISION CASTPARTS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
855244109 SBUX	06/19/2013 08/01/2012	1,610.08 24.00	1,060.24 X	0.00	549.84	SHORT-TERM	STARBUCKS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
018490102 AGN	06/24/2013 08/06/2012	1,343.23 16.00	1,362.03 X	0.00	(18.80)	SHORT-TERM	ALLERGAN INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
018490102 AGN	06/24/2013 05/15/2013	1,343.23 16.00	1,660.72 X	0.00	(317.49)	SHORT-TERM	ALLERGAN INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
740189105 PCP	07/08/2013 08/07/2012	1,631.78 7.00	1,114.29 X	0.00	517.49	SHORT-TERM	PRECISION CASTPARTS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
740189105 PCP	07/12/2013 08/07/2012	928.84 4.00	636.74 X	0.00	292.10	SHORT-TERM	PRECISION CASTPARTS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange Box 1b: Date of acquisition	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 6a: Noncovered security	Box 7c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
740189105 PCP	07/12/2013 08/10/2012	1,333.25 6.00	968.43 X	0.00	0.00	SHORT-TERM	PRECISION CASTPARTS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
015351109 ALXN	07/15/2013 02/21/2013	339.92 3.00	262.03 X	0.00	0.00	SHORT-TERM	ALEXION PHARMACEUTICALS INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
09247X101 BLK	07/15/2013 04/25/2013	269.19 1.00	263.18 X	0.00	0.00	SHORT-TERM	BLACKROCK, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
518439104 EL	07/15/2013 11/09/2012	341.29 5.00	288.68 X	0.00	0.00	SHORT-TERM	ESTEE LAUDER COS INC CL-A CMN CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
49456B101 KMI	07/15/2013 01/08/2013	239.57 6.00	223.00 X	0.00	0.00	SHORT-TERM	KINDER MORGAN INC CMN CLASS P AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
611740101 MNST	07/15/2013 06/05/2013	241.95 4.00	237.67 X	0.00	0.00	SHORT-TERM	MONSTER BEVERAGE CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
74009P104 PX	07/15/2013 04/17/2013	234.15 2.00	219.06 X	0.00	0.00	SHORT-TERM	PRAXAIR, INC CMN SERIES AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
740189105 PCP	07/15/2013 08/10/2012	234.72 1.00	161.41 X	0.00	0.00	SHORT-TERM	PRECISION CASTPARTS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
803054204 SAP	07/15/2013 03/05/2013	226.67 3.00	246.09 X	0.00	0.00	SHORT-TERM	SAP AG (SPON ADR) AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
855244109 SBUX	07/15/2013 08/01/2012	347.84 5.00	220.88 X	0.00	0.00	SHORT-TERM	STARBUCKS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	



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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Account No 027-97756-0 Tax ID Number 20-5706189 Legal Name RICHARD ROTH FOUNDATION

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a. Date of sale or exchange	Box 2a. Gross proceeds of stocks, bonds, etc	Box 3. Cost or other basis	Box 5. Wash sale loss disallowed	Box 6a. Noncovered security	Box 1c. Type of gain or loss	Box 8. Description	Box 2b. Loss not allowed based on amount in Box 2a
887317303 TWX	07/15/2013 03/07/2013	308 39 5 00	282 25 X	0 00		SHORT-TERM	TIME WARNER INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
872540109 TJX	07/15/2013 10/15/2012	261 69 5 00	216 39 X	0 00		SHORT-TERM	TJX COMPANIES INC (NEW) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
907818108 UNP	07/15/2013 08/29/2012	322 01 2 00	246 02 X	0 00		SHORT-TERM	UNION PACIFIC CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
983134107 WYNN	07/15/2013 05/24/2013	261 45 2 00	276 14 X	14 69		SHORT-TERM	WYNN RESORTS, LIMITED CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
855244109 SBUX	07/19/2013 08/01/2012	1,236 76 18 00	795 18 X	0 00		SHORT-TERM	STARBUCKS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
855244109 SBUX	07/29/2013 08/01/2012	433 80 6 00	265 06 X	0 00		SHORT-TERM	STARBUCKS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
855244109 SBUX	07/29/2013 08/06/2012	939 90 13 00	569 53 X	0 00		SHORT-TERM	STARBUCKS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
015351109 ALXN	07/30/2013 02/21/2013	1,330 09 12 00	1,048 13 X	0 00		SHORT-TERM	ALEXION PHARMACEUTICALS INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
015351109 ALXN	08/01/2013 02/21/2013	1,640 52 14 00	1,222 82 X	0 00		SHORT-TERM	ALEXION PHARMACEUTICALS INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
252430205 DEO	08/01/2013 06/25/2013	1,761 92 14 00	1,608 98 X	0 00		SHORT-TERM	DIAGEO PLC SPON ADR (NEW) SPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange Box 1b: Date of acquisition	Box 2a: Gross proceeds of stocks, bonds, etc. Box 1e: Quantity sold	Box 3: Cost or other basis Box 6b: Basis reported to IRS	Box 5: Wash sale loss disallowed Box 6a: Noncovered security	Box 4: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
252430205 DEO	09/01/2013 06/19/2013	3,146 29 25 00	2,985 11 X	0 00	SHORT-TERM	DIAGEO PLC SPON ADR (NEW) SPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
872540109 TJX	09/10/2013 10/15/2012	1,934 79 36 00	1,558 03 X	0 00	SHORT-TERM	TJX COMPANIES INC (NEW) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
78572M105 SBMRY	09/27/2013 06/26/2013	609 56 12 00	583 17 X	0 00	SHORT-TERM	SABMILLER PLC SPONSORED ADR AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
78572M105 SBMRY	10/01/2013 06/27/2013	396 07 8 00	395 53 X	0 00	SHORT-TERM	SABMILLER PLC SPONSORED ADR AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
78572M105 SBMRY	10/01/2013 06/26/2013	841 63 17 00	826 15 X	0 00	SHORT-TERM	SABMILLER PLC SPONSORED ADR AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
78572M105 SBMRY	10/03/2013 06/27/2013	1,255 47 26 00	1,285 46 X	0 00	SHORT-TERM	SABMILLER PLC SPONSORED ADR AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
855244109 SBUX	10/03/2013 10/11/2012	689 95 9 00	427 07 X	0 00	SHORT-TERM	STARBUCKS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
855244109 SBUX	10/08/2013 10/25/2012	542 20 7 00	324 39 X	0 00	SHORT-TERM	STARBUCKS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
855244109 SBUX	10/08/2013 10/11/2012	1,316 78 17 00	806 69 X	0 00	SHORT-TERM	STARBUCKS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
855244109 SBUX	10/11/2013 02/14/2013	1,005 81 13 00	723 10 X	0 00	SHORT-TERM	STARBUCKS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
855244109 SBUX	10/11/2013 10/25/2012	2,088 99 27 00	1,251 24 X	0 00	SHORT-TERM	STARBUCKS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	



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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 6a: Noncovered security	Box 1c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
Box 1d: Stock or other Symbol	Box 1b: Date of acquisition	Box 1e: Quantity sold	Box 6b: Basis reported to IRS	Box 5a: Security	Box 6b: Noncovered security	Box 1c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
494568101	10/15/2013	3,095 19	3,270 71	79 78		(95 74)	KINDER MORGAN INC CMN CLASS P AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
KMI	01/08/2013	88 00	X			SHORT-TERM		
855244109	10/15/2013	2,622 81	1,891 17	0 00		731 64	STARBUCKS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
SBUX	02/14/2013	34 00	X			SHORT-TERM		
74005P104	11/05/2013	872 16	769 04	0 00		103 12	PRAXAIR, INC CMN SERIES AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
PX	04/18/2013	7 00	X			SHORT-TERM		
74005P104	11/05/2013	1,121 34	985 77	0 00		135 57	PRAXAIR, INC CMN SERIES AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
PX	04/17/2013	9 00	X			SHORT-TERM		
74005P104	11/11/2013	498 42	439 45	0 00		58 97	PRAXAIR, INC CMN SERIES AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
PX	04/18/2013	4 00	X			SHORT-TERM		
74005P104	11/11/2013	872 24	769 08	0 00		103 16	PRAXAIR, INC CMN SERIES AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
PX	04/22/2013	7 00	X			SHORT-TERM		
907818108	11/11/2013	311 65	285 40	0 00		26 25	UNION PACIFIC CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
UNP	04/18/2013	2 00	X			SHORT-TERM		
907818108	11/13/2013	938 26	856 20	0 00		82 06	UNION PACIFIC CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
UNP	04/18/2013	6 00	X			SHORT-TERM		
907818108	11/13/2013	1,407 40	1,410 07	0 00		(2 67)	UNION PACIFIC CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
UNP	09/06/2013	9 00	X			SHORT-TERM		
803056204	11/22/2013	1,472 27	1,476 53	0 00		(4 26)	SAP AG (SPON ADR) AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
SAP	03/05/2013	18 00	X			SHORT-TERM		



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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

Box 1d Stock or other Symbol	Box 1a: Date of sale or exchange acquisition	Box 2a Gross proceeds of stocks, bonds, etc. sold	Box 3: Cost or other basis reported to IRS	Box 5 Wash sale loss disallowed	Box 1c: Type of gain or loss	Box 8 Description	Box 2b: Loss not allowed based on amount in Box 2a
803054204	11/22/2013	1,963.02	1,976.58	0.00	(13.56)	SAP AG (SPON ADR) AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
SAP	03/06/2013	24.00	X		SHORT-TERM		
803054204	11/25/2013	247.13	227.77	0.00	19.36	SAP AG (SPON ADR) AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
SAP	05/24/2013	3.00	X		SHORT-TERM		
803054204	11/25/2013	494.28	494.15	0.00	0.13	SAP AG (SPON ADR) AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
SAP	03/06/2013	6.00	X		SHORT-TERM		
803054204	11/25/2013	1,318.06	1,257.56	0.00	60.50	SAP AG (SPON ADR) AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
SAP	05/02/2013	16.00	X		SHORT-TERM		
803054204	11/25/2013	2,224.22	2,111.22	0.00	113.00	SAP AG (SPON ADR) AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
SAP	04/05/2013	27.00	X		SHORT-TERM		
803054204	11/26/2013	990.37	911.10	0.00	79.27	SAP AG (SPON ADR) AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
SAP	05/24/2013	12.00	X		SHORT-TERM		
803054204	11/26/2013	1,320.49	1,224.16	0.00	96.33	SAP AG (SPON ADR) AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
SAP	06/07/2013	16.00	X		SHORT-TERM		
775781206	11/29/2013	1,217.04	1,075.78	0.00	141.26	ROLLS-ROYCE GROUP PLC SPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
RYCEY	09/05/2013	12.00	X		SHORT-TERM		
775781206	12/02/2013	198.22	179.30	0.00	18.92	ROLLS-ROYCE GROUP PLC SPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
RYCEY	09/05/2013	2.00	X		SHORT-TERM		
775781206	12/02/2013	1,090.17	987.89	0.00	102.28	ROLLS-ROYCE GROUP PLC SPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
RYCEY	09/06/2013	11.00	X		SHORT-TERM		
775781206	12/03/2013	295.07	269.43	0.00	25.64	ROLLS-ROYCE GROUP PLC SPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
RYCEY	09/06/2013	3.00	X		SHORT-TERM		



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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange Box 1b: Date of acquisition	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 6a: Noncovered security	Box 7c: Type of gain or (loss)	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
775781206 RYCEY	12/03/2013 09/26/2013	786 84 8 00	730 66 X	0 00	0 00	SHORT-TERM	ROLLS-ROYCE GROUP PLC SPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
494568101 KMI	12/04/2013 01/08/2013	363 99 11 00	408 84 X	0 00	0 00	SHORT-TERM	KINDER MORGAN INC CMN CLASS P AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
494568101 KMI	12/04/2013 01/10/2013	486 34 15 00	556 36 X	0 00	0 00	SHORT-TERM	KINDER MORGAN INC CMN CLASS P AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
494568101 KMI	12/04/2013 01/08/2013	1,323 58 40 00	1,506 08 X	0 00	0 00	SHORT-TERM	KINDER MORGAN INC CMN CLASS P AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
775781206 RYCEY	12/04/2013 09/26/2013	783 68 8 00	730 66 X	0 00	0 00	SHORT-TERM	ROLLS-ROYCE GROUP PLC SPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
775781206 RYCEY	12/04/2013 09/27/2013	881 63 9 00	821 39 X	0 00	0 00	SHORT-TERM	ROLLS-ROYCE GROUP PLC SPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
494568101 KMI	12/05/2013 01/23/2013	1,187 53 36 00	1,354 27 X	0 00	0 00	SHORT-TERM	KINDER MORGAN INC CMN CLASS P AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
494568101 KMI	12/05/2013 01/10/2013	1,286 49 39 00	1,446 55 X	0 00	0 00	SHORT-TERM	KINDER MORGAN INC CMN CLASS P AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
775781206 RYCEY	12/06/2013 09/27/2013	585 48 6 00	547 59 X	0 00	0 00	SHORT-TERM	ROLLS-ROYCE GROUP PLC SPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
775781206 RYCEY	12/06/2013 10/01/2013	585 48 6 00	555 28 X	0 00	0 00	SHORT-TERM	ROLLS-ROYCE GROUP PLC SPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	



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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1e: Date of sale or exchange Box 1b: Date of acquisition	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 1c: Type of gain or (loss)*	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
Box 1d: Stock or other Symbol	Box 1e: Date of sale or exchange Box 1b: Date of acquisition	Box 1e: Quantity sold	Box 6b: Basis reported to IRS	Box 5a: Noncovered security	Box 1c: Type of gain or (loss)	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
75781206 RYCEY	12/10/2013 10/01/2013	1,175.35 12.00	1,110.56 X	0.00	SHORT-TERM	ROLLS-ROYCE GROUP PLC SPONSORED ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
494568101 KMI	12/12/2013 01/23/2013	524.55 16.00	601.90 X	0.00	SHORT-TERM	KINDER MORGAN INC CMN CLASS P AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
494568101 KMI	12/12/2013 02/06/2013	1,245.79 38.00	1,418.01 X	0.00	SHORT-TERM	KINDER MORGAN INC CMN CLASS P AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
494568101 KMI	12/16/2013 03/05/2013	655.60 20.00	749.73 X	0.00	SHORT-TERM	KINDER MORGAN INC CMN CLASS P AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
494568101 KMI	12/16/2013 04/25/2013	1,245.63 38.00	1,504.60 X	0.00	SHORT-TERM	KINDER MORGAN INC CMN CLASS P AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
015351109 ALXN	12/20/2013 02/21/2013	1,567.17 12.00	1,048.13 X	0.00	SHORT-TERM	ALEXION PHARMACEUTICALS INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
09062X103 BIIB	12/20/2013 11/05/2013	1,407.77 5.00	1,219.54 X	0.00	SHORT-TERM	BIAGEN IDEC INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
09247X101 BLK	12/20/2013 04/25/2013	1,560.67 5.00	1,315.92 X	0.00	SHORT-TERM	BLACKROCK, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
192446102 CTSH	12/20/2013 09/20/2013	1,357.84 14.00	1,155.00 X	0.00	SHORT-TERM	COGNIZANT TECHNOLOGY SOLUTIONS CORP CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
29875W100 EADSY	12/20/2013 07/24/2013	1,698.09 89.00	1,247.65 X	0.00	SHORT-TERM	EUROPEAN AERONAUTIC DEFENCE AN ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97756-0** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a. Date of sale or exchange Box 1b. Date of acquisition	Box 2a. Gross proceeds of stocks, bonds, etc.	Box 3. Cost or other basis	Box 5. Wash sale loss disallowed	Box 6a. Noncovered security	Box 7c. Type of gain or loss	Box 8. Description	Box 2b. Loss not allowed based on amount in Box 2a
G491BT108	12/20/2013	1,065.28	1,018.65	0.00	0.00	SHORT-TERM	INVESTCO LTD CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
IVZ	11/22/2013	30.00	X					
57636Q104	12/20/2013	1,621.97	1,275.65	0.00	0.00	SHORT-TERM	MASTERCARD INCORPORATED CMN CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS	
MA	09/06/2013	2.00	X					
611740101	12/20/2013	1,141.19	1,010.12	0.00	0.00	SHORT-TERM	MONSTER BEVERAGE CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
MNST	06/05/2013	17.00	X					
74005P104	12/20/2013	763.66	659.21	0.00	0.00	SHORT-TERM	PRAXAIR, INC CMN SERIES AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
PX	04/22/2013	6.00	X					
741503403	12/20/2013	1,194.69	1,025.85	0.00	0.00	SHORT-TERM	PRICELINE COM INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
PCLN	10/15/2013	1.00	X					
870123106	12/20/2013	837.70	855.62	17.92	0.00	SHORT-TERM	SWATCH GROUP SA (THE) ADR CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
SWGAY	11/27/2013	26.00	X					
887317303	12/20/2013	1,571.79	1,298.37	0.00	0.00	SHORT-TERM	TIME WARNER INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
TWX	03/07/2013	23.00	X					
983134107	12/20/2013	1,470.21	1,104.54	0.00	0.00	SHORT-TERM	WYNN RESORTS, LIMITED CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
WYNN	05/24/2013	8.00	X					
ACCOUNT TOTAL (COVERED: SHORT-TERM)		123,216.12	108,484.57	112.39	14,843.94			

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PROCEEDS FROM BROKER TRANSACTIONS
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year Account No Tax ID Number Legal Name
2013 027-97755-2 20-5706189 RICHARD ROTH FOUNDATION

NONCOVERED SECURITIES TRANSACTIONS (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a. Date of sale or exchange Box 1b. Date of acquisition	Box 2a. Gross proceeds of stocks, bonds, etc.	Box 3. Cost or other basis	Box 5. Wash sale loss disallowed	Box 6a. Noncovered security	Box 1c. Type of gain or loss	Box 6. Description	Box 2b. Loss not allowed based on amount in Box 2a
729251108 PCL	01/18/2013	2,729.28 58.00			X		PLUM CREEK TIMBER COMPANY INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
729251108 PCL	05/20/2013	2,442.70 45.00			X		PLUM CREEK TIMBER COMPANY INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
962166104 WY	07/11/2013	4,697.46 161.00			X		WEYERHAEUSER COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
25960P109 DEI	12/20/2013	304.97 13.00			X		DOUGLAS EMMETT INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
828806109 SPG	12/20/2013	461.75 3.00			X		SIMON PROPERTY GROUP INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
ACCOUNT TOTAL (NONCOVERED)							10,636.16	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange	Box 2a: Gross proceeds of stocks, bonds, etc	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 1c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2b
Box 1d: Stock or other Symbol	Box 1b: Date of acquisition	Box 1e: Quantity sold	Box 6b: Basis reported to IRS	Box 6a: Noncovered security			
125896100	01/18/2013	1,595 53	1,353 60	0 00	LONG-TERM	CMS ENERGY CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
CMS	11/11/2011	64 00	X				
718172109	01/18/2013	1,158 42	930 41	0 00	LONG-TERM	PHILIP MORRIS INTL INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
PM	11/11/2011	13 00	X				
084670702	01/22/2013	761 09	613 92	0 00	LONG-TERM	BERKSHIRE HATHAWAY INC CLASS B AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
BRKB	11/11/2011	8 00	X				
20030N101	01/29/2013	980 32	563 25	0 00	LONG-TERM	COMCAST CORPORATION CMN CLASS A VOTING AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
CMCSA	11/11/2011	25 00	X				
30231G102	01/29/2013	913 38	795 50	0 00	LONG-TERM	EXXON MOBIL CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
XOM	11/11/2011	10 00	X				
58155Q103	01/29/2013	741 88	579 53	0 00	LONG-TERM	MCKESSON CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
MCK	11/11/2011	7 00	X				
03076C106	01/30/2013	1,332 14	942 40	0 00	LONG-TERM	AMERIPRISE FINANCIAL, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
AMP	11/11/2011	20 00	X				
871607107	01/30/2013	3,449 09	3,006 04	0 00	LONG-TERM	SYNOPSYS INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
SNPS	01/23/2012	103 00	X				
637071101	02/06/2013	867 13	922 54	0 00	LONG-TERM	NATIONAL OILWELL VARCO, INC COMMON STOCK AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
NOV	11/11/2011	13 00	X				
637071101	02/11/2013	3,607 70	3,761 14	0 00	LONG-TERM	NATIONAL OILWELL VARCO, INC COMMON STOCK AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
NOV	11/11/2011	53 00	X				

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 6a: Noncovered security	Box 7c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
037833100	02/21/2013	891 66	1,006 11	0 00	0 00	LONG-TERM	APPLE, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
AAPL	02/14/2012	2 00	X					
037833100	02/21/2013	1,783 32	1,811 44	0 00	0 00	LONG-TERM	APPLE, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
AAPL	01/30/2012	4 00	X					
011659109	03/01/2013	838 66	542 96	0 00	0 00	LONG-TERM	ALASKA AIR GROUP INC(DEL HLDG) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
ALK	11/11/2011	16 00	X					
151020104	03/06/2013	220 20	123 24	0 00	0 00	LONG-TERM	CELGENE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
CELG	11/28/2011	2 00	X					
151020104	03/06/2013	1,211 11	678 68	0 00	0 00	LONG-TERM	CELGENE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
CELG	11/22/2011	11 00	X					
200340107	03/08/2013	1,632 69	1,354 72	0 00	0 00	LONG-TERM	COMERICA INCORPORATED CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
CMA	02/07/2012	45 00	X					
03073E105	03/19/2013	1,309 64	1,031 16	0 00	0 00	LONG-TERM	AMERISOURCEBERGEN CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
ABC	11/11/2011	26 00	X					
423452101	03/20/2013	1,691 50	1,548 96	0 00	0 00	LONG-TERM	HELMERICH & PAYNE INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
HP	11/11/2011	28 00	X					
92343V104	03/20/2013	1,798 97	1,384 91	0 00	0 00	LONG-TERM	VERIZON COMMUNICATIONS INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
VZ	11/11/2011	37 00	X					
200340107	03/25/2013	2,156 87	1,806 29	0 00	0 00	LONG-TERM	COMERICA INCORPORATED CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
CMA	02/07/2012	60 00	X					

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Gain or (loss)*	Box 2b: Loss not allowed based on amount in Box 2a
Box 1d: Stock or other Symbol	Box 1b: Date of acquisition	Box 1c: Quantity sold	Box 6b: Basis reported to IRS	Box 6a: Noncovered security	Box 1c: Type of gain or loss	Box 8 Description
46625H100	03/28/2013	1,278.47	894.78	0.00	383.69	JPMORGAN CHASE & CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
JPM	11/11/2011	27.00	X		LONG-TERM	
200340107	04/05/2013	1,968.66	1,746.08	0.00	222.58	COMERICA INCORPORATED CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
CMA	02/07/2012	58.00	X		LONG-TERM	
44919P508	04/08/2013	1,012.64	953.10	0.00	59.54	IAC/INTERACTIVECORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
IACI	11/11/2011	23.00	X		LONG-TERM	
20030N101	04/09/2013	1,031.75	563.25	0.00	468.50	COMCAST CORPORATION CMN CLASS A VOTING AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
CMCSA	11/11/2011	25.00	X		LONG-TERM	
166764100	04/10/2013	237.95	213.66	0.00	24.29	CHEVRON CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
CVX	11/11/2011	2.00	X		LONG-TERM	
17275R102	04/10/2013	214.30	184.78	0.00	29.52	CISCO SYSTEMS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
CSCO	11/11/2011	10.00	X		LONG-TERM	
172967424	04/10/2013	314.64	205.17	0.00	109.47	CITIGROUP INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
C	11/11/2011	7.00	X		LONG-TERM	
209115104	04/10/2013	184.85	178.62	0.00	6.23	CONSOLIDATED EDISON INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
ED	11/11/2011	3.00	X		LONG-TERM	
233331107	04/10/2013	207.71	156.21	0.00	51.50	DTE ENERGY COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
DTE	11/11/2011	3.00	X		LONG-TERM	
478160104	04/10/2013	245.84	195.84	0.00	50.00	JOHNSON & JOHNSON CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
JNJ	11/11/2011	3.00	X		LONG-TERM	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a Date of sale or exchange	Box 2a Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 6a: Noncovered security	Box 7c: Type of gain or loss	Box 8 Description	Box 2b Loss not allowed based on amount in Box 2a
46625H100	04/10/2013	246 99	165 70	0 00	X	LONG-TERM	JPMORGAN CHASE & CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
JPM	11/11/2011	5 00	X					
717081103	04/10/2013	326 80	219 89	0 00		LONG-TERM	PFIZER INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
PFE	11/11/2011	11 00	X					
857477103	04/10/2013	178 67	123 15	0 00		LONG-TERM	STATE STREET CORPORATION (NEW) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
STT	01/19/2012	3 00	X					
949746101	04/10/2013	150 55	102 32	0 00		LONG-TERM	WELLS FARGO & CO (NEW) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
WFC	11/11/2011	4 00	X					
151020104	04/11/2013	1,104 27	554 58	0 00		LONG-TERM	CELGENE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
CELG	11/28/2011	9 00	X					
458140100	04/17/2013	985 69	1,185 16	0 00		LONG-TERM	INTEL CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
INTC	01/30/2012	45 00	X					
458140100	04/17/2013	1,204 73	1,542 20	0 00		LONG-TERM	INTEL CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
INTC	04/12/2012	55 00	X					
718172109	04/18/2013	91 57	71 57	0 00		LONG-TERM	PHILIP MORRIS INTL INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
PM	11/11/2011	1 00	X					
718172109	04/18/2013	1,556 70	1,214 16	0 00		LONG-TERM	PHILIP MORRIS INTL INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
PM	11/15/2011	17 00	X					
887317303	04/23/2013	1,084 82	633 60	0 00		LONG-TERM	TIME WARNER INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
TWX	11/11/2011	18 00	X					

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a Date of sale or exchange Box 1b Date of acquisition	Box 2a Gross proceeds of stocks, bonds, etc. Box 1c Quantity sold	Box 3 Cost or other basis Box 6b Basis reported to IRS	Box 5 Wash sale loss disallowed Box 6a Noncovered security	Box 1c Type of gain or (loss)	Box 8 Description	Box 2b Loss not allowed based on amount in Box 2a
151020104 CELG	04/25/2013 11/28/2011	473 25 4 00	246 48 X	0 00	LONG-TERM	CELGENE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
151020104 CELG	04/25/2013 12/14/2011	709 87 6 00	378 85 X	0 00	LONG-TERM	CELGENE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
233331107 DTE	04/29/2013 11/11/2011	2,830 47 39 00	2,030 73 X	0 00	LONG-TERM	DTE ENERGY COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
437076102 HD	05/13/2013 11/28/2011	1,071 12 14 00	524 03 X	0 00	LONG-TERM	THE HOME DEPOT, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
17275R102 CSCO	05/16/2013 11/11/2011	143 36 6 00	115 99 X	0 00	LONG-TERM	CISCO SYSTEMS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
17275R102 CSCO	05/16/2013 11/11/2011	215 03 9 00	166 30 X	0 00	LONG-TERM	CISCO SYSTEMS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
17275R102 CSCO	05/16/2013 11/22/2011	1,122 94 47 00	842 10 X	0 00	LONG-TERM	CISCO SYSTEMS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
30231G102 XOM	05/16/2013 11/11/2011	272 33 3 00	238 65 X	0 00	LONG-TERM	EXXON MOBIL CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
68389X105 ORCL	05/30/2013 03/29/2012	1,176 39 34 00	992 15 X	0 00	LONG-TERM	ORACLE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
30231G102 XOM	06/11/2013 11/11/2011	1,087 51 12 00	954 60 X	0 00	LONG-TERM	EXXON MOBIL CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year Account No Tax ID Number Legal Name
2013 027-97755-2 20-5706189 RICHARD ROTH FOUNDATION

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a Date of sale or exchange	Box 2a Gross proceeds of stocks, bonds, etc sold	Box 3 Cost or other basis	Box 5 Wash sale loss disallowed	Box 1c Type of gain or loss	Box 8 Description	Box 2b Loss not allowed based on amount in Box 2a
Box 1d: Stock or other Symbol	Box 1b: Date of acquisition	Box 1e: Quantity	Box 6b: Basis reported to IRS	Box 6a: Noncovered security			
H01531104 AWH	06/20/2013 11/21/2011	2,841 35 31 00	1,855 74 X	0 00	LONG-TERM	985 61 ALLIED WORLD ASSURANCE COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
35671D857 FCX	06/25/2013 11/11/2011	2,521 90 93 00	3,706 05 X	0 00	LONG-TERM	(1,184 15) FREEPORT-MCMORAN COPPER & GOLD CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
25490A309 DTV	06/27/2013 11/11/2011	1,876 62 31 00	1,422 28 X	0 00	LONG-TERM	454 34 DIRECTV CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
03073E105 ABC	07/10/2013 11/11/2011	901 04 16 00	634 56 X	0 00	LONG-TERM	266 48 AMERISOURCEBERGEN CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
011659109 ALK	07/15/2013 11/11/2011	244 27 4 00	135 74 X	0 00	LONG-TERM	108 53 ALASKA AIR GROUP (INCIDEL HLDG) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
020002101 ALL	07/15/2013 02/27/2012	307 13 6 00	187 72 X	0 00	LONG-TERM	119 41 ALLSTATE CORPORATION COMMON STOCK AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
03076C106 AMP	07/15/2013 11/11/2011	259 10 3 00	141 36 X	0 00	LONG-TERM	117 74 AMERIPRISE FINANCIAL, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
00206R102 T	07/15/2013 11/11/2011	249 19 7 00	205 52 X	0 00	LONG-TERM	43 67 AT&T INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
166764100 CVX	07/15/2013 11/11/2011	624 93 5 00	534 15 X	0 00	LONG-TERM	90 78 CHEVRON CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
17275R102 CSCO	07/15/2013 11/22/2011	51 82 2 00	35 83 X	0 00	LONG-TERM	15 99 CISCO SYSTEMS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Stock or other Symbol	Box 1b: Date of acquisition	Box 2a: Gross proceeds of stocks, bonds, etc	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 6a: Noncovered security	Box 1c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
	17275R102	07/15/2013	388 64	280 03	0 00	0 00	LONG-TERM	CISCO SYSTEMS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
	CSCO	12/08/2011	15 00	X					
	172967424	07/15/2013	415 03	234 48	0 00	0 00	LONG-TERM	CITIGROUP INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
	C	11/11/2011	8 00	X					
	125896100	07/15/2013	253 34	190 35	0 00	0 00	LONG-TERM	CMS ENERGY CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
	CMS	11/11/2011	9 00	X					
	20825C104	07/15/2013	391 73	333 63	0 00	0 00	LONG-TERM	CONOCOPHILLIPS CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
	COP	11/11/2011	6 00	X					
	30231G102	07/15/2013	280 04	238 65	0 00	0 00	LONG-TERM	EXXON MOBIL CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
	XOM	11/11/2011	3 00	X					
	46625H100	07/15/2013	328 31	198 84	0 00	0 00	LONG-TERM	JPMORGAN CHASE & CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
	JPM	11/11/2011	6 00	X					
	501044101	07/15/2013	302 39	195 45	0 00	0 00	LONG-TERM	KROGER COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
	KR	04/02/2012	8 00	X					
	N53745100	07/15/2013	284 47	121 22	0 00	0 00	LONG-TERM	LYONDELLBASELL INDUSTRIES N V CMN CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
	LYB	11/11/2011	4 00	X					
	58155Q103	07/15/2013	357 32	248 37	0 00	0 00	LONG-TERM	MCKESSON CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
	MCK	11/11/2011	3 00	X					
	949746101	07/15/2013	562 96	332 54	0 00	0 00	LONG-TERM	WELLS FARGO & CO (NEW) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
	WFC	11/11/2011	13 00	X					

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 6a: Noncovered security	Box 1c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
151020104 CELG	07/19/2013 12/14/2011	1,082.51 8.00	505.13 X	0.00	0.00	LONG-TERM	CELGENE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
151020104 CELG	07/19/2013 06/22/2012	2,300.33 17.00	1,036.76 X	0.00	0.00	LONG-TERM	CELGENE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
257559203 UFS	07/22/2013 06/19/2012	281.48 4.00	313.80 X	0.00	0.00	LONG-TERM	DOMTAR CORPORATION CMN CLASS AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
257559203 UFS	07/22/2013 06/15/2012	1,618.53 23.00	1,785.77 X	0.00	0.00	LONG-TERM	DOMTAR CORPORATION CMN CLASS AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
03073E105 ABC	08/01/2013 11/11/2011	1,471.30 25.00	991.50 X	0.00	0.00	LONG-TERM	AMERISOURCEBERGEN CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
25490A309 DTV	08/01/2013 11/11/2011	1,429.49 23.00	1,055.24 X	0.00	0.00	LONG-TERM	DIRECTV CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
025932104 AFG	08/07/2013 11/11/2011	259.67 5.00	181.21 X	0.00	0.00	LONG-TERM	AMERICAN FINANCIAL GROUP INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
025932104 AFG	08/07/2013 12/16/2011	1,090.58 21.00	754.93 X	0.00	0.00	LONG-TERM	AMERICAN FINANCIAL GROUP INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
025932104 AFG	08/07/2013 11/11/2011	2,233.10 43.00	1,552.30 X	0.00	0.00	LONG-TERM	AMERICAN FINANCIAL GROUP INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
501044101 KR	08/13/2013 04/02/2012	860.44 22.00	537.49 X	0.00	0.00	LONG-TERM	KROGER COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 6: Noncovered security	Box 7: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2b
03073E105 ABC	08/14/2013 11/11/2011	1,512.87 26.00	1,031.16 X	0.00	0.00	LONG-TERM	AMERISOURCEBERGEN CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
20030N101 CMCSA	08/16/2013 11/11/2011	1,069.99 25.00	563.25 X	0.00	0.00	LONG-TERM	COMCAST CORPORATION CMN CLASS A VOTING AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
42345Z101 HP	08/16/2013 11/11/2011	1,815.47 28.00	1,548.96 X	0.00	0.00	LONG-TERM	HELMERICH & PAYNE INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
172967424 C	08/20/2013 11/11/2011	1,098.18 22.00	644.82 X	0.00	0.00	LONG-TERM	CITIGROUP INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
594918104 MSFT	08/26/2013 11/11/2011	1,341.96 39.00	1,052.14 X	0.00	0.00	LONG-TERM	MICROSOFT CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
565849106 MRO	08/30/2013 11/11/2011	1,517.35 44.00	1,246.52 X	0.00	0.00	LONG-TERM	MARATHON OIL CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
257559203 UFS	09/18/2013 06/19/2012	948.65 12.00	941.40 X	0.00	0.00	LONG-TERM	DOMTAR CORPORATION CMN CLASS AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
257559203 UFS	09/18/2013 06/28/2012	1,185.81 15.00	1,113.56 X	0.00	0.00	LONG-TERM	DOMTAR CORPORATION CMN CLASS AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
666807102 NOC	09/23/2013 11/11/2011	1,632.39 17.00	1,007.59 X	0.00	0.00	LONG-TERM	NORTHROP GRUMMAN CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
172967424 C	09/24/2013 11/11/2011	1,431.23 29.00	849.99 X	0.00	0.00	LONG-TERM	CITIGROUP INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a. Date of sale or exchange	Box 2a. Gross proceeds of stocks, bonds, etc.	Box 3. Cost or other basis	Box 5. Wash sale loss disallowed	Box 1c. Type of gain or loss	Box 8. Description	Box 2b. Loss not allowed based on amount in Box 2a
Box 1d. Stock or other Symbol	Box 1b. Date of acquisition	Box 1e. Quantity sold	Box 6b. Basis reported to IRS	Box 6a. Noncovered security			
742718109 PG	09/24/2013 11/11/2011	1,500 27 19 00	1,214 29 X	0 00	285 98 LONG-TERM	PROCTER & GAMBLE COMPANY (THE CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
92343V104 VZ	09/24/2013 11/11/2011	1,373 98 29 00	1,085 47 X	0 00	288 51 LONG-TERM	VERIZON COMMUNICATIONS INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
172967424 C	09/25/2013 11/11/2011	1,681 00 34 00	956 54 X	0 00	684 46 LONG-TERM	CITIGROUP INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
58933Y105 MRK	09/25/2013 05/18/2012	3,303 61 69 00	2,610 08 X	0 00	693 53 LONG-TERM	MERCK & CO, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
00507K103 ACT	10/01/2013 06/27/2012	2,880 01 20 00	1,426 39 X	0 00	1,453 62 LONG-TERM	ACTAVIS INC CMN Removal of securities resulting from merger	
521865204 LEA	10/08/2013 08/23/2012	1,430 69 20 00	813 84 X	0 00	616 85 LONG-TERM	LEAR CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
17275R102 CSCO	10/14/2013 08/27/2012	510 77 22 00	424 37 X	0 00	86 40 LONG-TERM	CISCO SYSTEMS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
17275R102 CSCO	10/14/2013 12/08/2011	1,114 41 48 00	896 10 X	0 00	218 31 LONG-TERM	CISCO SYSTEMS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
17275R102 CSCO	10/14/2013 03/05/2012	1,393 01 60 00	1,176 66 X	0 00	216 35 LONG-TERM	CISCO SYSTEMS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
17275R102 CSCO	10/16/2013 08/27/2012	1,056 93 46 00	887 32 X	0 00	169 61 LONG-TERM	CISCO SYSTEMS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 1c: Type of gain or (loss)*	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
Box 1d: Stock or other Symbol	Box 1b: Date of acquisition	Box 1e: Quantity sold	Box 6b: Basis reported to IRS	Box 6a: Noncovered security	Box 1c: Type of gain or (loss)	Box 8: Description	
565849106	10/23/2013	2,114 85	1,728 13	0 00	LONG-TERM	MARATHON OIL CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
MRO	11/11/2011	61 00	X				
581550103	10/24/2013	744 74	413 95	0 00	LONG-TERM	MCKESSON CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
MCK	11/11/2011	5 00	X				
277432100	10/28/2013	1,520 01	1,009 37	0 00	LONG-TERM	EASTMAN CHEM CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
EMN	07/03/2012	20 00	X				
277432100	10/28/2013	1,672 01	1,136 60	0 00	LONG-TERM	EASTMAN CHEM CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
EMN	07/30/2012	22 00	X				
58933Y105	10/28/2013	45 31	37 83	0 00	LONG-TERM	MERCK & CO, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
MRK	05/18/2012	1 00	X				
58933Y105	10/28/2013	1,087 33	1,070 87	0 00	LONG-TERM	MERCK & CO, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
MRK	08/06/2012	24 00	X				
58933Y105	10/28/2013	1,540 38	1,512 46	0 00	LONG-TERM	MERCK & CO, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
MRK	07/30/2012	34 00	X				
501044101	11/01/2013	810 27	464 20	0 00	LONG-TERM	KROGER COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
KR	04/02/2012	19 00	X				
011659109	11/06/2013	3,018 26	1,425 27	0 00	LONG-TERM	ALASKA AIR GROUP (INCIDEL HLDG) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
ALK	11/11/2011	42 00	X				
857477103	11/19/2013	1,278 91	738 91	0 00	LONG-TERM	STATE STREET CORPORATION (NEW) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
SIT	01/19/2012	18 00	X				

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SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year Account No Tax ID Number Legal Name
2013 027-97755-2 20-5706189 RICHARD ROTH FOUNDATION

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Gain or (loss)*	Box 2b: Loss not allowed based on amount in Box 2a
Box 1d Stock or other Symbol	Box 1b: Date of acquisition	Box 1e: Quantity sold	Box 6b: Basis reported to IRS	Box 6a: Noncovered security	Box 1c: Type of gain or loss	Box 8 Description
110122108	11/26/2013	1,519.52	921.62	0.00	597.90	BRISTOL-MYERS SQUIBB COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
BMV	11/11/2011	29.00	X		LONG-TERM	
209115104	11/26/2013	220.80	216.20	0.00	4.60	CONSOLIDATED EDISON INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
ED	11/23/2012	4.00	X		LONG-TERM	
209115104	11/26/2013	883.19	969.07	0.00	(85.88)	CONSOLIDATED EDISON INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
ED	06/04/2012	16.00	X		LONG-TERM	
209115104	11/26/2013	883.19	955.24	0.00	(72.05)	CONSOLIDATED EDISON INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
ED	09/17/2012	16.00	X		LONG-TERM	
209115104	11/26/2013	1,324.79	1,428.96	0.00	(104.17)	CONSOLIDATED EDISON INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
ED	11/11/2011	24.00	X		LONG-TERM	
209115104	11/26/2013	1,821.59	1,949.53	0.00	(127.94)	CONSOLIDATED EDISON INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
ED	01/31/2012	33.00	X		LONG-TERM	
501044101	11/27/2013	1,759.29	1,026.11	0.00	733.18	KROGER COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
KR	04/02/2012	42.00	X		LONG-TERM	
011659109	12/03/2013	300.10	135.74	0.00	164.36	ALASKA AIR GROUP INC(DEL HLDG) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
ALK	11/11/2011	4.00	X		LONG-TERM	
011659109	12/03/2013	1,200.39	542.96	0.00	657.43	ALASKA AIR GROUP INC(DEL HLDG) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
ALK	05/09/2012	16.00	X		LONG-TERM	
44919P508	12/03/2013	1,194.54	870.22	0.00	324.32	IAC/INTERACTIVECORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
IACI	11/11/2011	21.00	X		LONG-TERM	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)

SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year Account No Tax ID Number Legal Name
2013 027-97755-2 20-5706189 RICHARD ROTH FOUNDATION

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a Date of sale or exchange	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3 Cost or other basis	Box 5 Wash sale loss disallowed	Gain or (loss)*	Box 2b: Loss not allowed based on amount in Box 2a
Box 1d: Stock or other Symbol	Box 1b: Date of acquisition	Box 1e: Quantity sold	Box 6b: Basis reported to IRS	Box 6a: Noncovered security	Box 1c: Type of gain or loss	Box 8 Description
89417E109	12/09/2013	1,768 66	1,166 80	0 00	601 86	THE TRAVELERS COMPANIES, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
TRV	11/11/2011	20 00	X		LONG-TERM	
44919P508	12/18/2013	946 27	663 02	0 00	283 25	IAC/INTERACTIVECORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
IACI	11/11/2011	16 00	X		LONG-TERM	
011659109	12/20/2013	370 44	169 67	0 00	200 77	ALASKA AIR GROUP INC(DEL HLDG) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
ALK	05/09/2012	5 00	X		LONG-TERM	
020002101	12/20/2013	699 64	406 72	0 00	292 92	ALLSTATE CORPORATION COMMON STOCK AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
ALL	02/27/2012	13 00	X		LONG-TERM	
026874784	12/20/2013	713 98	498 12	0 00	215 86	AMERICAN INTL GROUP, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
AIG	10/15/2012	14 00	X		LONG-TERM	
03076C106	12/20/2013	786 71	329 84	0 00	456 87	AMERIPRISE FINANCIAL, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
AMP	11/11/2011	7 00	X		LONG-TERM	
00206R102	12/20/2013	584 27	499 12	0 00	85 15	AT&T INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
T	11/11/2011	17 00	X		LONG-TERM	
084670702	12/20/2013	466 55	306 96	0 00	159 59	BERKSHIRE HATHAWAY INC CLASS B AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
BRKB	11/11/2011	4 00	X		LONG-TERM	
110122108	12/20/2013	375 47	222 46	0 00	153 01	BRISTOL-MYERS SQUIBB COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
BMY	11/11/2011	7 00	X		LONG-TERM	
166764100	12/20/2013	1,104 55	961 47	0 00	143 08	CHEVRON CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
CVX	11/11/2011	9 00	X		LONG-TERM	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a Date of sale or exchange	Box 2a Gross proceeds of stocks, bonds, etc	Box 3 Cost or other basis	Box 5 Wash sale loss disallowed	Box 1c Type of gain or loss	Box 6 Description	Box 2b Loss not allowed based on amount in Box 2a
Box 1d Stock or other Symbol	Box 1b Date of acquisition	Box 1e Quantity sold	Box 6b Basis reported to IRS	Box 6a Noncovered security	Box 1c Type of gain or loss	Box 6 Description	
172967424	12/20/2013	680.66	381.03	0.00	LONG-TERM	CITIGROUP INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
C	11/11/2011	13.00	X				
125896100	12/20/2013	404.09	317.25	0.00	LONG-TERM	CMS ENERGY CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
CMS	11/11/2011	15.00	X				
20030N101	12/20/2013	665.84	292.89	0.00	LONG-TERM	COMCAST CORPORATION CMN CLASS A VOTING AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
CMCSA	11/11/2011	13.00	X				
20825C104	12/20/2013	982.50	778.47	0.00	LONG-TERM	CONOCOPHILLIPS CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
COP	11/11/2011	14.00	X				
25490A309	12/20/2013	401.09	275.28	0.00	LONG-TERM	DIRECTV CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
DTV	11/11/2011	6.00	X				
254709108	12/20/2013	972.16	444.42	0.00	LONG-TERM	DISCOVER FINANCIAL SERVICES CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
DFS	11/11/2011	18.00	X				
23331107	12/20/2013	601.27	468.63	0.00	LONG-TERM	DTE ENERGY COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
DTE	11/11/2011	9.00	X				
26879P101	12/20/2013	506.16	357.76	0.00	LONG-TERM	EOG RESOURCES INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
EOG	11/08/2012	3.00	X				
30231G102	12/20/2013	1,065.68	875.05	0.00	LONG-TERM	EXXON MOBIL CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
XOM	11/11/2011	11.00	X				
369604103	12/20/2013	575.38	342.51	0.00	LONG-TERM	GENERAL ELECTRIC CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
GE	11/11/2011	21.00	X				

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a Date of sale or exchange	Box 2a Gross proceeds of stocks, bonds, etc	Box 3 Cost or other basis	Box 5 Wash sale loss disallowed	Box 1c Type of gain or (loss)*	Box 8 Description	Box 2b Loss not allowed based on amount in Box 2a
Box 1d: Stock or other Symbol	Box 1b Date of acquisition	Box 1e: Quantity sold	Box 6b Basis reported to IRS	Box 6a: Noncovered security			
478160104	12/20/2013	1,203.90	848.64	0.00	LONG-TERM	JOHNSON & JOHNSON CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
JNJ	11/11/2011	13.00	X				
46625H100	12/20/2013	1,680.09	961.06	0.00	LONG-TERM	JPMORGAN CHASE & CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
JPM	11/11/2011	29.00	X				
493267108	12/20/2013	532.79	295.55	0.00	LONG-TERM	KEYCORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
KEY	12/20/2011	40.00	X				
501044101	12/20/2013	237.77	146.59	0.00	LONG-TERM	KROGER COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
KR	04/02/2012	6.00	X				
521865204	12/20/2013	319.99	162.77	0.00	LONG-TERM	LEAR CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
LEA	08/23/2012	4.00	X				
N53745100	12/20/2013	470.87	181.83	0.00	LONG-TERM	LYONDELLBASELL INDUSTRIES N V CMN CLASS A AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
LYB	11/11/2011	6.00	X				
555849106	12/20/2013	317.96	254.97	0.00	LONG-TERM	MARATHON OIL CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
MRO	11/11/2011	9.00	X				
581550103	12/20/2013	810.08	413.95	0.00	LONG-TERM	MCKESSON CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
MCK	11/11/2011	5.00	X				
58156R108	12/20/2013	902.34	602.00	0.00	LONG-TERM	METLIFE, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
MET	04/23/2012	17.00	X				
584918104	12/20/2013	477.35	350.71	0.00	LONG-TERM	MICROSOFT CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
MSFT	11/11/2011	13.00	X				

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SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

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Box 1d: Stock or other Symbol	Box 1b: Date of acquisition	Box 1e: Quantity sold	Box 6b: Basis reported to IRS	Box 6a: Noncovered security	Box 1c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
668807102 NOC	12/20/2013 11/11/2011	451 39 4 00	237 08 X	0 00	LONG-TERM	NORTHROP GRUMMAN CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
68389X105 ORCL	12/20/2013 03/29/2012	439 07 12 00	350 17 X	0 00	LONG-TERM	ORACLE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
717081103 PFE	12/20/2013 11/11/2011	1,190 64 39 00	779 61 X	0 00	LONG-TERM	PRIZER INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
693475105 PNC	12/20/2013 11/11/2011	688 30 9 00	483 48 X	0 00	LONG-TERM	PNC FINANCIAL SERVICES GROUP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
742718109 PG	12/20/2013 11/11/2011	412 09 5 00	319 55 X	0 00	LONG-TERM	PROCTER & GAMBLE COMPANY (THE) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
755111507 RTN	12/20/2013 08/23/2012	532 67 6 00	334 30 X	0 00	LONG-TERM	RAYTHEON CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
857477103 STT	12/20/2013 01/19/2012	644 32 9 00	369 46 X	0 00	LONG-TERM	STATE STREET CORPORATION (NEW) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
437076102 HD	12/20/2013 11/28/2011	482 51 6 00	224 58 X	0 00	LONG-TERM	THE HOME DEPOT, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
89417E109 TRV	12/20/2013 11/11/2011	447 54 5 00	291 70 X	0 00	LONG-TERM	THE TRAVELLERS COMPANIES, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
887317303 TWX	12/20/2013 11/11/2011	1,100 62 16 00	563 20 X	0 00	LONG-TERM	TIME WARNER INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: LONG-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a Date of sale or exchange	Box 2a Gross proceeds of stocks, bonds, etc.	Box 3 Cost or other basis	Box 5 Wash sale loss disallowed	Box 6a Noncovered security	Box 1c Type of gain or loss	Box 8 Description	Box 2b Loss not allowed based on amount in Box 2a
87264S106 TRW	12/20/2013 09/17/2012	581 50 8 00	377 82 X	0 00	0 00	LONG-TERM	TRW AUTOMOTIVE HOLDINGS CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
92343V104 VZ	12/20/2013 11/11/2011	339 14 7 00	262 01 X	0 00	0 00	LONG-TERM	VERIZON COMMUNICATIONS INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
949746101 WFC	12/20/2013 11/11/2011	1,037 74 23 00	588 34 X	0 00	0 00	LONG-TERM	WELLS FARGO & CO (NEW) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
ACCOUNT TOTAL (COVERED: LONG-TERM)		162,469.87	121,537.67	0.00	0.00	40,932.20		



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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a. Date of sale or exchange Box 1b. Date of acquisition	Box 2a. Gross proceeds of stocks, bonds, etc. Box 1c. Quantity sold	Box 3. Cost or other basis Box 6b. Basis reported to IRS	Box 5. Wash sale loss disallowed Box 6a. Noncovered security	Box 1c. Type of gain or (loss)*	Box 8. Description	Box 2b. Loss not allowed based on amount in Box 2a
G16962105 BG	01/03/2013 11/23/2012	147.68 2.00	145.48 X	0.00	2.20 SHORT-TERM	ORD CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
G16962105 BG	01/03/2013 06/12/2012	1,033.72 14.00	821.40 X	0.00	212.32 SHORT-TERM	ORD CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
G16962105 BG	01/03/2013 04/19/2012	2,288.96 31.00	2,065.17 X	0.00	223.79 SHORT-TERM	ORD CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
942683103 WPI	01/03/2013 06/27/2012	686.30 8.00	570.55 X	0.00	115.75 SHORT-TERM	WATSON PHARMACEUTICALS INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
871607107 SNPS	01/30/2013 11/23/2012	100.46 3.00	98.10 X	0.00	2.36 SHORT-TERM	SYNOPSIS INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
871607107 SNPS	01/30/2013 03/19/2012	770.19 23.00	701.03 X	0.00	69.16 SHORT-TERM	SYNOPSIS INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
254687106 DIS	01/30/2013 11/23/2012	215.69 4.00	195.72 X	0.00	19.97 SHORT-TERM	WALT DISNEY COMPANY (THE) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
254687106 DIS	01/30/2013 03/19/2012	1,401.95 26.00	1,131.51 X	0.00	270.44 SHORT-TERM	WALT DISNEY COMPANY (THE) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
254687106 DIS	01/30/2013 03/02/2012	5,230.36 97.00	4,113.77 X	0.00	1,116.59 SHORT-TERM	WALT DISNEY COMPANY (THE) CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
755111507 RTN	01/31/2013 08/23/2012	475.48 9.00	501.44 X	0.00	(25.96) SHORT-TERM	RAYTHEON CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
88579Y101 MMM	02/07/2013 05/08/2012	407.53 4.00	349.70 X	0.00	57.83 SHORT-TERM	3M COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange	Box 2a: Gross proceeds of stocks, bonds, etc	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 6a: Noncovered security	Box 7c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
Box 1d: Stock or other Symbol	Box 1b: Date of acquisition	Box 1e: Quantity sold	Box 6b: Basis reported to IRS	Box 5a: Noncovered security	Box 6c: Basis reported to IRS	Box 7c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
637071101	02/11/2013	136 14	144 28	0 00	0 00	SHORT-TERM	NATIONAL OILWELL VARCO, INC COMMON STOCK AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
NOV	11/23/2012	2 00	X					
037411105	02/21/2013	150 08	168 54	0 00	0 00	SHORT-TERM	APACHE CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
APA	10/22/2012	2 00	X					
037411105	02/21/2013	1,350 68	1,531 54	0 00	0 00	SHORT-TERM	APACHE CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
APA	10/22/2012	18 00	X					
037411105	02/21/2013	1,350 68	1,497 50	0 00	0 00	SHORT-TERM	APACHE CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
APA	10/23/2012	18 00	X					
037833100	02/21/2013	445 83	568 62	0 00	0 00	SHORT-TERM	APPLE, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
AAPL	11/23/2012	1 00	X					
200340107	04/05/2013	135 77	116 04	0 00	0 00	SHORT-TERM	COMERICA INCORPORATED CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
CMA	11/23/2012	4 00	X					
88579Y101	04/08/2013	1,372 19	1,136 52	0 00	0 00	SHORT-TERM	3M COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
MMM	05/08/2012	13 00	X					
29266R108	04/08/2013	1,057 44	857 99	0 00	0 00	SHORT-TERM	ENERGIZER HOLDINGS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
ENR	11/28/2012	11 00	X					
354613101	04/10/2013	154 01	128 76	0 00	0 00	SHORT-TERM	FRANKLIN RESOURCES INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
BEN	10/23/2012	1 00	X					
406216101	04/10/2013	160 43	158 32	0 00	0 00	SHORT-TERM	HALLIBURTON COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
HAL	03/25/2013	4 00	X					
58933Y105	04/10/2013	138 26	113 48	0 00	0 00	SHORT-TERM	MERCK & CO, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
MRK	05/18/2012	3 00	X					

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number Box 1d Stock or other Symbol	Box 1a: Date of sale or exchange Box 1b: Date of acquisition	Box 2a: Gross proceeds of stocks, bonds, etc Box 1e: Quantity sold	Box 3: Cost or other basis Box 6b: Basis reported to IRS	Box 5: Wash sale loss disallowed Box 6a: Noncovered security	Gain or (loss)* Box 1c: Type of gain or loss	Box 8: Description	Box 2b Loss not allowed based on amount in Box 2a
59156R108 MET	04/10/2013 04/23/2012	150 07 4 00	141 65 X	0 00	8 42 SHORT-TERM	METLIFE, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
718172109 PM	04/18/2013 11/23/2012	91 57 1 00	89 92 X	0 00	1 65 SHORT-TERM	PHILIP MORRIS INTL INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
88579Y101 MMMM	04/23/2013 05/08/2012	1,168 18 11 00	961 67 X	0 00	206 51 SHORT-TERM	3M COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
88579Y101 MMMM	04/29/2013 11/23/2012	205 94 2 00	179 52 X	0 00	26 42 SHORT-TERM	3M COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
88579Y101 MMMM	04/29/2013 05/08/2012	617 82 6 00	524 55 X	0 00	93 27 SHORT-TERM	3M COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
88579Y101 MMMM	04/29/2013 06/21/2012	2,574 22 25 00	2,168 30 X	0 00	404 92 SHORT-TERM	3M COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
364730101 GCI	05/08/2013 02/15/2013	3,954 68 194 00	3,899 75 X	0 00	54 93 SHORT-TERM	GANNETT CO INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
00507K103 ACT	05/10/2013 06/27/2012	2,023 03 17 00	1,212 43 X	0 00	810 60 SHORT-TERM	ACTAVIS INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
832248108 SFD	05/29/2013 04/26/2013	1,365 12 42 00	1,066 59 X	0 00	278 53 SHORT-TERM	SMITHFIELD FOODS INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
832248108 SFD	05/29/2013 04/10/2013	4,810 44 148 00	3,795 19 X	0 00	1,015 25 SHORT-TERM	SMITHFIELD FOODS INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
00507K103 ACT	06/19/2013 06/27/2012	1,238 61 10 00	713 19 X	0 00	525 42 SHORT-TERM	ACTAVIS INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
521865204 LEA	06/19/2013 08/23/2012	968 99 16 00	651 07 X	0 00	317 92 SHORT-TERM	LEAR CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year Account No Tax ID Number Legal Name
2013 027-97755-2 20-5706189 RICHARD ROTH FOUNDATION

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange	Box 2a: Gross proceeds of stocks, bonds, etc	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 1c: Type of gain or (loss)*	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
Box 1d: Stock or other Symbol	Box 1b: Date of acquisition	Box 1e: Quantity sold	Box 6b: Basis reported to IRS	Box 6a: Noncovered security			
521865204 LEA	06/19/2013 08/08/2012	2,301.35 38.00	1,506.24 X	0.00	795.11 SHORT-TERM	LEAR CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
H01531104 AWH	06/20/2013 11/23/2012	183.31 2.00	159.60 X	0.00	23.71 SHORT-TERM	ALLIED WORLD ASSURANCE COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
34354P105 FLS	06/20/2013 11/19/2012	1,444.27 9.00	1,239.91 X	0.00	204.36 SHORT-TERM	FLOWSERVE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
35671D857 FCX	06/25/2013 11/23/2012	81.35 3.00	116.19 X	0.00	(34.84) SHORT-TERM	FREEMPORT-MCMORAN COPPER & GOLD CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
35671D857 FCX	06/25/2013 10/19/2012	1,247.39 46.00	1,900.17 X	0.00	(652.78) SHORT-TERM	FREEMPORT-MCMORAN COPPER & GOLD CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
406216101 HAL	07/10/2013 03/25/2013	1,012.73 23.00	910.34 X	0.00	102.39 SHORT-TERM	HALLIBURTON COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
29266R108 ENR	07/11/2013 11/28/2012	1,349.21 13.00	1,013.99 X	0.00	335.22 SHORT-TERM	ENERGIZER HOLDINGS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
026874784 AIG	07/15/2013 10/15/2012	281.27 6.00	213.48 X	0.00	67.79 SHORT-TERM	AMERICAN INTL GROUP, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
205887102 CAG	07/15/2013 10/01/2012	367.39 10.00	277.70 X	0.00	89.69 SHORT-TERM	CONAGRA INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
55616P104 M	07/15/2013 02/08/2013	452.33 9.00	358.65 X	0.00	93.68 SHORT-TERM	MACY'S INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a. Date of sale or exchange	Box 2a. Gross proceeds of stocks, bonds, etc.	Box 3. Cost or other basis	Box 5. Wash sale loss disallowed	Gain or (loss)*	Box 2b. Loss not allowed based on amount in Box 2a
Box 1d. Stock or other Symbol	Box 1b. Date of acquisition	Box 1e. Quantity sold	Box 6b. Basis reported to IRS	Box 6a. Noncovered security	Box 1c. Type of gain or loss	Box 8. Description
963320106	07/15/2013	249 35	204 89	0 00	44 46	WHIRLPOOL CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
WHR	01/18/2013	2 00	X		SHORT-TERM	
459200101	07/17/2013	1,358 58	1,432 51	0 00	(73 93)	INTL BUSINESS MACHINES CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
IBM	01/30/2013	7 00	X		SHORT-TERM	
459200101	07/17/2013	4,075 75	4,289 94	0 00	(214 19)	INTL BUSINESS MACHINES CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
IBM	01/30/2013	21 00	X		SHORT-TERM	
151020104	07/19/2013	270 63	156 58	0 00	114 05	CELGENE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
CELG	11/23/2012	2 00	X		SHORT-TERM	
704549104	07/23/2013	2,786 78	3,370 42	0 00	(583 64)	PEABODY ENERGY CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
BTU	03/28/2013	160 00	X		SHORT-TERM	
29266R108	08/05/2013	101 82	78 00	0 00	23 82	ENERGIZER HOLDINGS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
ENR	11/28/2012	1 00	X		SHORT-TERM	
29266R108	08/05/2013	2,036 41	1,602 37	0 00	434 04	ENERGIZER HOLDINGS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
ENR	12/06/2012	20 00	X		SHORT-TERM	
406216101	08/05/2013	967 22	849 70	0 00	117 52	HALLIBURTON COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
HAL	03/28/2013	21 00	X		SHORT-TERM	
406216101	08/05/2013	3,178 02	2,731 03	0 00	446 99	HALLIBURTON COMPANY CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
HAL	03/25/2013	69 00	X		SHORT-TERM	
025932104	08/07/2013	207 73	156 44	0 00	51 29	AMERICAN FINANCIAL GROUP INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
AFG	11/23/2012	4 00	X		SHORT-TERM	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a Date of sale or exchange	Box 2a Gross proceeds of stocks, bonds, etc.	Box 3 Cost or other basis	Box 5 Wash sale loss disallowed	Gain or (loss)*	Box 8 Description	Box 2b Loss not allowed based on amount in Box 2a
Box 1d: Stock or other Symbol	Box 1b Date of acquisition	Box 1c: Quantity sold	Box 6b: Basis reported to IRS	Box 6a: Noncovered security	Box 1e: Type of gain or loss		
34354P105	08/07/2013	1,006 61	826 61	0 00	180 00	FLOWERVE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
FLS	11/19/2012	18 00	X		SHORT-TERM		
34354P105	08/07/2013	1,342 14	1,132 66	0 00	209 48	FLOWERVE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
FLS	12/17/2012	24 00	X		SHORT-TERM		
34354P105	08/07/2013	1,509 91	1,262 26	0 00	247 65	FLOWERVE CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
FLS	11/27/2012	27 00	X		SHORT-TERM		
03073E105	08/14/2013	290 94	206 50	0 00	84 44	AMERISOURCEBERGEN CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
ABC	11/23/2012	5 00	X		SHORT-TERM		
03073E105	08/14/2013	2,036 56	1,403 06	0 00	633 50	AMERISOURCEBERGEN CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
ABC	11/08/2012	35 00	X		SHORT-TERM		
364760108	08/14/2013	1,856 25	1,687 64	0 00	168 61	GAP INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
GPS	06/03/2013	42 00	X		SHORT-TERM		
423452101	08/16/2013	129 68	101 80	0 00	27 88	HELMERICH & PAYNE INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
HP	11/23/2012	2 00	X		SHORT-TERM		
423452101	08/16/2013	1,361 60	1,181 76	0 00	179 84	HELMERICH & PAYNE INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
HP	12/19/2012	21 00	X		SHORT-TERM		
099724106	08/19/2013	1,155 23	934 36	0 00	220 87	BORGWARNER INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
BWA	03/19/2013	12 00	X		SHORT-TERM		
219350105	08/20/2013	2,755 29	2,378 02	0 00	377 27	CORNING INCORPORATED CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
GLW	12/07/2012	190 00	X		SHORT-TERM		



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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a. Date of sale or exchange	Box 2a. Gross proceeds of stocks, bonds, etc	Box 3. Cost or other basis	Box 5. Wash sale loss disallowed	Box 1c. Type of gain or loss	Box 8. Description	Box 2b. Loss not allowed based on amount in Box 2a
Box 1d. Stock or other Symbol	Box 1b. Date of acquisition	Box 1e. Quantity sold	Box 6a. Basis reported to IRS	Box 6a. Noncovered security	gain or loss		
219350105 GLW	08/21/2013 12/07/2012	1,407 81 96 00	1,201 53 X	0 00	SHORT-TERM	CORNING INCORPORATED CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
134429109 CPB	09/04/2013 06/20/2013	3,694 83 86 00	3,731 75 X	0 00	SHORT-TERM	CAMPBELL SOUP CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
354613101 BEN	09/20/2013 11/23/2012	154 90 3 00	132 12 X	0 00	SHORT-TERM	FRANKLIN RESOURCES INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
354613101 BEN	09/20/2013 10/24/2012	1,394 05 27 00	1,158 25 X	0 00	SHORT-TERM	FRANKLIN RESOURCES INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
354613101 BEN	09/20/2013 12/19/2012	2,013 63 39 00	1,689 19 X	0 00	SHORT-TERM	FRANKLIN RESOURCES INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
354613101 BEN	09/20/2013 10/23/2012	2,168 53 42 00	1,802 65 X	0 00	SHORT-TERM	FRANKLIN RESOURCES INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
205887102 CAG	09/25/2013 10/01/2012	2,476 40 81 00	2,249 41 X	0 00	SHORT-TERM	CONAGRA INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
00507K103 ACT	10/01/2013 11/23/2012	288 00 2 00	171 66 X	0 00	SHORT-TERM	ACTAVIS INC CMN Removal of securities resulting from merger	
00507K103 ACT	10/01/2013 10/22/2012	1,152 00 8 00	695 95 X	0 00	SHORT-TERM	ACTAVIS INC CMN Removal of securities resulting from merger	
205887102 CAG	10/01/2013 11/23/2012	211 54 7 00	197 96 X	0 00	SHORT-TERM	CONAGRA INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
205887102 CAG	10/01/2013 12/18/2012	755 51 25 00	753 30 X	0 00	SHORT-TERM	CONAGRA INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a. Date of sale or exchange Box 1b. Date of acquisition	Box 2a. Gross proceeds of stocks, bonds, etc	Box 3. Cost or other basis	Box 5. Wash sale loss disallowed	Box 6a. Noncovered security	Box 1c. Type of gain or loss	Box 8. Description	Box 2b. Loss not allowed based on amount in Box 2a
205887102 CAG	10/01/2013 10/01/2012	1,450 58 48 00	1,332 98	0 00	X	SHORT-TERM	CONAGRA INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
205887102 CAG	10/01/2013 10/09/2012	1,601 68 53 00	1,470 59	0 00	X	SHORT-TERM	CONAGRA INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
963320106 WHR	10/03/2013 01/18/2013	1,699 18 12 00	1,229 36	0 00	X	SHORT-TERM	WHIRLPOOL CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
17275R102 CSCO	10/16/2013 11/23/2012	160 84 7 00	131 74	0 00	X	SHORT-TERM	CISCO SYSTEMS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
17275R102 CSCO	10/16/2013 12/28/2012	252 74 11 00	214 65	0 00	X	SHORT-TERM	CISCO SYSTEMS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
17275R102 CSCO	10/16/2013 12/07/2012	2,136 82 93 00	1,805 42	0 00	X	SHORT-TERM	CISCO SYSTEMS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
655844108 NSC	10/16/2013 04/23/2013	3,487 95 44 00	3,336 24	0 00	X	SHORT-TERM	NORFOLK SOUTHERN CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
26875P101 EOG	10/17/2013 11/08/2012	2,170 64 12 00	1,431 02	0 00	X	SHORT-TERM	EOG RESOURCES INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
364760108 GPS	10/17/2013 06/10/2013	1,329 83 36 00	1,507 54	0 00	X	SHORT-TERM	GAP INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
364760108 GPS	10/17/2013 06/03/2013	1,662 29 45 00	1,808 18	0 00	X	SHORT-TERM	GAP INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
17275R102 CSCO	10/23/2013 12/28/2012	1,213 71 54 00	1,053 73	0 00	X	SHORT-TERM	CISCO SYSTEMS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

Box 1d: Stock or other Symbol	Box 1a: Date of sale or exchange	Box 1b: Date of acquisition	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Box 6a: Noncovered security	Box 7c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
277432100	10/28/2013	10/28/2013	152.00	119.20	0.00	0.00	SHORT-TERM	EASTMAN CHEM CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
EMIN	11/23/2012	11/23/2012	2.00	X					
589333Y105	10/28/2013	10/28/2013	271.83	264.96	0.00	0.00	SHORT-TERM	MERCK & CO, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
MRK	11/23/2012	11/23/2012	6.00	X					
26875P101	10/31/2013	10/31/2013	1,247.63	834.76	0.00	0.00	SHORT-TERM	EOG RESOURCES INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
EOG	11/08/2012	11/08/2012	7.00	X					
55616P104	11/01/2013	11/01/2013	1,517.14	1,315.05	0.00	0.00	SHORT-TERM	MACY'S INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
M	02/08/2013	02/08/2013	33.00	X					
628530107	11/19/2013	11/19/2013	1,842.88	1,385.92	0.00	0.00	SHORT-TERM	MYLAN INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
MYL	06/19/2013	06/19/2013	44.00	X					
099724106	12/03/2013	12/03/2013	1,158.41	856.50	0.00	0.00	SHORT-TERM	BORGWARNER INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS WITH DUE BILL	
BWA	03/19/2013	03/19/2013	11.00	X					
099724106	12/11/2013	12/11/2013	2,437.68	1,790.86	0.00	0.00	SHORT-TERM	BORGWARNER INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS WITH DUE BILL	
BWA	03/19/2013	03/19/2013	23.00	X					
001084102	12/18/2013	12/18/2013	1,863.67	1,884.10	0.00	0.00	SHORT-TERM	AGCO CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
AGCO	08/14/2013	08/14/2013	33.00	X					
44919P508	12/18/2013	12/18/2013	1,182.84	809.47	0.00	0.00	SHORT-TERM	IAC/INTERACTIVECORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
IACI	01/23/2013	01/23/2013	20.00	X					
G0083B108	12/20/2013	12/20/2013	327.57	288.00	0.00	0.00	SHORT-TERM	ACTAVIS PLC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
ACT	10/01/2013	10/01/2013	2.00	X					
00751Y106	12/20/2013	12/20/2013	439.19	408.28	0.00	0.00	SHORT-TERM	ADVANCE AUTO PARTS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
AAP	11/26/2013	11/26/2013	4.00	X					

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a. Date of sale or exchange	Box 2a. Gross proceeds of stocks, bonds, etc.	Box 3. Cost or other basis	Box 5. Wash sale loss disallowed	Box 6a. Noncovered security	Box 7c. Type of gain or (loss)	Box 8. Description	Box 2b. Loss not allowed based on amount in Box 2b
001084102	12/20/2013	289 59	285 47	0 00	0 00	SHORT-TERM	AGCO CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
AGCO	08/14/2013	5 00	X					
037833100	12/20/2013	550 03	470 58	0 00	0 00	SHORT-TERM	APPLE INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
AAPL	09/20/2013	1 00	X					
053611109	12/20/2013	396 96	339 69	0 00	0 00	SHORT-TERM	EVERETT DENNISON CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
AVY	05/03/2013	8 00	X					
057224107	12/20/2013	647 14	578 45	0 00	0 00	SHORT-TERM	BAKER HUGHES INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
BHI	08/05/2013	12 00	X					
14149Y108	12/20/2013	665 78	511 84	0 00	0 00	SHORT-TERM	CARDINAL HEALTH INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
CAH	08/07/2013	10 00	X					
808513105	12/20/2013	538 64	448 46	0 00	0 00	SHORT-TERM	CHARLES SCHWAB CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
SCHW	09/20/2013	21 00	X					
17275R102	12/20/2013	296 65	273 19	0 00	0 00	SHORT-TERM	CISCO SYSTEMS, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
CSCO	12/28/2012	14 00	X					
247361702	12/20/2013	497 42	344 85	0 00	0 00	SHORT-TERM	DELTA AIR LINES, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
DAL	08/14/2013	18 00	X					
260003108	12/20/2013	377 51	352 99	0 00	0 00	SHORT-TERM	DOVER CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
DOV	08/13/2013	4 00	X					
260543103	12/20/2013	793 78	707 82	0 00	0 00	SHORT-TERM	DOW CHEMICAL CO CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
DOW	09/27/2013	18 00	X					

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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

Tax Year Account No Tax ID Number Legal Name
2013 027-97755-2 20-5706189 RICHARD ROTH FOUNDATION

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange	Box 2a: Gross proceeds of stocks, bonds, etc.	Box 3: Cost or other basis	Box 5: Wash sale loss disallowed	Gain or (loss)*	Box 2b: Loss not allowed based on amount in Box 2a
Box 1d: Stock or other Symbol	Box 1b: Date of acquisition	Box 1e: Quantity sold	Box 5b: Basis reported to IRS	Box 6a: Noncovered security	Box 1c: Type of gain or loss	Box 8: Description
343412102	12/20/2013	554 88	531 92	0 00	22 96	FLUOR CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
FLR	12/16/2013	7 00	X		SHORT-TERM	
44919P508	12/20/2013	133 59	80 95	0 00	52 64	IAC/INTERACTIVECORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
IACI	01/23/2013	2 00	X		SHORT-TERM	
452308109	12/20/2013	493 97	470 77	0 00	23 20	ILLINOIS TOOL WORKS CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
ITW	09/24/2013	6 00	X		SHORT-TERM	
55616P104	12/20/2013	474 11	358 65	0 00	115 46	MACY'S INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
M	02/08/2013	9 00	X		SHORT-TERM	
595112103	12/20/2013	875 14	561 07	0 00	314 07	MICRON TECHNOLOGY, INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
MU	06/27/2013	39 00	X		SHORT-TERM	
628530107	12/20/2013	300 64	220 49	0 00	80 15	MYLAN INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
MYL	06/19/2013	7 00	X		SHORT-TERM	
681904108	12/20/2013	474 87	402 42	0 00	72 45	OMNICARE INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
OCR	07/22/2013	8 00	X		SHORT-TERM	
744573106	12/20/2013	507 99	536 24	0 00	(28 25)	PUBLIC-SVC ENTERPRISE GROUP HOLDING CO AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
PEG	10/16/2013	16 00	X		SHORT-TERM	
745867101	12/20/2013	468 74	443 58	0 00	25 16	PULTEGROUP INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
PHM	10/25/2013	25 00	X		SHORT-TERM	
747525103	12/20/2013	436 31	434 01	0 00	2 30	QUALCOMM INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
QCOM	11/19/2013	6 00	X		SHORT-TERM	
7591EP100	12/20/2013	542 63	518 29	0 00	24 34	REGIONS FINANCIAL CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS
RF	06/11/2013	56 00	X		SHORT-TERM	



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PROCEEDS FROM BROKER TRANSACTIONS (Continued)
SUBSTITUTE FORM 1099-B, OMB NO. 1545-0715

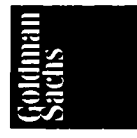
Tax Year **2013** Account No **027-97755-2** Tax ID Number **20-5706189** Legal Name **RICHARD ROTH FOUNDATION**

COVERED SECURITIES TRANSACTIONS: SHORT-TERM (Gross proceeds less commissions and option premiums)

CUSIP number	Box 1a: Date of sale or exchange Box 1b: Date of acquisition	Box 2a: Gross proceeds of stocks, bonds, etc. Box 1c: Quantity sold	Box 3: Cost or other basis reported to IRS	Box 5: Wash sale loss disallowed Box 6a: Noncovered security	Box 1c: Type of gain or loss	Box 8: Description	Box 2b: Loss not allowed based on amount in Box 2a
80004C101	12/20/2013	489 50	369 77	0 00	119 73	SANDISK CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
SNDK	04/18/2013	7 00	X		SHORT-TERM		
84265V105	12/20/2013	383 60	355 19	0 00	28 41	SOUTHERN COPPER CORPORATION CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
SCCO	12/11/2013	14 00	X		SHORT-TERM		
790849103	12/20/2013	555 29	478 92	0 00	76 37	ST JUDE MEDICAL INC CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
STJ	08/08/2013	9 00	X		SHORT-TERM		
92553P201	12/20/2013	509 75	488 81	0 00	20 94	VIACOM INC CMN CLASS B AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
VIAB	12/02/2013	6 00	X		SHORT-TERM		
963320106	12/20/2013	468 83	307 34	0 00	161 49	WHIRLPOOL CORP CMN AVERAGE PRICE IN ACCORD WITH THE CLIENT'S INSTRUCTION CTSY GS PRIVATE MONEY MANAGERS	
WHR	01/18/2013	3 00	X		SHORT-TERM		
ACCOUNT TOTAL (COVERED: SHORT-TERM)		133,843.24	116,157.19	0.00	17,686.05		

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

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
GOLDMAN SACHS #28857	12.	12.	0.
GOLDMAN SACHS #97755	7.	7.	0.
GOLDMAN SACHS #97756	5.	5.	0.
ISHARES S&P GSCI COMMODITY-INDEXED FUND K-1	17.	17.	0.
TOTAL TO PART I, LINE 3	41.	41.	0.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
GOLDMAN SACHS #28857	33,469.	3,469.	30,000.	30,000.	0.
GOLDMAN SACHS #97755	10,153.	42.	10,111.	10,111.	0.
GOLDMAN SACHS #97756	4,253.	0.	4,253.	4,253.	0.
TO PART I, LINE 4	47,875.	3,511.	44,364.	44,364.	0.

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
OTHER PROFESSIONAL FEES	12,401.	12,401.	0.	0.
TO FORM 990-PF, PG 1, LN 16C	12,401.	12,401.	0.	0.

FORM 990-PF TAXES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
STATE TAXES	35.	35.	0.	0.
FEDERAL TAXES	5,614.	5,614.	0.	0.
FOREIGN TAX PAID	866.	866.	0.	0.
TO FORM 990-PF, PG 1, LN 18	6,515.	6,515.	0.	0.

FORM 990-PF OTHER EXPENSES STATEMENT 5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
PORTFOLIO DEDUCTIONS	863.	863.	0.	0.
MISC EXPENSES	100.	100.	0.	0.
TO FORM 990-PF, PG 1, LN 23	963.	963.	0.	0.

FORM 990-PF CORPORATE STOCK STATEMENT 6

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
GS #XXX755-2	368,541.	487,156.
GS #XXX756-0	332,492.	456,823.
GS #XXX757-0	350,836.	395,974.
TOTAL TO FORM 990-PF, PART II, LINE 10B	1,051,869.	1,339,953.

FORM 990-PF CORPORATE BONDS STATEMENT 7

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
MUTUAL FUNDS	709,519.	716,989.
TOTAL TO FORM 990-PF, PART II, LINE 10C	709,519.	716,989.

FORM 990-PF OTHER INVESTMENTS STATEMENT 8

DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
ISHARES S&P GSCI INDEX FUND	COST	0.	0.
TOTAL TO FORM 990-PF, PART II, LINE 13		0.	0.

POWER OF ATTORNEY
NEW YORK STATUTORY SHORT FORM

(a) CAUTION TO THE PRINCIPAL:

Your Power of Attorney is an important document. As the "principal," you give the person whom you choose (your "agent") authority to spend your money and sell or dispose of your property during your lifetime without telling you. You do not lose your authority to act even though you have given your agent similar authority.

When your agent exercises this authority, he or she must act according to any instructions you have provided or, where there are no specific instructions, in your best interest. "Important Information for the Agent" at the end of this document describes your agent's responsibilities.

Your agent can act on your behalf only after signing the Power of Attorney before a notary public.

You can request information from your agent at any time. If you are revoking a prior Power of Attorney, you should provide written notice of the revocation to your prior agent(s) and to any third parties who may have acted upon it, including the financial institutions where your accounts are located.

You can revoke or terminate your Power of Attorney at any time for any reason as long as you are of sound mind. If you are no longer of sound mind, a court can remove an agent for acting improperly.

Your agent cannot make health care decisions for you. You may execute a "Health Care Proxy" to do this.

The law governing Powers of Attorney is contained in the New York General Obligations Law, Article 5, Title 15. This law is available at a law library, or online through the New York State Senate or Assembly websites, www.senate.state.ny.us or www.assembly.state.ny.us.

If there is anything about this document that you do not understand, you should ask a lawyer of your own choosing to explain it to you.

(b) DESIGNATION OF AGENT(S):

I, RICHARD ROTH, as Trustee of the RICHARD ROTH FOUNDATION 532-540 West 22nd Street, Apt. 5C
New York, NY 10011

name and address of principal

hereby appoint:

DAVID J. STOLL 1140 Fifth Avenue, Apt. 7B
New York, New York 10128

name(s) and address(es) of agent(s)

as my agent(s).

If you designate more than one agent above, they must act together unless you initial the statement below.

My agents may act SEPARATELY.

(c) DESIGNATION OF SUCCESSOR AGENT(S): (OPTIONAL)

If any agent designated above is unable or unwilling to serve, I appoint as my successor agent(s):

NONE

name(s) and address(es) of successor agent(s)

Successor agents designated above must act together unless you initial the statement below.

My successor agents may act SEPARATELY.

You may provide for specific succession rules in this section. Insert specific succession provisions here:

(d) This POWER OF ATTORNEY shall not be affected by my subsequent incapacity unless I have stated otherwise below, under "Modifications".

(e) This POWER OF ATTORNEY DOES NOT REVOKE any Powers of Attorney previously executed by me unless I have stated otherwise below, under "Modifications."

If you do NOT intend to revoke your prior Powers of Attorney, and if you have granted the same authority in this Power of Attorney as you granted to another agent in a prior Power of Attorney, each agent can act separately unless you indicate under "Modifications" that the agents

with the same authority are to act together.

(f) GRANT OF AUTHORITY:

To grant your agent some or all of the authority below, either

- (1) Initial the bracket at each authority you grant, or
- (2) Write or type the letters for each authority you grant on the blank line at (P), and initial the bracket at (P). If you initial (P), you do not need to initial the other lines.

I grant authority to my agent(s) with respect to the following subjects as defined in sections 5-1502A through 5-1502N of the New York General Obligations Law:

- (A) real estate transactions;
- (B) chattel and goods transactions;
- (C) bond, share, and commodity transactions;
- (D) banking transactions;
- (E) business operating transactions;
- (F) insurance transactions;
- (G) estate transactions;
- (H) claims and litigation;
- (I) personal and family maintenance. If you grant your agent this authority, it will allow the agent to make gifts that you customarily have made to individuals, including the agent, and charitable organizations. The total amount of all such gifts in any one calendar year cannot exceed five hundred dollars;
- (J) benefits from governmental programs or civil or military service;
- (K) health care billing and payment matters; records, reports, and statements;
- (L) retirement benefit transactions;
- (M) tax matters;
- (N) all other matters;
- (O) full and unqualified authority to my agent(s) to delegate any or all of the foregoing powers to any person or persons whom my agent(s) select;
- (P) EACH of the matters identified by the following letters: A, B, C, D, E, F, G, H, I, J, K, L, M, N and O.

You need not initial the other lines if you initial line (P).

(g) MODIFICATIONS: (OPTIONAL)

In this section, you may make additional provisions, including language to limit or supplement authority granted to your agent. However, you cannot use this Modifications section to grant your agent authority to make gifts or changes to interests in your property. If you wish to grant your agent such authority, you MUST complete the Statutory Gifts Rider.

This Power of Attorney revokes any powers of attorney (as defined in section 5-1501(2)(j) of New York's General Obligations Law) executed by me prior to the date of execution of this Power of Attorney.

Notwithstanding any provision of this Power of Attorney, the New York General Obligations Law or any other provision of law to the contrary, no agent shall have any authority with respect to my Foreign Accounts or Assets (as hereinafter defined) unless he or she delivers to me at my place of residence a written and acknowledged statement making specific reference to this Modifications section that he or she accepts his or her authority over my Foreign Accounts or Assets. Upon delivery of such notice, such agent shall have all powers and authority granted to him or her in this Power of Attorney (including with respect to my Foreign Accounts and Assets) without giving effect to this paragraph. For purposes of this paragraph, the term "my Foreign Accounts and Assets" means (i) any bank, securities or other financial account in a foreign country within the meaning of 31 CFR 1010.350(c) and 31 CFR 1010.350(d), (ii) any specified foreign financial asset within the meaning of section 6038D(b) of the Internal Revenue Code of 1986, as amended (the "Code"), and/or any regulations promulgated thereunder or (iii) any other foreign account or asset that may subject my agent(s) to federal reporting requirements similar to those imposed by 31 CFR 1010.350(a) or section 6038D(a) of the Code.

(h) CERTAIN GIFT TRANSACTIONS: STATUTORY GIFTS RIDER (OPTIONAL)

In order to authorize your agent to make gifts in excess of an annual total of \$500 for all gifts described in (I) of the grant of authority section of this document (under personal and family maintenance), you must initial the statement below and execute a Statutory Gifts Rider at the same time as this instrument. Initialing the statement below by itself does not authorize your agent to make gifts. The preparation of the Statutory Gifts Rider should be supervised by a lawyer.

(SGR) I grant my agent authority to make gifts in accordance with the terms and conditions of the Statutory Gifts Rider that supplements this Statutory Power of Attorney.

(i) DESIGNATION OF MONITOR(S): (OPTIONAL)

If you wish to appoint monitor(s), initial and fill in the section below:

I wish to designate _____, whose address(es) is (are) _____, as monitor(s). Upon the request of the monitor(s), my agent(s) must provide the monitor(s) with a copy of the power of attorney and a record of all transactions done or made on my behalf. Third parties holding records of such transactions shall provide the records to the monitor(s) upon request.

(n) IMPORTANT INFORMATION FOR THE AGENT:

When you accept the authority granted under this Power of Attorney, a special legal relationship is created between you and the principal. This relationship imposes on you legal responsibilities that continue until you resign or the Power of Attorney is terminated or revoked. You must:

- (1) act according to any instructions from the principal, or, where there are no instructions, in the principal's best interest;
- (2) avoid conflicts that would impair your ability to act in the principal's best interest;
- (3) keep the principal's property separate and distinct from any assets you own or control, unless otherwise permitted by law;
- (4) keep a record of all receipts, payments, and transactions conducted for the principal; and
- (5) disclose your identity as an agent whenever you act for the principal by writing or printing the principal's name and signing your own name as "agent" in either of the following manners: (Principal's Name) by (Your Signature) as Agent, or (your signature) as Agent for (Principal's Name).

You may not use the principal's assets to benefit yourself or anyone else or make gifts to yourself or anyone else unless the principal has specifically granted you that authority in this document, which is either a Statutory Gifts Rider attached to a Statutory Short Form Power of Attorney or a Non-Statutory Power of Attorney. If you have that authority, you must act according to any instructions of the principal or, where there are no such instructions, in the principal's best interest. You may resign by giving written notice to the principal and to any co-agent, successor agent, monitor if one has been named in this document, or the principal's guardian if one has been appointed. If there is anything about this document or your responsibilities that you do not understand, you should seek legal advice.

Liability of agent:

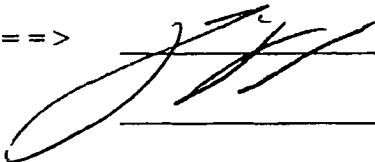
The meaning of the authority given to you is defined in New York's General Obligations Law, Article 5, Title 15. If it is found that you have violated the law or acted outside the authority granted to you in the Power of Attorney, you may be liable under the law for your violation.

(o) AGENT'S SIGNATURE AND ACKNOWLEDGMENT OF APPOINTMENT:

It is not required that the principal and the agent(s) sign at the same time, nor that multiple agents sign at the same time.

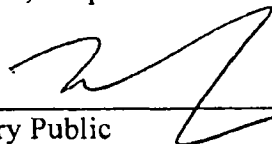
I/we, David J. Stoll, have read the foregoing Power of Attorney. I am/we are the person(s) identified therein as agent for the principal named therein.

I/we acknowledge my/our legal responsibilities.

Agent(s) sign(s) here: ==>  4/28/14

STATE OF)
) ss:
COUNTY OF)

On the 28th day of April, in the year 2014, before me, the undersigned, a Notary Public in and for said state, personally appeared DAVID J. STOLL, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his capacity, and that by his signature on the instrument, the person or the entity upon behalf of which the person acted, executed the instrument.


Notary Public

BRADLEY ALLEN DILLON
Notary Public State of New York
No. 0216263009
Qualified in New York
Commission Expires June 4, 2016