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Form

990-PF

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052

2013

Open to Public Inspection

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

Name of foundation THE RM LIU FOUNDATION		A Employer identification number 20-8643551	
Number and street (or P O box number if mail is not delivered to street address) 500 W 190TH STREET 6TH FLOOR		B Telephone number (see instructions) (310) 767-7990	
City or town, state or province, country, and ZIP or foreign postal code GARDENA, CA 90248		C If exemption application is pending, check here <input type="checkbox"/>	
G Check all that apply <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>	
H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) <input type="checkbox"/> \$ 3,292,819	J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>	

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)	1,822,000			
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities.	65,167	65,167		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	95,800			
	b Gross sales price for all assets on line 6a 1,544,289				
	7 Capital gain net income (from Part IV , line 2) . . .		95,800		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
Operating and Administrative Expenses	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)				
	12 Total. Add lines 1 through 11	1,982,967	160,967		
	13 Compensation of officers, directors, trustees, etc	0	0		0
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)	5,743	2,871		2,872
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	1,127	796		0
	19 Depreciation (attach schedule) and depletion . . .				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	12,339	12,327		0
	24 Total operating and administrative expenses. Add lines 13 through 23	19,209	15,994		2,872
	25 Contributions, gifts, grants paid	2,694,950			2,694,950
	26 Total expenses and disbursements. Add lines 24 and 25	2,714,159	15,994		2,697,822
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-731,192			
	b Net investment income (if negative, enter -0-)		144,973		
	c Adjusted net income (if negative, enter -0-)				

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	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	1,804,700	631,726	631,726
	3	Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4	Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)			
	c	Investments—corporate bonds (attach schedule).			
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	1,941,055	2,384,107	2,661,093
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
15	Other assets (describe ▶ _____)				
16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	3,745,755	3,015,833	3,292,819	
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ _____)			
	23	Total liabilities (add lines 17 through 22)	0	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	3,745,755	3,015,833	
	30	Total net assets or fund balances (see page 17 of the instructions)	3,745,755	3,015,833	
31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	3,745,755	3,015,833		

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	3,745,755
2	Enter amount from Part I, line 27a	2	-731,192
3	Other increases not included in line 2 (itemize) ▶ _____	3	1,270
4	Add lines 1, 2, and 3	4	3,015,833
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	3,015,833

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)
1 a	U S TRUST - SEE ATTACHED	P		
b	U S TRUST - SEE ATTACHED	P		
c	CAPITAL GAINS DIVIDENDS	P		
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 532,115		551,941	-19,826
b 958,796		896,548	62,248
c 53,378			53,378
d			
e			

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			-19,826
b			62,248
c			53,378
d			
e			

2 Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	95,800
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8		3	

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2012	221,747	2,160,304	0 102646
2011	1,643,235	1,873,998	0 876861
2010	1,514,738	1,603,084	0 944890
2009	267,997	997,967	0 268543
2008	444,842	1,229,296	0 361867

2 Total of line 1, column (d).	2	2 554807
3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0 510961
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	2,744,533
5 Multiply line 4 by line 3.	5	1,402,349
6 Enter 1% of net investment income (1% of Part I, line 27b).	6	1,450
7 Add lines 5 and 6.	7	1,403,799
8 Enter qualifying distributions from Part XII, line 4.	8	2,697,822

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

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)		
1a Exempt operating foundations described in section 4940(d)(2), check here <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 checked="" type="checkbox"/> and enter 1% of Part I, line 27b	1	1,450
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)		
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	0
3 Add lines 1 and 2.	3	1,450
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	1,450
6 Credits/Payments		
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a	3,159
b Exempt foreign organizations—tax withheld at source	6b	
c Tax paid with application for extension of time to file (Form 8868)	6c	3,000
d Backup withholding erroneously withheld	6d	
7 Total credits and payments. Add lines 6a through 6d.	7	6,159
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	4,709
11 Enter the amount of line 10 to be Credited to 2014 estimated tax <input checked="" type="checkbox"/> 4,709 Refunded <input checked="" type="checkbox"/>	11	0

Part VII-A Statements Regarding Activities			
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a	Yes	No
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? <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>	1b		No
c Did the foundation file Form 1120-POL for this year?.	1c		No
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation <input checked="" type="checkbox"/> \$ 0 (2) On foundation managers <input checked="" 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 checked="" 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>	2		No
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i>	3		No
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?.	4a		No
b If "Yes," has it filed a tax return on Form 990-T for this year?.	4b		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i>	5		No
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes	
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i>	7	Yes	
8a Enter the states to which the foundation reports or with which it is registered (see instructions): <input checked="" 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>	8b	Yes	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV</i>	9		No
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i>	10		No

Part VII-A

Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
Website address ▶N/A				
14	The books are in care of ▶JUSTIN R LIU Telephone no ▶(310) 767-7990 Located at ▶500 W 190TH STREET 6TH FLOOR GARDENA CA ZIP +4 ▶90248			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here ▶ <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year ▶	15		
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country ▶				

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

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

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required (continued)

5a

During the year did the foundation pay or incur any amount to

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions).

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No

b

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

5b

Organizations relying on a current notice regarding disaster assistance check here.

☒

c

If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

☐ Yes ☐ No

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

6a

Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

b

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

6b

No

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

7a

At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

b

If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?

7b

Part VIII

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
JUSTIN R LIU 500 W 190TH STREET 6TH FLOOR GARDENA, CA 90248	PRESIDENT 1 00	0	0	0
EMILY F LIU 500 W 190TH STREET 6TH FLOOR GARDENA, CA 90248	SECRETARY 1 00	0	0	0
MIMI W LIU 500 W 190TH STREET 6TH FLOOR GARDENA, CA 90248	CFO 1 00	0	0	0
ROBERT W LIU 500 W 190TH STREET 6TH FLOOR GARDENA, CA 90248	VICE-PRESIDENT 1 00	0	0	0

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

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

Total number of other employees paid over \$50,000.

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 (see instructions). If none, enter "NONE".		
(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over \$50,000 for professional services.		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	
2	
3	
4	

Part IX-B

Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1	
2	
All other program-related investments. See page 24 of the instructions.	
3	
Total. Add lines 1 through 3.	0

Part X

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities.	1a	2,541,954
b	Average of monthly cash balances.	1b	244,374
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	2,786,328
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	2,786,328
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	41,795
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	2,744,533
6	Minimum investment return. Enter 5% of line 5.	6	137,227

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	137,227
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	1,450
b	Income tax for 2013 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	1,450
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	135,777
4	Recoveries of amounts treated as qualifying distributions.	4	0
5	Add lines 3 and 4.	5	135,777
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	135,777

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	2,697,822
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	2,697,822
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions).	5	1,450
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	2,696,372
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				135,777
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only.			0	
b Total for prior years 20____, 20____, 20____		0		
3 Excess distributions carryover, if any, to 2013				
a From 2008.	378,734			
b From 2009.	218,415			
c From 2010.	1,436,320			
d From 2011.	1,552,179			
e From 2012.	115,281			
f Total of lines 3a through e.	3,700,929			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 2,697,822				
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.				135,777
e Remaining amount distributed out of corpus	2,562,045			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).)	0			0
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	6,262,974			
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 instructions			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) (see instructions).	0			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions). . .	378,734			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	5,884,240			
10 Analysis of line 9				
a Excess from 2009. . . .	218,415			
b Excess from 2010. . . .	1,436,320			
c Excess from 2011. . . .	1,552,179			
d Excess from 2012. . . .	115,281			
e Excess from 2013. . . .	2,562,045			

Part XV

Supplementary Information (continued)

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

Recipient	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
Name and address (home or business)				
a Paid during the year See Additional Data Table				
Total			3a	2,694,950
b Approved for future payment				
Total			3b	0

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2013)

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 (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?

a

Transfers from the reporting foundation to a noncharitable exempt organization of

1

Cash.

1a(1)

No

2

Other assets.

1a(2)

No

b

Other transactions

1

Sales of assets to a noncharitable exempt organization.

1b(1)

No

2

Purchases of assets from a noncharitable exempt organization.

1b(2)

No

3

Rental of facilities, equipment, or other assets.

1b(3)

No

4

Reimbursement arrangements.

1b(4)

No

5

Loans or loan guarantees.

1b(5)

No

6

Performance of services or membership or fundraising solicitations.

1b(6)

No

c

Sharing of facilities, equipment, mailing lists, other assets, or paid employees.

1c

No

d

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

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

2a

Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527?

☐

Yes

☒

No

1

If "Yes," complete the following schedule

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

Sign Here

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

Signature of officer or trustee

2014-11-11

Date

Title

May the IRS discuss this return with the preparer shown below (see instr.)?

☒

Yes


☐

No

Paid Preparer Use Only

Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed <input type="checkbox"/>	PTIN
Firm's name	Firm's EIN			P00227737
Firm's address	Phone no (310) 843-9700			

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

Recipient	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
Name and address (home or business)				
a <i>Paid during the year</i>				
MCFARLAND FAMILY FOUNDATION 44060 LAKESIDE DRIVE INDIAN WELLS,CA 92210	NONE	PC	CHARITY	500
KUNG SHIAU CULTURAL FOUNDATION KSAA 245 FISCHER AVENUE SUITE C6 COSTA MESA,CA 92626	NONE	PC	CHARITY	1,000
NORRIS CENTER FOR THE PERFORMING ARTS 27570 CROSSFIELD DRIVE ROLLING HILLS ESTATES,CA 90274	NONE	PC	CHARITY	2,000
INTERNATIONAL MEDICAL CORPS 12400 WILSHIRE BLVD SUITE 1500 LOS ANGELES,CA 90025	NONE	PC	CHARITY	3,000
AMERICAN-EAST ASIA CULTURE & EDUCATION FOUNDATION 3788 OAKDALE STREET PASADENA,CA 91107	NONE	PC	CHARITY	5,000
FU JEN UNIVERSITY FOUNDATION 79 MONTEZUMA STREET SAN FRANCISCO,CA 94110	NONE	PC	CHARITY	21,200
PACIFIC COUNCIL 801 S FIGUEROA STREET SUITE 1130 LOS ANGELES,CA 90017	NONE	PC	CHARITY	162,250
UNIVERSITY OF NOTRE DAME 1100 GRACE HALL NOTRE DAME,IN 46556	NONE	PC	CHARITY	2,500,000
Total  3a				2,694,950

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

Schedule of Contributors

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

OMB No 1545-0047

2013

Name of the organization THE RM LIU FOUNDATION	Employer identification number 20-8643551
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Organization type (check one)

Filers of:	Section:
Form 990 or 990-EZ	<input type="checkbox"/> 501(c)() (enter number) organization
	<input type="checkbox"/> 4947(a)(1) nonexempt charitable trust not treated as a private foundation
	<input type="checkbox"/> 527 political organization
Form 990-PF	<input checked="" type="checkbox"/> 501(c)(3) exempt private foundation
	<input type="checkbox"/> 4947(a)(1) nonexempt charitable trust treated as a private foundation
	<input type="checkbox"/> 501(c)(3) taxable private foundation

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

General Rule

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

Special Rules

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33¹/₃% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of **(1)** \$5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not total more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions of \$5,000 or more during the year. ▶ \$ _____

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

Part I Contributors (see instructions) Use duplicate copies of Part I if additional space is needed			
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	ROBERT AND MIMI LIU 500 W 190TH STREET 6TH FLOOR GARDENA, CA 90248	\$ 500,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
2	TIRECO INC 500 W 190TH STREET 6TH FLOOR GARDENA, CA 90248	\$ 1,250,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
3	RML FUNDING LP 500 W 190TH STREET 6TH FLOOR GARDENA, CA 90248	\$ 72,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)

Name of organization THE RM LIU FOUNDATION	Employer identification number 20-8643551
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Part II	Noncash Property (see instructions) Use duplicate copies of Part II if additional space is needed		
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____ _____	\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____ _____	\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____ _____	\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____ _____	\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____ _____	\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____ _____	\$ _____	_____

Name of organization THE RM LIU FOUNDATION	Employer identification number 20-8643551
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Part III

Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than \$1,000 for the year. Complete columns (a) through (e) and the following line entry

For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc , contributions of **\$1,000 or less** for the year (Enter this information once See instructions) ▶ \$

Use duplicate copies of Part III if additional space is needed

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
—	<div></div> <div></div> <div></div>	<div></div> <div></div> <div></div>	<div></div> <div></div> <div></div>
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4		Relationship of transferor to transferee
<div></div> <div></div>		<div></div> <div></div> <div></div>	

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
—	<div></div> <div></div> <div></div>	<div></div> <div></div> <div></div>	<div></div> <div></div> <div></div>
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4		Relationship of transferor to transferee
<div></div> <div></div>		<div></div> <div></div> <div></div>	

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
—	<div></div> <div></div> <div></div>	<div></div> <div></div> <div></div>	<div></div> <div></div> <div></div>
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4		Relationship of transferor to transferee
<div></div> <div></div>		<div></div> <div></div> <div></div>	

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
—	<div></div> <div></div> <div></div>	<div></div> <div></div> <div></div>	<div></div> <div></div> <div></div>
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4		Relationship of transferor to transferee
<div></div> <div></div>		<div></div> <div></div> <div></div>	

TY 2013 Accounting Fees Schedule

Name: THE RM LIU FOUNDATION

EIN: 20-8643551

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING FEES	5,743	2,871		2,872

TY 2013 Investments - Other Schedule

Name: THE RM LIU FOUNDATION

EIN: 20-8643551

Category / Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
U.S. TRUST	AT COST	2,384,107	2,661,093

TY 2013 Other Expenses Schedule**Name:** THE RM LIU FOUNDATION**EIN:** 20-8643551

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT FEES	12,327	12,327		0
BANK CHARGES	12	0		0

TY 2013 Other Increases Schedule**Name:** THE RM LIU FOUNDATION**EIN:** 20-8643551

Description	Amount
NONDIVIDEND DISTRIBUTIONS FROM U.S. TRUST	980
PRIOR PERIOD BOOK VS TAX ADJUSTMENT	290

TY 2013 Taxes Schedule**Name:** THE RM LIU FOUNDATION**EIN:** 20-8643551

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAX PAID	796	796		0
CITY OF CARSON	171	0		0
ATTORNEY GENERAL REGISTRY FEE	150	0		0
CALIFORNIA FTB FILING FEE	10	0		0

Proceeds From Broker Transactions

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

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

Short term transactions

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

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
BIOGEN IDEC INC	BIIB	09062X103	4	04/17/12	01/03/13	\$587.71	\$514.21	\$73.50
ARBITRAGE FUND	ARBN X	03875R205	1915 71	07/20/12	02/14/13	\$24,444.45	\$25,000.00	\$-555.55
ALEXION PHARMACEUTICALS INC	ALXN	015351109	6	11/27/12	02/20/13	\$503.20	\$563.27	\$-60.07
LINKEDIN CORP	LNKD	53578A108	4	10/11/12	03/01/13	\$679.84	\$453.21	\$226.63
EBAY INC	EBAY	278642103	12	08/29/12	03/04/13	\$656.09	\$570.99	\$85.10
EBAY INC	EBAY	278642103	1	10/11/12	03/04/13	\$54.67	\$47.27	\$7.40
EBAY INC	EBAY	278642103	20	10/11/12	03/13/13	\$1,022.20	\$945.40	\$76.80
VISA INC CL A	V	92826C839	4	12/18/12	04/05/13	\$655.80	\$602.31	\$53.49
CHIPOTLE MEXICAN GRILL INC CL	CMG	169656105	2	09/17/12	04/23/13	\$727.01	\$690.81	\$36.20
TERADATA CORP DEL	TDC	88076W103	13	07/06/12	05/03/13	\$650.32	\$848.59	\$-198.27
TERADATA CORP DEL	TDC	88076W103	19	10/25/12	05/03/13	\$950.47	\$1,283.47	\$-333.00
TERADATA CORP DEL	TDC	88076W103	17	05/24/12	05/03/13	\$850.42	\$1,186.94	\$-336.52
TERADATA CORP DEL	TDC	88076W103	12	05/25/12	05/03/13	\$600.30	\$841.73	\$-241.43
LULULEMON ATHLETICA INC	LULU	550021109	6	03/21/13	05/15/13	\$483.27	\$388.04	\$95.23
SCHWAB CHARLES CORP NEW	SCHW	808513105	2	05/15/13	05/22/13	\$38.35	\$37.74	\$0.59
FASTENAL CO	FAST	311900104	1	10/11/12	05/22/13	\$51.19	\$46.08	\$5.11
APPLE COMPUTER INC	AAPL	037833100	1	10/26/12	05/22/13	\$441.02	\$608.84	\$-167.82
CELGENE CORP COM	CELG	151020104	1	04/15/13	05/22/13	\$124.01	\$121.14	\$2.87

Short term transactions

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

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
MICHAEL KORS HLDGS LTD	KORS	G60754101	1	05/10/13	05/22/13	\$61.05	\$60.23	\$0.82
COLUMBIA FUNDS SER TR II MASS	CUGZ X	19766J607	26501.77	07/05/12	06/07/13	\$147,084.81	\$150,000.00	\$-2,915.19
CERNER CORP	CERN	156782104	10	12/19/12	06/20/13	\$942.72	\$794.39	\$148.33
EBAY INC	EBAY	278642103	2	10/11/12	07/23/13	\$103.15	\$94.54	\$8.61
EBAY INC	EBAY	278642103	20	07/31/12	07/23/13	\$1,031.49	\$891.66	\$139.83
PIMCO FDS PAC INVT MGMT SER	PAUI X	72200Q182	4492.36	01/28/13	07/31/13	\$46,181.49	\$50,000.00	\$-3,818.51
PIMCO FDS PAC INVT MGMT SER	PAUI X	72200Q182	4533.09	04/22/13	07/31/13	\$46,600.18	\$50,000.00	\$-3,399.82
PIMCO FDS PAC INVT MGMT SER	PAUI X	72200Q182	4528.99	03/18/13	07/31/13	\$46,557.98	\$50,000.00	\$-3,442.02
ISHARES TR MSCI EMERGING MKTS	EEM	464287234	570	02/14/13	08/02/13	\$22,705.55	\$25,151.25	\$-2,445.70
ISHARES TR MSCI EMERGING MKTS	EEM	464287234	585	03/18/13	08/02/13	\$23,303.07	\$24,817.17	\$-1,514.10
ARTIO GLOBAL HIGH INCOME FUND	JHYI X	04315J860	4985.05	05/21/13	08/06/13	\$50,000.00	\$51,545.36	\$-1,545.36
COLUMBIA FDS SER TR I STRATEGI	LSIZ X	19765L694	8169.94	03/18/13	08/07/13	\$50,000.00	\$51,797.39	\$-1,797.39
MICHAEL KORS HLDGS LTD	KORS	G60754101	10	07/23/13	08/29/13	\$732.10	\$638.79	\$93.31
AFFILIATED MANAGERS GROUP	AMG	008252108	5	05/13/13	08/29/13	\$874.20	\$810.51	\$63.69
APPLE COMPUTER INC	AAPL	037833100	1	10/26/12	09/11/13	\$468.64	\$608.84	\$-140.20
FEDERATED EQUITY FDS STRATEGIC	SVAI X	314172560	6944.44	12/03/12	10/01/13	\$38,750.00	\$35,000.00	\$3,750.00
FASTENAL CO	FAST	311900104	15	10/11/12	10/10/13	\$719.32	\$691.16	\$28.16
FASTENAL CO	FAST	311900104	21	11/27/12	10/10/13	\$1,007.04	\$859.39	\$147.65
CUMMINS ENGINE INC	CEI	231021106	1	02/05/13	10/29/13	\$122.97	\$117.49	\$5.48
CITRIX SYS INC	CTXS	177376100	16	11/27/12	10/29/13	\$916.98	\$970.30	\$-53.32
CAMERON INTL CORP	CAM	13342B105	9	06/07/13	10/31/13	\$495.74	\$562.38	\$-66.64
CAMERON INTL CORP	CAM	13342B105	9	06/10/13	10/31/13	\$495.74	\$560.69	\$-64.95
HERTZ GLOBAL HLDGS INC	HTZ	42805T105	60	06/10/13	11/05/13	\$1,287.48	\$1,567.76	\$-280.28
HERTZ GLOBAL HLDGS INC	HTZ	42805T105	59	06/11/13	11/05/13	\$1,266.01	\$1,528.87	\$-262.86
HERTZ GLOBAL HLDGS INC	HTZ	42805T105	35	09/27/13	11/05/13	\$751.03	\$765.79	\$-14.76
CATAMARAN CORP	CTRX	148887102	13	07/11/13	12/12/13	\$568.77	\$625.04	\$-56.27
FMC TECHNOLOGIES INC	FTI	30249U101	86	10/31/13	12/12/13	\$4,380.11	\$4,387.42	\$-7.31
TWENTY-FIRST CENTY FOX INC	FOXA	90130A101	101	10/24/13	12/12/13	\$3,307.83	\$3,545.63	\$-237.80

Short term transactions

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

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
ADOBE SYSTEM INC	ADBE	00724F101	64	12/03/13	12/12/13	\$3,460.60	\$3,620.29	\$-159.69
CATAMARAN CORP	CTRX	148887102	15	05/03/13	12/12/13	\$656.28	\$796.93	\$-140.65
CATAMARAN CORP	CTRX	148887102	15	10/10/13	12/12/13	\$656.28	\$725.51	\$-69.23
CATAMARAN CORP	CTRX	148887102	14	07/10/13	12/12/13	\$612.53	\$662.38	\$-49.85
CATAMARAN CORP	CTRX	148887102	57	01/08/13	12/12/13	\$2,493.87	\$2,993.44	\$-499.57
Total short term gain/loss from sales:						\$532,115.31	\$551,940.64	\$-19,825.33

Long term transactions

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

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
UNION PACIFIC CORP	UNP	907818108	6	12/19/11	01/03/13	\$770.84	\$596.27	\$174.57
UNION PACIFIC CORP	UNP	907818108	13	12/31/08	01/03/13	\$1,670.16	\$622.57	\$1,047.59
EXPRESS SCRIPTS HLDG CO	ESRX	30219G108	36	02/05/10	01/03/13	\$1,965.88	\$1,524.29	\$441.59
EXPRESS SCRIPTS HLDG CO	ESRX	30219G108	25	02/05/10	01/04/13	\$1,373.90	\$1,058.53	\$315.37
UNION PACIFIC CORP	UNP	907818108	22	03/26/09	01/22/13	\$2,937.35	\$948.28	\$1,989.07
PIMCO FDS PAC INVT MGMT SER AL	PAAI X	722005626	4118.62	01/13/11	01/28/13	\$52,388.80	\$50,000.00	\$2,388.80
PIMCO FDS PAC INVT MGMT SER AL	PAAI X	722005626	179.1	09/14/10	01/28/13	\$2,278.15	\$2,229.80	\$48.35
PERRIGO CO	PRGO	714290103	34	06/08/10	02/05/13	\$3,640.53	\$1,945.81	\$1,694.72
VANGUARD INTL EQUITY INDEX FD	VWO	922042858	575	04/15/10	02/14/13	\$25,530.05	\$25,173.50	\$356.55
VANGUARD INTL EQUITY INDEX FD	VWO	922042858	60	01/13/11	02/14/13	\$2,664.00	\$2,909.10	\$-245.10
ARBITRAGE FUND	ARBX	03875R205	1887.78	01/10/12	02/14/13	\$24,088.10	\$24,729.94	\$-641.84
ALEXION PHARMACEUTICALS INC	ALXN	015351109	21	12/17/10	02/20/13	\$1,761.18	\$867.31	\$893.87
AMAZON COM INC	AMZN	023135106	1	02/03/12	02/26/13	\$258.68	\$184.33	\$74.35
ISHARES TR GOLDMAN SACHS CORP	LQD	464287242	925	01/04/12	03/14/13	\$110,099.54	\$105,278.79	\$4,820.75
CAMERON INTL CORP	CAM	13342B105	16	10/14/10	03/15/13	\$1,067.69	\$691.03	\$376.66
CAMERON INTL CORP	CAM	13342B105	10	01/12/11	03/15/13	\$667.31	\$517.32	\$149.99
CATERPILLAR INC	CAT	149123101	8	10/27/11	04/03/13	\$674.11	\$769.99	\$-95.88

Long term transactions

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

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
CATERPILLAR INC	CAT	149123101	8	12/19/11	04/03/13	\$674.10	\$707.82	\$-33.72
CATERPILLAR INC	CAT	149123101	25	03/25/11	04/03/13	\$2,106.59	\$2,729.71	\$-623.12
VERTEX PHARMACEUTICALS INC	VRTX	92532F100	10	03/15/12	04/19/13	\$840.74	\$428.42	\$412.32
VERTEX PHARMACEUTICALS INC	VRTX	92532F100	4	03/16/12	04/19/13	\$336.29	\$171.01	\$165.28
PIMCO GLOBAL MULTI-ASSET FUND	PGAI X	72201P100	2991.55	03/07/11	04/22/13	\$34,253.21	\$35,748.98	\$-1,495.77
PIMCO GLOBAL MULTI-ASSET FUND	PGAI X	72201P100	1679.26	06/20/11	04/22/13	\$19,227.54	\$20,000.00	\$-772.46
CHIPOTLE MEXICAN GRILL INC CL	CMG	169656105	1	02/04/11	04/23/13	\$363.50	\$246.97	\$116.53
COGNIZANT TECHNOLOGY SOLUTION CTSH	CTSH	192446102	24	12/31/08	04/24/13	\$1,484.57	\$431.28	\$1,053.29
VERTEX PHARMACEUTICALS INC	VRTX	92532F100	16	03/16/12	04/29/13	\$1,258.64	\$684.04	\$574.60
COGNIZANT TECHNOLOGY SOLUTION CTSH	CTSH	192446102	48	12/31/08	05/15/13	\$3,004.36	\$862.56	\$2,141.80
LULULEMON ATHLETICA INC	LULU	550021109	5	06/08/11	05/15/13	\$402.73	\$213.52	\$189.21
VERTEX PHARMACEUTICALS INC	VRTX	92532F100	19	03/16/12	05/20/13	\$1,472.01	\$812.29	\$659.72
SCHLUMBERGER LTD	SLB	806857108	4	12/31/08	05/20/13	\$303.62	\$170.16	\$133.46
SCHLUMBERGER LTD	SLB	806857108	7	03/07/11	05/20/13	\$531.33	\$631.78	\$-100.45
ISHARES INC MSCI CDA INDEX FD	EWC	464286509	185	06/04/10	05/21/13	\$5,250.50	\$4,841.45	\$409.05
ISHARES INC MSCI CDA INDEX FD	EWC	464286509	580	05/18/10	05/21/13	\$16,461.01	\$15,526.60	\$934.41
PERMANENT PORT FD INC PERMANEN PRPF X		714199106	1077.24	03/07/11	05/21/13	\$51,416.67	\$50,651.82	\$764.85
QUALCOMM INC	QCOM	747525103	1	12/31/08	05/22/13	\$65.39	\$36.13	\$29.26
BIOGEN IDEC INC	BIIB	09062X103	1	08/29/11	05/22/13	\$233.18	\$93.60	\$139.58
EMC CORPORATION	EMC	268648102	1	05/12/11	05/22/13	\$23.83	\$27.47	\$-3.64
STARBUCKS CORP	SBUX	855244109	1	04/19/12	05/22/13	\$64.31	\$58.77	\$5.54
BIOGEN IDEC INC	BIIB	09062X103	3	08/29/11	06/04/13	\$662.58	\$280.81	\$381.77
ISHARES INC MSCI AUSTRALIA IND	EWA	464286103	675	05/18/10	06/07/13	\$16,076.46	\$13,756.50	\$2,319.96
ISHARES INC MSCI AUSTRALIA IND	EWA	464286103	250	06/04/10	06/07/13	\$5,954.25	\$4,815.00	\$1,139.25
SCHLUMBERGER LTD	SLB	806857108	24	02/11/09	06/07/13	\$1,774.82	\$1,018.08	\$756.74
SCHLUMBERGER LTD	SLB	806857108	33	12/31/08	06/07/13	\$2,440.37	\$1,403.82	\$1,036.55
ISHARES TR GOLDMAN SACHS CORP	LQD	464287242	125	01/04/12	06/12/13	\$14,441.62	\$14,226.86	\$214.76
ISHARES TR GOLDMAN SACHS CORP	LQD	464287242	175	08/31/11	06/12/13	\$20,218.27	\$19,684.88	\$533.39

Long term transactions

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

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
ISHARES TR GOLDMAN SACHS CORP	LQD	464287242	235	02/14/11	06/12/13	\$27,150.25	\$25,314.37	\$1,835.88
ISHARES TR GOLDMAN SACHS CORP	LQD	464287242	505	01/13/11	06/12/13	\$58,344.16	\$55,011.37	\$3,332.79
ISHARES TR GOLDMAN SACHS CORP	LQD	464287242	230	08/05/10	06/12/13	\$26,572.59	\$25,255.15	\$1,317.44
LULULEMON ATHLETICA INC	LULU	550021109	29	06/08/11	06/14/13	\$1,918.44	\$1,238.39	\$680.05
LULULEMON ATHLETICA INC	LULU	550021109	6	06/08/11	06/17/13	\$398.27	\$256.22	\$142.05
ALLERGAN INC	AGN	018490102	45	12/31/08	06/24/13	\$3,676.34	\$1,798.12	\$1,878.22
EMC CORPORATION	EMC	268648102	37	05/12/11	07/10/13	\$904.87	\$1,016.43	\$-111.56
EMC CORPORATION	EMC	268648102	114	03/25/11	07/10/13	\$2,787.98	\$3,118.74	\$-330.76
EMC CORPORATION	EMC	268648102	16	01/27/12	07/10/13	\$391.30	\$414.31	\$-23.01
EBAY INC	EBAY	278642103	4	06/18/12	07/23/13	\$206.30	\$169.64	\$36.66
PIMCO TOTAL RETURN FUND	PTTR X	693390700	2983.8	11/03/10	07/31/13	\$32,195.22	\$35,000.00	\$-2,804.78
PIMCO TOTAL RETURN FUND	PTTR X	693390700	4984.75	01/06/10	07/31/13	\$53,785.43	\$54,134.37	\$-348.94
PIMCO TOTAL RETURN FUND	PTTR X	693390700	5985.27	01/04/12	07/31/13	\$64,581.04	\$65,000.00	\$-418.96
VISA INC CL A	V	92826C839	6	02/03/12	08/01/13	\$1,060.37	\$641.21	\$419.16
ISHARES TR MSCI EMERGING MKTS	EEM	464287234	165	07/14/09	08/02/13	\$6,572.66	\$5,187.60	\$1,385.06
ISHARES TR MSCI EMERGING MKTS	EEM	464287234	255	02/05/10	08/02/13	\$10,157.75	\$9,511.50	\$646.25
ISHARES TR MSCI EMERGING MKTS	EEM	464287234	225	05/18/10	08/02/13	\$8,962.72	\$8,637.75	\$324.97
EBAY INC	EBAY	278642103	62	06/18/12	08/20/13	\$3,233.26	\$2,629.42	\$603.84
AFFILIATED MANAGERS GROUP	AMG	008252108	2	04/18/12	08/29/13	\$349.68	\$226.58	\$123.10
APPLE COMPUTER INC	AAPL	037833100	2	12/31/08	09/11/13	\$937.29	\$174.94	\$762.35
EATON VANCE MUT FDS TR STRUCTU	EIEM X	277923751	3026.23	07/29/11	10/01/13	\$45,000.00	\$47,991.15	\$-2,991.15
FEDERATED EQUITY FDS STRATEGIC	SVAI X	314172560	6496.42	05/19/11	10/01/13	\$36,250.00	\$31,247.76	\$5,002.24
ISHARES TR S&P GLOBAL CONSUMER KXI		464288737	290	09/01/11	10/01/13	\$23,841.79	\$18,873.20	\$4,968.59
FASTENAL CO	FAST	311900104	47	07/25/12	10/10/13	\$2,253.86	\$2,015.65	\$238.21
QUALCOMM INC	QCOM	747525103	12	12/31/08	10/16/13	\$825.46	\$433.56	\$391.90
QUALCOMM INC	QCOM	747525103	9	12/31/08	10/23/13	\$605.93	\$325.17	\$280.76
CHIPOTLE MEXICAN GRILL INC CL	CMG	169656105	1	02/04/11	10/23/13	\$517.97	\$246.97	\$271.00
FEDERATED EQUITY FDS STRATEGIC	SVAI X	314172560	17902.16	05/19/11	10/28/13	\$104,548.60	\$86,109.38	\$18,439.22

Long term transactions

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

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
CITRIX SYS INC	CTXS	177376100	3	08/20/10	10/29/13	\$171.93	\$175.83	\$-3.90
CITRIX SYS INC	CTXS	177376100	4	07/27/10	10/29/13	\$229.25	\$190.77	\$38.48
CAMERON INTL CORP	CAM	13342B105	62	10/14/10	10/31/13	\$3,415.12	\$2,677.75	\$737.37
STARBUCKS CORP	SBUX	855244109	12	04/19/12	12/03/13	\$965.62	\$705.50	\$260.32
TRACTOR SUPPLY CO	TSCO	892356106	11	04/05/12	12/03/13	\$805.74	\$511.83	\$293.91
Total long term gain/loss from sales:						\$958,795.95	\$896,547.62	\$62,248.33