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Return of Private Foundation

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

► Do not enter Social Security numbers on this form as it may be made public.
► Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf.

2013

For calendar year 2013 or tax year beginning

, and ending

Name of foundation JOHN C. & BERNICE A. RIEG CHARITABLE FOUNDATION, INC. C/O SHIPMAN & GOODWIN		A Employer identification number 22-2796673																																																																																																																																																																																																												
		B Telephone number (860) 251-5000																																																																																																																																																																																																												
Number and street (or P O box number if mail is not delivered to street address) ONE CONSTITUTION PLAZA		Room/suite	C If exemption application is pending, check here ► <input type="checkbox"/>																																																																																																																																																																																																											
City or town, state or province, country, and ZIP or foreign postal code HARTFORD, CT 06103-1919		D 1. Foreign organizations, 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		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) ► \$ 2,706,065.	J Accounting method <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	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 <small>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))</small> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;"></th> <th style="width: 20%; text-align: center;">(a) Revenue and expenses per books</th> <th style="width: 20%; text-align: center;">(b) Net investment income</th> <th style="width: 20%; text-align: center;">(c) Adjusted net income</th> <th style="width: 10%; text-align: center;">(d) Disbursements for charitable purposes (cash basis only)</th> </tr> </thead> <tbody> <tr> <td>1 Contributions, gifts, grants, etc., received</td> <td style="text-align: center;">130.</td> <td></td> <td></td> <td></td> </tr> <tr> <td>2 Check ► <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>3 Interest on savings and temporary cash investments</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>4 Dividends and interest from securities</td> <td style="text-align: center;">68,497.</td> <td style="text-align: center;">68,497.</td> <td></td> <td style="text-align: center;">STATEMENT 1</td> </tr> <tr> <td>5a Gross rents</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td> b Net rental income or (loss)</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>6a Net gain or (loss) from sale of assets not on line 10</td> <td style="text-align: center;">84,363.</td> <td></td> <td></td> <td></td> </tr> <tr> <td> b Gross sales price for all assets on line 6a</td> <td style="text-align: center;">684,505.</td> <td></td> <td></td> <td></td> </tr> <tr> <td>7 Capital gain net income (from Part IV, line 2)</td> <td></td> <td style="text-align: center;">84,363.</td> <td></td> <td></td> </tr> <tr> <td>8 Net short-term capital gain</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>9 Income modifications</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td> Gross sales less returns and allowances</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td> b Less Cost of goods sold</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td> c Gross profit or (loss)</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>11 Other income</td> <td style="text-align: center;">993.</td> <td style="text-align: center;">329.</td> <td style="text-align: center;">0.</td> <td style="text-align: center;">STATEMENT 2</td> </tr> <tr> <td>12 Total. 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JOHN C. & BERNICE A. RIEG CHARITABLE
FOUNDATION, INC. C/O SHIPMAN & GOODWIN

Form 990-PF (2013)

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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
1	Cash - non-interest-bearing				
2	Savings and temporary cash investments		200.	200.	200.
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	STMT 6	316,017.	82,598.	82,598.
b	Investments - corporate stock	STMT 7	1,377,292.	1,901,557.	2,623,267.
c	Investments - corporate bonds		277,675.		
11	Investments - land, buildings, and equipment basis ►				
	Less accumulated depreciation ►				
12	Investments - mortgage loans				
13	Investments - other		16,800.		
14	Land, buildings, and equipment basis ►				
	Less accumulated depreciation ►				
15	Other assets (describe ►)				
16	Total assets (to be completed by all filers - see the instructions Also, see page 1, item 1)		1,987,984.	1,984,355.	2,706,065.
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	1,987,984.	1,984,355.		
30	Total net assets or fund balances	1,987,984.	1,984,355.		
31	Total liabilities and net assets/fund balances	1,987,984.	1,984,355.		

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	1,987,984.
2	Enter amount from Part I, line 27a	2	<3,629.>
3	Other increases not included in line 2 (itemize) ►	3	0.
4	Add lines 1, 2, and 3	4	1,984,355.
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	1,984,355.

Form 990-PF (2013)

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12570429 133225 RIEG6673

2013.03020 JOHN C. & BERNICE A. RIEG C RIEG6671

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 SEE SCHEDULE ATTACHED			P		
b SEE SCHEDULE ATTACHED			P		
c SEE SCHEDULE ATTACHED			P		
d LINN ENERGY, GAIN ADJ. ON SALE			P		
e CAPITAL GAINS DIVIDENDS					
(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 102,815.		120,175.		<17,360. >	
b 30,016.		20,144.		9,872.	
c 548,585.		459,823.		88,762.	
d 2,408.				2,408.	
e 681.				681.	
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				<17,360. >	
b				9,872.	
c				88,762.	
d				2,408.	
e				681.	
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		84,363.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)			3		N/A

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

 Yes No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2012	109,201.	2,479,983.	.044033
2011	109,204.	2,458,603.	.044417
2010	83,500.	2,152,937.	.038784
2009	24,185.	1,641,816.	.014731
2008	11,400.	331,406.	.034399
2 Total of line 1, column (d)			2 .176364
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 .035273
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5			4 2,580,007.
5 Multiply line 4 by line 3			5 91,005.
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 1,420.
7 Add lines 5 and 6			7 92,425.
8 Enter qualifying distributions from Part XII, line 4			8 146,415.

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

JOHN C. & BERNICE A. RIEG CHARITABLE
FOUNDATION, INC. C/O SHIPMAN & GOODWIN

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

1a Exempt operating foundations described in section 4940(d)(2), check here ► and enter "N/A" on line 1

Date of ruling or determination letter _____ (attach copy of letter if necessary-see instructions)

b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ► and enter 1% of Part I, line 27b

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-)

3 Add lines 1 and 2

4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)

5 Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0-

6 Credits/Payments

a 2013 estimated tax payments and 2012 overpayment credited to 2013

6a 654.

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

8 Enter any penalty for underpayment of estimated tax Check here if Form 2220 is attached

9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed

10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid

11 Enter the amount of line 10 to be Credited to 2014 estimated tax ►

Refunded ►

11 654. 7 654. 8 9 766. 10 11

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?

Yes X

b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)?

Yes X

If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.

Yes X

c Did the foundation file Form 1120-POL for this year?

Yes X

d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year

Yes X

(1) On the foundation ► \$ 0. (2) On foundation managers ► \$ 0.

e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ► \$ 0.

Yes X

2 Has the foundation engaged in any activities that have not previously been reported to the IRS?

Yes X

If "Yes," attach a detailed description of the activities.

Yes X

3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes

Yes X

4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?

N/A

Yes X

b If "Yes," has it filed a tax return on Form 990-T for this year?

Yes X

5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?

Yes X

If "Yes," attach the statement required by General Instruction T.

Yes X

6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either.

Yes X

• 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?

Yes X

7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV

Yes X

8a Enter the states to which the foundation reports or with which it is registered (see instructions) ►

Yes X

CT

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)

Yes X

of each state as required by General Instruction G? If "No," attach explanation

Yes X

9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV

Yes X

10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses

Yes X

Form 990-PF (2013)

JOHN C. & BERNICE A. RIEG CHARITABLE
FOUNDATION, INC. C/O SHIPMAN & GOODWIN

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Part VII-A Statements Regarding Activities (continued)

11		X
12		X
13	X	
Website address ► N/A		
14	The books are in care of ► SHIPMAN & GOODWIN LLP Located at ► ONE CONSTITUTION PLAZA, HARTFORD, CT	Telephone no ► (860) 251-5000 ZIP+4 ► 06103-1919
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 ►	Yes X No X

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"/> X 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"/> X No
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> X No
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> X 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"/> X 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"/> X No
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here	N/A ►	
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?	1c X	
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
a At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? If "Yes," list the years ►	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> X No
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.)	N/A	
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ►	2b	
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"/> X No
b If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.)	N/A	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	3b	
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?	4a X	
	4b X	

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

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

- (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? Yes No
- (2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? Yes No
- (3) Provide a grant to an individual for travel, study, or other similar purposes? Yes No
- (4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? Yes No
- (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? Yes No

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

N/A



5b

Organizations relying on a current notice regarding disaster assistance check here

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

N/A

Yes No

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

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

Yes No

6b



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

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

N/A

7b

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

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
JAMES T. BETTS C/O SHIPMAN/GOODWIN, 1 CONSTITUTION P HARTFORD, CT 061031919	PRESIDENT/TREASURER 1.00	0.	0.	0.
LAURA ANN SMITH GRANDE C/O SHIPMAN/GOODWIN, 1 CONSTITUTION P HARTFORD, CT 061031919	VICE PRESIDENT/ASSIST. SECY 1.00	0.	0.	0.
BRYON W. HARMON C/O SHIPMAN/GOODWIN, 1 CONSTITUTION P HARTFORD, CT 061031919	VICE PRESIDENT/SECRETARY 1.50	0.	0.	0.

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

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

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



0

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

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

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

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

0

Part IX-A Summary of Direct Charitable Activities

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

Expenses

1 N/A

2

3

4

Part IX-B Summary of Program-Related Investments

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.

Amount

1 N/A

2

All other program-related investments See instructions

2

Total: Add lines 1 through 3

Form 990-PF (2013)

JOHN C. & BERNICE A. RIEG CHARITABLE
FOUNDATION, INC. C/O SHIPMAN & GOODWIN

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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	1a	2,378,993.
a Average monthly fair market value of securities	1b	240,303.
b Average of monthly cash balances	1c	
c Fair market value of all other assets	1d	2,619,296.
d Total (add lines 1a, b, and c)		
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	2,619,296.
4 Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	39,289.
5 Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	2,580,007.
6 Minimum investment return. Enter 5% of line 5	6	129,000.

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	129,000.
2a Tax on investment income for 2013 from Part VI, line 5	2a	1,420.
b Income tax for 2013 (This does not include the tax from Part VI)	2b	
c Add lines 2a and 2b	2c	1,420.
3 Distributable amount before adjustments Subtract line 2c from line 1	3	127,580.
4 Recoveries of amounts treated as qualifying distributions	4	0.
5 Add lines 3 and 4	5	127,580.
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	127,580.

Part XII

Qualifying Distributions (see instructions)

1 Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes	1a	146,415.
a Expenses, contributions, gifts, etc - total from Part I, column (d), line 26	1b	0.
b Program-related investments - total from Part IX-B	2	
2 Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes	3a	
3 Amounts set aside for specific charitable projects that satisfy the	3b	
a Suitability test (prior IRS approval required)	4	146,415.
b Cash distribution test (attach the required schedule)	5	1,420.
4 Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	6	144,995.
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		
6 Adjusted qualifying distributions. Subtract line 5 from line 4		
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		

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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				127,580.
2 Undistributed income, if any, as of the end of 2013			105,439.	
a Enter amount for 2012 only				
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				
e From 2012				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2013 from Part XII, line 4 ► \$ 146,415.			105,439.	
a Applied to 2012, but not more than line 2a				
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	0.			40,976.
e Remaining amount distributed out of corpus	0.			0.
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0.			
b Prior years' undistributed income Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b Taxable amount - see instructions		0.		
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount - see instr.			0.	
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				86,604.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9				
a Excess from 2009				
b Excess from 2010				
c Excess from 2011				
d Excess from 2012				
e Excess from 2013				

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				<input type="checkbox"/>	4942(j)(3)	<input type="checkbox"/>	4942(j)(5)
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	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				
<u>ADELPHI UNIVERSITY</u> P.O. BOX 701 <u>GARDEN CITY, NY 11530-0701</u>	NONE	PUBLIC CHARITY	TUITION SCHOLARSHIP	4,000.
<u>BOSTON UNIVERSITY</u> ONE SILBER WAY <u>BOSTON, MA 02215</u>	NONE	PUBLIC CHARITY	TUITION SCHOLARSHIP	12,000.
<u>CARNEGIE MELLON UNIVERSITY</u> 5000 FORBES AVENUE <u>PITTSBURGH, PA 15213</u>	NONE	PUBLIC CHARITY	TUITION SCHOLARSHIP	5,000.
<u>CENTRAL CT STATE UNIVERSITY</u> P.O. BOX 4010 <u>NEW BRITAIN, CT 06050</u>	NONE	PUBLIC CHARITY	TUITION SCHOLARSHIP	5,000.
<u>EASTERN CONNECTICUT STATE UNIVERSITY</u> 83 WINDHAM STREET <u>WILLIMANTIC, CT 06226</u>	NONE	PUBLIC CHARITY	TUITION SCHOLARSHIP	4,000.
Total	SEE CONTINUATION SHEET(S)			► 3a 122,510.
b Approved for future payment				
NONE				
Total				► 3b 0.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income
	(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount	
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	68,497.	
5 Net rental income or (loss) from real estate					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income			01	329.	
8 Gain or (loss) from sales of assets other than inventory			05	84,363.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue					
a LINN ENERGY			664.	14	
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e)		664.		153,189.	0.
13 Total. Add line 12, columns (b), (d), and (e)				13	153,853.
(See worksheet in line 13 instructions to verify calculations)					

Relationship of Activities to the Accomplishment of Exempt Purposes

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes)
3, 4,	INTEREST AND DIVIDEND INCOME FROM CASH AND SECURITIES PROVIDED FUNDS
8, 11	OUT OF WHICH CHARITABLE CONTRIBUTIONS WERE MADE.

JOHN C. & BERNICE A. RIEG CHARITABLE
FOUNDATION, INC. C/O SHIPMAN & GOODWIN 22-2796673

Part XV | Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
JUNIATA COLLEGE 1700 MOORE STREET HUNTINGDON, PA 16652	NONE	PUBLIC CHARITY	TUITION SCHOLARSHIP	7,000.
LIBERTY UNIVERSITY 1971 UNIVERSITY BOULEVARD LYNCHBURG, VA 24502	NONE	PUBLIC CHARITY	TUITION SCHOLARSHIP	6,000.
MARYLAND INSTITUTE COLLEGE OF ART 1300 W. MOUNT ROYAL AVE. BALTIMORE, MD 21217	NONE	PUBLIC CHARITY	TUITION SCHOLARSHIP	3,000.
PROVIDENCE COLLEGE 1 CUNNINGHAM SQUARE PROVIDENCE, RI 02918-0001	NONE	PUBLIC CHARITY	TUITION SCHOLARSHIP	4,000.
SALEM STATE UNIVERSITY 352 LAFAYETTE STREET SALEM, MA 01970	NONE	PUBLIC CHARITY	TUITION SCHOLARSHIP	4,000.
SUFFOLK UNIVERSITY 41 TEMPLE STREET BOSTON, MA 02114	NONE	PUBLIC CHARITY	TUITION SCHOLARSHIP	7,000.
UNIVERSITY OF CONNECTICUT 233 GLENBROOK ROAD, UNIT 4100 STORRS, CT 06269	NONE	PUBLIC CHARITY	TUITION SCHOLARSHIPS	41,510.
UNIVERSITY OF HARTFORD 200 BLOOMFIELD AVENUE WEST HARTFORD, CT 06117	NONE	PUBLIC CHARITY	TUITION SCHOLARSHIP	10,500.
UNIVERSITY OF MAINE PO BOX 738 LEWISTON, ME 04234	NONE	PUBLIC CHARITY	TUITION SCHOLARSHIP	6,000.
RENSSELAER POLYTECHNIC INSTITUTE 110 EIGHT STREET TROY, NY 12180	NONE	PUBLIC CHARITY	TUITION SCHOLARSHIP	500.
Total from continuation sheets				92,510.

JOHN C. & BERNICE A. RIEG CHARITABLE
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Part XV · Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Total from continuation sheets

323631
05-01-13

FORM 990-PF

DIVIDENDS AND INTEREST FROM SECURITIES

STATEMENT 1

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
LINN ENERGY	5.	0.	5.	5.	5.
STATE STREET BANK & TRUST CO.	69,173.	681.	68,492.	68,492.	68,492.
TO PART I, LINE 4	69,178.	681.	68,497.	68,497.	68,497.

FORM 990-PF

OTHER INCOME

STATEMENT 2

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
US TREASURY TAX REFUND	329.	329.	0.
LINN ENERGY	664.	0.	0.
TOTAL TO FORM 990-PF, PART I, LINE 11	993.	329.	0.

FORM 990-PF

LEGAL FEES

STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
SHIPMAN & GOODWIN LLP	34,150.	10,245.	0.	23,905.
TO FM 990-PF, PG 1, LN 16A	34,150.	10,245.	0.	23,905.

JOHN C. & BERNICE A. RIEG CHARITABLE FOU

22-2796673

FORM 990-PF

TAXES

STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
2013 ESTIMATED TAXES	325.	325.	0.	0.
FOREIGN TAX PAID	527.	527.	0.	0.
TO FORM 990-PF, PG 1, LN 18	852.	852.	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
STATE STREET CORP MAINT FEES	100.	100.	0.	0.
TO FORM 990-PF, PG 1, LN 23	100.	100.	0.	0.

FORM 990-PF

U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS

STATEMENT 6

DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE
FEDERATED U.S. TREASURY PORTFOLIO	X		82,598.	82,598.
TOTAL U.S. GOVERNMENT OBLIGATIONS			82,598.	82,598.
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS				
TOTAL TO FORM 990-PF, PART II, LINE 10A			82,598.	82,598.

FORM 990-PF

CORPORATE STOCK

STATEMENT 7

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
1,000 SHRS AMERICAN EXPRESS CO	15,978.	90,730.
1,000 SHRS MERCK & CO INC	37,489.	50,050.
1,000 SHRS UNITED TECHNOLOGIES CORP.	68,789.	113,800.
1,000 SHRS WISDOMTREE EMERGING MARKETS EQUITY INCOME FUND	50,997.	51,030.
1,000 SHRS WISDOMTREE EMERGING MARKETS EQUITY LOCAL DEBT FUND	50,652.	46,020.
1,500 SHRS PEPSICO	88,778.	124,410.
1,600 SHRS ABBOTT LABORATORIES	36,217.	61,328.
666 SHRS KRAFT FOODS GROUP INC	29,919.	35,904.
1,500 SHRS VANGUARD FTSE EMERGING MARKETS ETF	52,609.	61,710.
2,500 SHRS PFIZER INC.	38,905.	76,575.
2,500 SHRS REALTY INCOME CORP.	86,039.	93,325.
3,000 SHRS MICROSOFT CORP	67,879.	112,230.
3,500 SHRS GENERAL ELECTRIC CO.	58,559.	98,105.
500 SHRS DUKE ENERGY HOLDING CORP.	23,385.	34,505.
500 SHRS INTERNATIONAL BUSINESS MACHINES CORP.	47,819.	93,785.
12800 SHRS MERRIMACK PHARMACEUTICALS	69,973.	68,237.
600 SHRS YUM! BRANDS INC	18,622.	45,366.
700 SHRS PROCTER & GAMBLE	36,978.	56,987.
800 SHRS BHP BILLITON PLC	53,763.	49,696.
800 SHRS MCDONALD'S CORP	44,619.	77,624.
800 SHRS SCHLUMBERGER LTD	35,770.	72,088.
900 SHRS AUTOMATIC DATA PROCESSING	33,789.	72,719.
900 SHRS CATERPILLAR INCORPORATED	36,976.	81,729.
900 SHRS CHEVRON CORP. (NEW)	62,304.	112,419.
900 SHRS JOHNSON & JOHNSON	52,359.	82,431.
4000 SHS GUGGENHEIM HI YIELD ETF 2015	107,240.	107,120.
1000 SHS PIMCO HIGH YIELD CORP BD INDEX	104,530.	106,360.
4000 SHS POWER SHARES SENIOR LOAN PORT ETF	99,034.	99,520.
1500 SHS VANGUARD SHORT TERM BD ETF	121,470.	119,895.
800 SHS WALT DISNEY CO	52,463.	61,120.
600 SHS WELLS FARGO & CO	24,035.	27,240.
200 SHS APPLE INC	86,663.	112,204.
3000 SHS INTEL CORP	67,756.	77,865.
1000 SHS VERIZON COMMUNICATIONS	39,199.	49,140.
TOTAL TO FORM 990-PF, PART II, LINE 10B	1,901,557.	2,623,267.

2013 Tax Information Statement

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Payer's Name and Address:
BETTS NOMINEE LLC
ONE CONSTITUTION PLAZA
HARTFORD, CT 06103

Account Number: 75109260
Recipient's Tax ID Number: XX-XXX6673
Payer's Federal ID Number: 45-3354836
Payer's State ID Number:
State: CT
 Corrected

Recipient's Name and Address:
JOHN & BERNICE RIEG CHAR
FOUNDATION
C/O SHIPMAN & GOODWIN LLP
ONE CONSTITUTION PLAZA
HARTFORD, CT 06103-1919
 2nd TIN notice

2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS as Sales Price of stocks, bonds etc., less commissions and option premiums.
Covered (Box 6a is not checked)

Cusip Description (Box 8)

Cusip	Description (Box 8)	Stock or Other Symbol (Box 1d)	Date of Sale or Exchange (Box 1a)	Date of Acquisition (Box 1b)	Stocks Bonds, etc. (Box 2a)	Cost or Other Basis (Box 3)	Wash Sale Loss Disallowed (Box 5)	Net Gain or Loss (Box 4)	Federal Income Tax Withheld (Box 15)	State Tax Withheld
Short Term Sales Reported on 1099-B										
49456B101	KINDER MORGAN INC	KMI	44,727.71		46,650.00	0.00		-1,922.29	0.00	0.00
1250.0000	09/06/2013 03/07/2013									
49456B101	KINDER MORGAN INC	KMI								
1250.0000	09/10/2013 03/07/2013									
04962H100	ATOSSA GENETICS INC COM	ATOS	5,173.45		9,598.23	0.00		-4,424.78	0.00	0.00
2000.0000	10/08/2013 08/14/2013									
04962H100	ATOSSA GENETICS INC COM	ATOS								
3600.0000	10/09/2013 08/14/2013									
Total Short Term Sales Reported on 1099-B			102,815.47		120,175.05	0.00		-17,359.58	0.00	0.00
Report on Form 8949, Part I, with Box A checked										
Long Term Sales Reported on 1099-B										
00287Y109	ABBVIE INC COM	ABBV								
800.0000	03/07/2013 03/29/2011									
Total Long Term Sales Reported on 1099-B			30,015.32		20,143.63	0.00		9,871.69	0.00	0.00
Report on Form 8949, Part II, with Box D checked										

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2013 Tax Information Statement

Page 8 of 19

Account Number:	75109260	Recipient's Name and Address:
Recipient's Tax ID Number:	XX-XXX6673	JOHN & BERNICE RIEG CHAR
Payer's Federal ID Number:	45-3354836	FOUNDATION
Payer's State ID Number:		C/O SHIPMAN & GOODWIN LLP
State:	CT	ONE CONSTITUTION PLAZA
		HARTFORD, CT 06103-1919
<input type="checkbox"/> Corrected		
<input type="checkbox"/> 2nd TIN notice		

2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds, etc., less commissions and option premiums.
For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

Cusip	Description (Box 8)	Date of Sale or Exchange (Box 1a)	Stock or Other Symbol (Box 1d)	Stocks Bonds, etc. (Box 2a)	Cost or Other Basis (Box 2a)	Wash Sale Loss Disallowed	Net Gain or Loss (Box 4)	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
Long Term Sales Reported on 1099-B									
464288513	ISHARES IBOXX HI YIELD CORP BOND ETF		HYG						
400.00000	01/16/2013 04/26/2011			37,659.96	36,991.60	0.00	668.36	0.00	0.00
00287Y109	ABBVIE INC COM			ABBV					
500.00000	03/07/2013 06/30/2009			18,759.58	12,170.97	0.00	6,588.61	0.00	0.00
00287Y109	ABBVIE INC COM			ABBV					
300.00000	03/07/2013 08/14/2009			11,255.75	6,960.00	0.00	4,295.75	0.00	0.00
25179M103	DEVON ENERGY CORPORATION NEW			DVN					
200.00000	03/07/2013 01/26/2009			11,133.75	12,711.40	0.00	-1,577.65	0.00	0.00
25179M103	DEVON ENERGY CORPORATION NEW			DVN					
200.00000	03/07/2013 06/30/2009			11,133.75	10,759.80	0.00	373.95	0.00	0.00
25179M103	DEVON ENERGY CORPORATION NEW			DVN					
200.00000	03/07/2013 08/14/2009			11,133.75	12,865.60	0.00	-1,731.85	0.00	0.00
464287457	ISHARES BARCLAYS 1-3 YR TREAS BD ETF			SHY					
1200.00000	03/07/2013 09/16/2011			101,217.72	101,663.88	0.00	-446.16	0.00	0.00

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2013 Tax Information Statement

Page 9 of 19

Payer's Name and Address:
 BETTS NOMINEE LLC
 ONE CONSTITUTION PLAZA
 HARTFORD, CT 06103

Account Number. 75109260
Recipient's Tax ID Number: XX-XXX6673
Payer's Federal ID Number: 45-3354836
Payer's State ID Number:
State: CT
 Corrected

Recipient's Name and Address:
 JOHN & BERNICE RIEG CHAR
 FOUNDATION
 C/O SHIPMAN & GOODWIN LLP
 ONE CONSTITUTION PLAZA
 HARTFORD, CT 06103-1919

2nd TIN notice

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

Cusip	Description (Box 8)	Stock or Other Symbol (Box 1d)	Date of Sale or Exchange (Box 1a)	Date of Acquisition (Box 1a)	Stocks Bonds, etc. (Box 2a)	Cost or Other Basis (Box 2a)	Wash Sale Loss Disallowed (Box 2a)	Net Gain or Loss (Box 4)	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
464287465	ISHARES MSCI EAFE INDEX FD	EFA	29,609.34	21,454.50	0.00		8,154.84	0.00	0.00	
500.0000	03/07/2013 12/29/2008	EFA	29,609.33	19,629.50	0.00		9,979.83	0.00	0.00	
464287465	ISHARES MSCI EAFE INDEX FD	HYG	46,948.94	41,161.50	0.00		5,787.44	0.00	0.00	
500.0000	03/07/2013 01/26/2009	HYG	46,948.95	44,234.95	0.00		2,714.00	0.00	0.00	
464288513	ISHARES iBOXX HI YIELD CORP BOND ETF	HYG	46,948.95	44,374.60	0.00		2,574.35	0.00	0.00	
500.0000	03/07/2013 08/14/2009	HYG	46,948.95	44,374.60	0.00		2,574.35	0.00	0.00	
464288513	ISHARES iBOXX HI YIELD CORP BOND ETF	HYG	9,389.79	9,247.90	0.00		141.89	0.00	0.00	
500.0000	03/07/2013 03/25/2010	HYG	9,389.79	9,247.90	0.00		141.89	0.00	0.00	
464288513	ISHARES iBOXX HI YIELD CORP BOND ETF	KYE	28,121.82	9,765.49	0.00		18,356.33	0.00	0.00	
100.0000	03/07/2013 04/26/2011	KYE	14,060.90	4,529.19	0.00		9,531.71	0.00	0.00	
48660P104	KAYNE ANDERSON ENERGY	KYE	14,060.91	6,588.49	0.00		7,472.42	0.00	0.00	
1000.0000	03/07/2013 11/18/2008	KYE	14,060.91	8,465.20	0.00		5,595.71	0.00	0.00	
48660P104	KAYNE ANDERSON ENERGY	KYE								
500.0000	03/07/2013 12/22/2008	KYE								
48660P104	KAYNE ANDERSON ENERGY	KYE								
500.0000	03/07/2013 01/26/2009	KYE								
48660P104	KAYNE ANDERSON ENERGY	KYE								
500.0000	03/07/2013 08/13/2009	KYE								

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2013 Tax Information Statement

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Account Number: 75109260
Recipient's Tax ID Number: XX-XXX6673
Payer's Federal ID Number: 45-3354836
Payer's State ID Number:
State: CT
 Corrected
 2nd TIN notice
Payer's Name and Address:
 BETTS NOMINEE LLC
 ONE CONSTITUTION PLAZA
 HARTFORD, CT 06103

For noncovered securities (Box 6a is checked) shown on this statement, cost basis information including wash sale disallowed loss is not being reported to the IRS.

Cusip	Description (Box 8)	Stock or Other Symbol (Box 1d)	Quantity Sold (Box 1e)	Date of Sale or Exchange (Box 1a)	Date of Acquisition (Box 1a)	Stocks Bonds, etc. (Box 2a)	Cost or Other Basis (Box 2a)	Wash Sale Loss Disallowed	Net Gain or Loss (Box 4)	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
48660P104	KAYNE ANDERSON ENERGY	KYE	500 0000	03/07/2013	08/14/2009	14,060.91	8,532.96	0.00	5,527.95	0.00	0.00
609207105	MONDELEZ INT'L INC	MDLZ	500.0000	03/07/2013	12/10/2010	14,269.67	10,117.43	0.00	4,152.24	0.00	0.00
536020100	LINN ENERGY LLC-UNITS		500.0000	05/10/2013	12/10/2010	17,240.16	16,799.95	0.00	440.21	0.00	0.00
922042858	VANGUARD FTSE EMERGING MKTS ETF	VWO	500.0000	10/10/2013	03/25/2010	20,960.63	20,799.00	0.00	161.63	0.00	0.00
Total Long Term Sales Reported on 1099-B			548,585.47			459,823.91	0.00	88,761.56	0.00	0.00	

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

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