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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 DANIEL & FLAVIA GERNATT FAMILY FOUNDATION		A Employer identification number 22-2914177	
Number and street (or P O box number if mail is not delivered to street address) 2698 GOWANDA ZOAR RD		B Telephone number (see instructions) (716) 532-4531	
City or town, state or province, country, and ZIP or foreign postal code GOWANDA, NY 14070		C If exemption application is pending, check here ☐	
G Check all that apply ☐ Initial return ☐ Final return ☒ Address change ☐ Initial return of a former public charity ☐ Amended return ☐ Name change		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐	
H Check type of organization ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ☒ \$ 3,122,834	J Accounting method ☒ Cash ☐ Accrual ☐ Other (specify) _____ (Part I, column (d) must be on cash basis.)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐	

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)	50			
	2 Check ☒ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	7,232	7,232	7,232	
	4 Dividends and interest from securities.	70,231	70,231	70,231	
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10				
	b Gross sales price for all assets on line 6a _____				
	7 Capital gain net income (from Part IV, line 2)		26,989		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
Operating and Administrative Expenses	11 Other income (attach schedule)	8,022	8,022		
	12 Total. Add lines 1 through 11	85,535	112,474	77,463	
	13 Compensation of officers, directors, trustees, etc				
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)	3,150	1,575		1,575
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	819			
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	24,695	24,555		140
	24 Total operating and administrative expenses.				
	Add lines 13 through 23	28,664	26,130		1,715
	25 Contributions, gifts, grants paid	156,075			156,075
	26 Total expenses and disbursements. Add lines 24 and 25	184,739	26,130		157,790
	27 Subtract line 26 from line 12				
a Excess of revenue over expenses and disbursements		-99,204			
b Net investment income (if negative, enter -0-)			86,344		
c Adjusted net income (if negative, enter -0-)				77,463	

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	11,843	1,695	1,695
	2	Savings and temporary cash investments	174,516	147,731	147,731
	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 ▶ _____	36,373		
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges	5,300	4,481	4,481
	10a	Investments—U S and state government obligations (attach schedule)	40,979	 40,881	44,089
	b	Investments—corporate stock (attach schedule)	2,060,837	 2,062,845	2,449,005
	c	Investments—corporate bonds (attach schedule).	30,399	 30,398	29,245
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
Liabilities	15	Other assets (describe ▶ _____)	 443,934	 446,588	 446,588
	16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	2,804,181	2,734,619	3,122,834
	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 ▶ _____)			
Net Assets or Fund Balances	23	Total liabilities (add lines 17 through 22)		0	
		Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds	2,804,181	2,734,619	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	Total net assets or fund balances (see page 17 of the instructions)	2,804,181	2,734,619	
	31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	2,804,181	2,734,619	

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year’s return)	1	2,804,181
2	Enter amount from Part I, line 27a	2	-99,204
3	Other increases not included in line 2 (itemize) ▶ _____ 	3	29,642
4	Add lines 1, 2, and 3	4	2,734,619
5	Decreases not included in line 2 (itemize) ▶ _____	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	2,734,619

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	MORGAN STANLEY A/C 803-107607-023 ST (SEE ATTACHED)	P	2012-09-26	2013-02-15
b	MORGAN STANLEY A/C 803-107607-023 LT (SEE ATTACHED)	P	2012-09-26	2013-10-02
c	MORGAN STANLEY A/C 803-107607-023 ST OPTIONS (SEE ATTACHED)	P	2013-12-19	2013-10-17
d	MORGAN STANLEY A/C 803-107614-021 ST (SEE ATTACHED)	P	2012-04-05	2013-03-25
e	MORGAN STANLEY A/C 803-107614-021 LT (SEE ATTACHED)	P	2011-09-26	2013-07-22

(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 57,546	0	53,631	3,915
b 12,826	0	9,912	2,914
c 101,852	0	130,704	-28,852
d 52,837	0	44,063	8,774
e 122,242	0	82,004	40,238

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a 0	0	0	3,915
b 0	0	0	2,914
c 0	0	0	-28,852
d 0	0	0	8,774
e 0	0	0	40,238

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	26,989
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	-16,163

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	149,310	2,924,483	0 051055
2011	113,133	2,930,576	0 038604
2010	127,648	2,839,897	0 044948
2009	140,156	2,642,091	0 053047
2008	121,812	2,798,877	0 043522

2	Total of line 1, column (d).	2	0 231176
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 046235
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	3,016,274
5	Multiply line 4 by line 3.	5	139,457
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	863
7	Add lines 5 and 6.	7	140,320
8	Enter qualifying distributions from Part XII, line 4.	8	157,790

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

Part VIExcise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)

1a		Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1		1	863		
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		2	0		
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	863
3		Add lines 1 and 2.					
4		Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4			
5		Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-					
6		Credits/Payments		7	4,481		
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	4,481				
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			
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.		8			
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.		10	3,618		
11		Enter the amount of line 10 to be Credited to 2014 estimated tax 3,618 Refunded					
11				11			

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

Part VII-A

Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
Website address N/A				
14	The books are in care of PATRICIA REBMANN Telephone no (716) 532-4531 Located at 13957 TAYLOR HOLLOW RD GOWANDA NY ZIP+4 14070			
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		
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? (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days).			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here.	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? 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?			
b	If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.).	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?	4b		No

Part VII-B

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

5a

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

(1)

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

Yes

No

(2)

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

Yes

No

(3)

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

Yes

No

(4)

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

Yes

No

(5)

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

Yes

No

b

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

5b

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

c

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

Yes

No

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

6a

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

Yes

No

b

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

6b

No

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

7a

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

Yes

No

b

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

7b

Part VIII

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

1

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
See Additional Data Table				

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	

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	2,427,708
b	Average of monthly cash balances.	1b	166,161
c	Fair market value of all other assets (see instructions).	1c	468,338
d	Total (add lines 1a, b, and c).	1d	3,062,207
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	
2	Acquisition indebtedness applicable to line 1 assets.	2	
3	Subtract line 2 from line 1d.	3	3,062,207
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	45,933
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	3,016,274
6	Minimum investment return. Enter 5% of line 5.	6	150,814

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	150,814
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	863
b	Income tax for 2013 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	863
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	149,951
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	149,951
6	Deduction from distributable amount (see instructions).	6	
7	Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1.	7	149,951

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	157,790
b	Program-related investments—total from Part IX-B.	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	157,790
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	863
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	156,927
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				149,951
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only.				
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2013				
a From 2008.				
b From 2009.				
c From 2010.				
d From 2011.				
e From 2012. 27,454				
f Total of lines 3a through e.	27,454			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 157,790				
a Applied to 2012, but not more than line 2a				
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).				
d Applied to 2013 distributable amount.				122,497
e Remaining amount distributed out of corpus	35,293			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).)	27,454			27,454
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	35,293			
b Prior years' undistributed income Subtract line 4b from line 2b.				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b Taxable amount—see instructions				
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				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).				
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions). . . .				
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	35,293			
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. . . . 35,293				

Part XIVPrivate Operating Foundations (see instructions and Part VII-A, question 9)

1a

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

b

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

☐ 4942(j)(3) or ☐ 4942(j)(5)

2a

Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

Tax year	Prior 3 years				(e) Total
(a) 2013	(b) 2012	(c) 2011	(d) 2010		
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 XVSupplementary Information (Complete this part only if the organization had \$5,000 or more in assets at any time during the year—see instructions.)

1

Information Regarding Foundation Managers:

a

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

DANIEL GERNATT SR

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 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

Form 990-PF (2013)

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	156,075
b Approved for future payment				
Total			3b	

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?

Yes

No

a

Transfers from the reporting foundation to a noncharitable exempt organization of

(1)

Cash.

1a(1)

No

(2)

Other assets.

1a(2)

No

b

Other transactions

(1)

Sales of assets to a noncharitable exempt organization.

1b(1)

No

(2)

Purchases of assets from a noncharitable exempt organization.

1b(2)

No

(3)

Rental of facilities, equipment, or other assets.

1b(3)

No

(4)

Reimbursement arrangements.

1b(4)

No

(5)

Loans or loan guarantees.

1b(5)

No

(6)

Performance of services or membership or fundraising solicitations.

1b(6)

No

c

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

1c

No

d

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

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

2a

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

Yes

No

b

If "Yes," complete the following schedule

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

Sign Here

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

Signature of officer or trustee

2014-04-12

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

KENNETH S FRANK

CPA

Preparer's Signature

Date

2014-05-13

Check if self-employed

PTIN

Firm's name

RA MERCER & CO PC

Firm's EIN

Firm's address

12250 Olean Road PO Box 218 Sardinia, NY 14134

Phone no

(716) 496-5028

Form 990-PF (2013)

Form 990PF Part VIII Line 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
DANIEL GERNATT SR	TRUSTEE 1 00	0	0	0
RICHARDSON RD COLLINS,NY 14034				
DANIEL GERNATT JR	TRUSTEE 1 00	0	0	0
RICHARDSON RD COLLINS,NY 14034				
PATRICIA REBMANN	TRUSTEE 5 00	0	0	0
13957 TAYLOR HOLLOW RD GOWANDA,NY 14070				
PHYLLIS ULMER	TRUSTEE 1 00	0	0	0
10575 WEST PERRYSBURG RD PERRYSBURG,NY 14129				
CYNTHIA PEGLOWSKI	TRUSTEE 1 00	0	0	0
2698 GOWANDA ZOAR RD GOWANDA,NY 14070				

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 Paid during the year				
ST JOSEPHS SCHOOL MAIN STREET GOWANDA, NY 14070		PUBLICCHARITY	TUITIONEDUCATIONALASSISTANCE	10,000
HEALTHY COMMUNITY ALLIANCE INC 1 SCHOOL STREET GOWANDA, NY 14070		PUBLICCHARITY	RURAL HEALTHCHARITABLE-NETWORK	1,500
LOVE INC 100 MEMORIAL DRIVE GOWANDA, NY 14070		PUBLICCHARITY	ASSISTANCE FORCHARITABLE-NEEDY FAMILIES	25,000
LOVE INC OF SPRINGVILLE NY PO BOX 156 SPRINGVILLE, NY 14141		PUBLICCHARITY	ASSISTANCE FORCHARITABLE-NEEDY FAMILIES	25,000
CATHOLIC CHARITIES OF BUFFALO NY 525 WASHINGTON ST BUFFALO, NY 14203		PUBLICCHARITY	NEEDYCHARITABLE-FAMILIES	15,000
TRI-COUNTY CRISIS PREGNANCY CENTER 17 S WATER STREET GOWANDA, NY 14070		PUBLICCHARITY	TO PREGNANTASSISTANCEWOMEN	4,000
ST VINCENT DEPAUL SOCIETY 8462 LAKESHORE RD ANGOLA, NY 14006		PUBLICCHARITY	TO POOR ANDASSISTANCEHOMELESS	25,000
FRANCISCAN CENTER 1910 SENECA ST BUFFALO, NY 14210		PUBLICCHARITY	HOMELESS YOUNGASSISTANCE TOMEN	2,500
CANISIUS COLLEGE 2001 MAIN STREET BUFFALO, NY 14208		PUBLICCHARITY	TUITIONASSISTANCE	2,000
LITTLE PORTION FRIARY 1305 MAIN STREET BUFFALO, NY 14209		PUBLICCHARITY	ASSISTANCE TOHOMELESS	1,000
KNIGHTS OF COLUMBUS 26 ERIE AVENUE GOWANDA, NY 14070		PUBLICCHARITY	ASSISTANCE TONEEDY	1,000
CHRIST THE KING SEMINARY 795 MAIN STREET BUFFALO, NY 14203		PUBLICCHARITY	ASSISTANCE TONEEDY	1,000
IMMACULATA ACADEMY 5138 SOUTH PARK AVENUE HAMBURG, NY 14075		PUBLICCHARITY	TUITIONASSISTANCE	15,000
CARDINAL MINDZENTY ASSEMBLY MAIN DUNKIRK, NY 14048		PUBLICCHARITY	TUITIONASSISTANCE	1,000
CHILDRENS HOSPITAL ROSWELL FLOOR 219 BRYANT ST BUFFALO, NY 14222		PUBLICCHARITY	BUILDINGHOSPITALPROJECT	5,000
Total			3a	156,075

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>				
GOWANDA FOOD PANTRY 64 E MAIN ST GOWANDA,NY 14070		PUBLICCHARITY	ASSISTANCE TONEEDY	500
HOSPICE FOUNDATION OF BUFFALO 220 COMO PARK BLVD CHEEKTOWAGA,NY 14227		PUBLICCHARITY	ASSISTANCE TONEEDY	5,000
SOUTHTOWNS CATHOLIC 2052 LAKEVIEW ROAD LAKE VIEW,NY 14085		PUBLICCHARITY	TUITIONASSISTANCE	3,825
SISTERS OF CHARITY HOSPITAL 2121 MAIN ST BUFFALO,NY 14214		PUBLICCHARITY	ASSISTNEEDY	1,500
ST FRANCIS HIGH SCHOOL 4129 LAKESHORE RD ATHOL SPRINGS,NY 14010		PUBLICCHARITY	TUITIONASSISTANCE	10,000
ST LUKES MISSION OF MERCY 325 WALDEN AVENUE BUFFALO,NY 14211		PUBLICCHARITY	ASSISTNEEDY	250
KNIGHTS OF COLUMBUS 2052 LAKEVIEW ROAD LAKE VIEW,NY 14085		PUBLICCHARITY	ASSISTNEEDY	1,000
Total			3a	156,075

TY 2013 Accounting Fees Schedule**Name:** DANIEL & FLAVIA GERNATT FAMILY FOUNDATION**EIN:** 22-2914177

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
R A MERCER & CO TAX PREPARATION	3,150	1,575		1,575

**TY 2013 Investments Corporate
Bonds Schedule**

Name: DANIEL & FLAVIA GERNATT FAMILY FOUNDATION
EIN: 22-2914177

Name of Bond	End of Year Book Value	End of Year Fair Market Value
see attached statement	30,398	29,245

TY 2013 Investments Corporate Stock Schedule

Name: DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

EIN: 22-2914177

Name of Stock	End of Year Book Value	End of Year Fair Market Value
see attached statement	2,062,845	2,449,005

**TY 2013 Investments Government
Obligations Schedule**

Name: DANIEL & FLAVIA GERNATT FAMILY FOUNDATION
EIN: 22-2914177

**US Government Securities - End of
Year Book Value:**

**US Government Securities - End of
Year Fair Market Value:**

State & Local Government Securities - End of Year Book Value:	40,881
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State & Local Government Securities - End of Year Fair Market Value:	44,089
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TY 2013 Other Assets Schedule

Name: DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

EIN: 22-2914177

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
CASH SURRENDER VALUE LIFE INSURANCE	443,934	446,588	446,588

TY 2013 Other Assets Schedule

Name: DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

EIN: 22-2914177

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
CASH SURRENDER VALUE LIFE INSURANCE	443,934	446,588	446,588

TY 2013 Other Assets Schedule

Name: DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

EIN: 22-2914177

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
CASH SURRENDER VALUE LIFE INSURANCE	443,934	446,588	446,588

TY 2013 Other Expenses Schedule**Name:** DANIEL & FLAVIA GERNATT FAMILY FOUNDATION**EIN:** 22-2914177

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ADVERTISING	15			15
NYS FILING FEES	250	125		125
FOREIGN TAXES PAID	885	885		
INVESTMENT ADVISORY FEES	23,545	23,545		

TY 2013 Other Income Schedule

Name: DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

EIN: 22-2914177

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
CAPITAL GAIN DISTRIBUTIONS	8,022	8,022	

TY 2013 Other Increases Schedule**Name:** DANIEL & FLAVIA GERNATT FAMILY FOUNDATION**EIN:** 22-2914177

Description	Amount
CAPITAL GAINS ON STOCK SALES	26,989
INCREASE LIFE INSURANCE CASH VALUE	2,653

TY 2013 Taxes Schedule

Name: DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

EIN: 22-2914177

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL TAXES	819			

DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

ID# 22-2914177

2013 FROM 990-PF PART IV ATTACHMENT

CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632
Taxpayer ID Number: 22-2914177
Account Number: 803 107607 023
Customer Service: 866-324-6088

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION
PBG YPO
2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

This information is NOT being furnished to the Internal Revenue Service. It is provided to you for informational purposes only.

OMB NO. 1545-0715

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Covered Securities (Consider Box 6b (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
CISCO SYS INC		CUSIP: 17275R102	Symbol (Box 1d): CSCO					
	1,000.000	09/26/12	02/20/13	\$21,577.71	\$18,437.90	\$0.00	\$3,139.81	\$0.00
	400.000	11/28/12	02/20/13	\$8,631.09	\$7,533.40	\$0.00	\$1,097.69	\$0.00
Security Subtotal	1,400.000			\$30,208.80	\$25,971.30	\$0.00	\$4,237.50	\$0.00
HEWLETT PACKARD		CUSIP: 428236103	Symbol (Box 1d): HPQ					
	100.000	02/27/13	10/02/13	\$2,137.72	\$1,968.45	\$0.00	\$169.27	\$0.00
MICROSOFT CORP		CUSIP: 594918104	Symbol (Box 1d): MSFT					
	300.000	09/26/12	02/15/13	\$8,537.98	\$9,029.52	\$0.00	(\$491.54)	\$0.00
Total Short Term Covered Securities				\$40,884.50	\$36,969.27	\$0.00	\$3,915.23	\$0.00

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

New York, NY 10004

Identification Number: 26-4310632

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION
PBG YPO

2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

Taxpayer ID Number: 22-2914177

Account Number: 803 107607 023

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8849 Part I with box B checked.)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
MICROSOFT CORP	0.000	CUSIP: 594918104	02/15/13	\$16,661.45	\$0.00	\$0.00	\$0.00	\$0.00
Total Short Term Noncovered Securities				\$16,661.45	\$0.00	\$0.00	\$0.00	\$0.00
Total Short Term Covered and Noncovered Securities				\$57,545.95	\$36,969.27	\$0.00	\$3,915.23	\$0.00

Noncovered securities are not subject to the IRS cost basis reporting regulations, therefore their date of acquisition, cost basis, short or long term designation and any disallowed loss resulting from a wash sale will not be reported to the IRS.

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632
Taxpayer ID Number: 22-2914177
Account Number: 803 107607 023
Customer Service: 866-324-6088

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION
PBG YPO
2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Covered Securities (Consider Box 6b (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part II with box D checked)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
HEWLETT PACKARD	600.000	09/26/12	10/02/13	\$12,826.33	\$9,912.06	\$0.00	\$2,914.27	\$0.00
Total Long Term Covered Securities				\$12,826.33	\$9,912.06	\$0.00	\$2,914.27	\$0.00
Total Short and Long Term, Covered and Noncovered Securities				\$70,372.28	\$46,881.33	\$0.00	\$6,829.50	\$0.00
Form 1099-B Total Reportable Amounts								
Total Sales Price (Box 2a)				\$70,372.28				
Total Cost or Other Basis (Box 3)					\$46,881.33			
Total Wash Sale Loss Disallowed (Box 5)					\$0.00			
Total Fed Tax Withheld (Box 4)								\$0.00

Account Detail

Portfolio Management Basic Securities Account
803-107607-023

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

TRANSFERS, CORPORATE ACTIONS AND ADDITIONAL ACTIVITY

OPTIONS EXPIRATIONS, EXERCISES AND ASSIGNMENTS (CONTINUED)

Date	Activity Type	Description	Comments	Contracts
12/23	Option Expired	CALL CVX 12/21/13 125.000	EXPIRED OPTIONS	3.000

REALIZED GAIN/(LOSS) DETAIL

SHORT-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
AT&T INC 36.000 DEC C	12/23/13	10/22/13	7.000	\$309.88	\$0.00	\$309.88	
CHEVRON CORP 125.000 DEC C	12/23/13	10/21/13	3.000	169.40	0.00	169.40	
FORD MOTOR CO NEW 18.000 DEC C	12/19/13	10/17/13	6.000	275.51	6.00	269.51	
GENERAL ELECTRIC CO 27.000 DEC C	12/18/13	10/18/13	10.000	149.99	196.20	(46.21)	
JPMORGAN CHASE & CO 57.500 JAN C	12/31/13	11/19/13	8.000	864.22	991.04	(126.82)	
MERCK & CO INC NEW CO 48.000 JAN C	12/09/13	11/12/13	6.000	435.29	966.78	(531.49)	
Pfizer INC 31.000 DEC C	12/23/13	10/18/13	9.000	408.77	0.00	408.77	
PROCTER & GAMBLE 80.000 DEC C	12/19/13	10/23/13	5.000	1,249.17	990.00	259.17	
VERIZON COMMUNICATION 49.000 DEC C	12/23/13	11/04/13	7.000	1,707.97	0.00	1,707.97	
WELLS FARGO & CO NEW 44.000 DEC C	12/19/13	10/17/13	7.000	294.20	805.00	(510.80)	
Short-Term This Period				\$5,864.40	\$3,955.02	\$1,909.38	
Short-Term Year to Date				\$159,398.04	\$184,335.60	\$(24,937.56)	
Net Realized Gain/(Loss) This Period				\$5,864.40	\$3,955.02	\$1,909.38	
Net Realized Gain/(Loss) Year to Date				\$172,224.37	\$194,247.66	\$(22,023.29)	

Disallowed Loss Based On Wash Sale Year to Date: \$983.06

New Treasury regulations require that we report your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments on covered securities due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes. The information in this section is provided for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Expanded Disclosures for additional information.

LESS STOCK ACTIVITY
OPTION ACTIVITY

70372- 63543 6829
101852 130704 28852

MESSAGES

FINRA BrokerCheck

FINRA has established the public disclosure program, known as BrokerCheck, to provide certain information regarding the disciplinary history of FINRA members and their associated persons. The BrokerCheck Hotline Number is 1-800-289-9999. The FINRA web site address is www.finra.org. An investor brochure that includes information describing FINRA BrokerCheck may be obtained from FINRA.

Security Mark
at Flight

Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorNew York, NY 10004
Identification Number: 26-4310632THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

Taxpayer ID Number: 22-2914177

Account Number: 803 107614 021

Customer Service: 866-324-6088

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

This information is NOT being furnished to the Internal Revenue Service. It is provided to you for informational purposes only.

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Covered Securities (Consider Box 6b (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SYMBOL (Box 1d): APA	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
APACHE CORP		CUSIP: 037411105							
	4.000	04/18/13	08/16/13	\$320.14	\$283.14	\$0.00	\$0.00	\$37.00	\$0.00
	2.000	04/26/13	08/16/13	\$160.07	\$144.52	\$0.00	\$0.00	\$15.55	\$0.00
	4.000	04/26/13	08/19/13	\$303.15	\$289.04	\$0.00	\$0.00	\$14.11	\$0.00
Security Subtotal	10.000			\$783.36	\$716.70	\$0.00	\$0.00	\$66.66	\$0.00
AUTOMATIC DATA PROCESSING INC		CUSIP: 053015103							
	10.000	11/29/12	09/23/13	\$731.64	\$562.45	\$0.00	\$0.00	\$169.19	\$0.00
BHP BILLITON PLC SPONS ADR		CUSIP: 05545E209							
	42.000	11/29/12	07/19/13	\$2,385.56	\$2,647.26	\$0.00	\$0.00	(\$261.70)	\$0.00
	12.000	03/21/13	07/19/13	\$681.59	\$712.14	\$0.00	\$0.00	(\$30.55)	\$0.00
Security Subtotal	54.000			\$3,067.15	\$3,359.40	\$0.00	\$0.00	(\$292.25)	\$0.00
CATERPILLAR INC		CUSIP: 149123101							
	31.000	01/02/13	10/22/13	\$2,737.10	\$2,903.62	\$0.00	\$0.00	(\$166.52)	\$0.00
CONOCOPHILLIPS		CUSIP: 20825C104							
	30.000	11/29/12	05/22/13	\$1,900.48	\$1,713.00	\$0.00	\$0.00	\$187.48	\$0.00
DU PONT EI DE NEMOURS & CO		CUSIP: 263534109							
	22.000	11/29/12	10/25/13	\$1,365.03	\$956.92	\$0.00	\$0.00	\$408.11	\$0.00
	4.000	11/29/12	11/11/13	\$247.99	\$173.99	\$0.00	\$0.00	\$74.00	\$0.00
Security Subtotal	26.000			\$1,613.02	\$1,130.91	\$0.00	\$0.00	\$482.11	\$0.00
GENERAL MILLS INC		CUSIP: 370334104							
	77.000	11/29/12	08/15/13	\$3,912.95	\$3,140.83	\$0.00	\$0.00	\$772.12	\$0.00

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Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorTHE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION
2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767New York, NY 10004
Identification Number: 28-4310632Taxpayer ID Number: 22-2914177
Account Number: 803 107614 021

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Covered Securities (Consider Box 6b (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY ACQUIRED (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SYMBOL (Box 1d)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
GREENHILL & CO INC		CUSIP: 395259104		Symbol (Box 1d): GHL					
	1.000	07/19/12	03/25/13	\$53.80		\$36.25	\$0.00	\$17.55	\$0.00
	6.000	07/19/12	04/04/13	\$308.99		\$217.50	\$0.00	\$91.49	\$0.00
Security Subtotal	7.000			\$362.79		\$253.75	\$0.00	\$109.04	\$0.00
GUESS INC		CUSIP: 401617105		Symbol (Box 1d): GES					
	1.000	08/24/12	05/30/13	\$29.35		\$25.99	\$0.00	\$3.36	\$0.00
	1.000	12/11/12	05/30/13	\$29.35		\$24.65	\$0.00	\$4.70	\$0.00
Security Subtotal	2.000			\$58.70		\$50.64	\$0.00	\$8.06	\$0.00
H J HEINZ CO		CUSIP: 423074103		Symbol (Box 1d):					
	127.000	11/29/12	02/25/13	\$9,178.01		\$7,421.87	\$0.00	\$1,756.14	\$0.00
JOHNSON CONTROLS INCORPORATED		CUSIP: 478366107		Symbol (Box 1d): JCI					
	7.000	08/24/12	05/15/13	\$256.94		\$188.86	\$0.00	\$68.08	\$0.00
	98.000	11/29/12	05/15/13	\$3,597.09		\$2,703.82	\$0.00	\$893.27	\$0.00
Security Subtotal	105.000			\$3,854.03		\$2,892.68	\$0.00	\$961.35	\$0.00
MICROSOFT CORP		CUSIP: 594918104		Symbol (Box 1d): MSFT					
	47.000	11/29/12	07/18/13	\$1,674.33		\$1,263.62	\$0.00	\$410.71	\$0.00
OSHKOSH CORP		CUSIP: 688233201		Symbol (Box 1d): OSK					
	7.000	08/24/12	08/16/13	\$322.69		\$171.50	\$0.00	\$151.19	\$0.00
PEOPLE'S UNITED FINANCIAL INC.		CUSIP: 712704105		Symbol (Box 1d): PBCT					
	65.000	11/29/12	07/18/13	\$992.61		\$782.37	\$0.00	\$210.24	\$0.00

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Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Covered Securities (Consider Box 6b (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
PROCTER & GAMBLE	CUSIP: 742718109	Symbol (Box 1d): PG						
	24.000	11/29/12	09/23/13	\$1,893.68	\$1,667.19	\$0.00	\$226.49	\$0.00
SAFEWAY INC COM NEW	CUSIP: 786514208	Symbol (Box 1d): SWY						
	1.000	08/24/12	03/05/13	\$24.35	\$15.55	\$0.00	\$8.80	\$0.00
SCHLUMBERGER LTD	CUSIP: 806857108	Symbol (Box 1d): SLB						
	1.000	11/29/12	03/26/13	\$73.99	\$70.49	\$0.00	\$3.50	\$0.00
THE MOSAIC CO (HLDG CO) NEW	CUSIP: 61945C103	Symbol (Box 1d): MOS						
	9.000	11/14/12	10/10/13	\$416.28	\$439.18	\$0.00	(\$22.90)	\$0.00
THERMO FISHER SCIENTIFIC INC	CUSIP: 883556102	Symbol (Box 1d): TMO						
	27.000	07/10/12	04/15/13	\$2,229.64	\$1,418.54	\$0.00	\$811.10	\$0.00
	7.000	10/25/12	04/15/13	\$578.05	\$431.00	\$0.00	\$147.05	\$0.00
	61.000	11/29/12	04/15/13	\$5,037.33	\$3,869.22	\$0.00	\$1,168.11	\$0.00
Security Subtotal	95.000			\$7,845.02	\$5,718.76	\$0.00	\$2,126.26	\$0.00
TOTAL S A SPON ADR	CUSIP: 89151E109	Symbol (Box 1d): TOT						
	135.000	11/29/12	08/28/13	\$7,647.43	\$6,738.03	\$0.00	\$909.40	\$0.00
	25.000	03/28/13	08/28/13	\$1,416.19	\$1,208.28	\$0.00	\$207.91	\$0.00
Security Subtotal	160.000			\$9,063.62	\$7,946.31	\$0.00	\$1,117.31	\$0.00
VEECO INSTRUMENTS INC DEL	CUSIP: 922417100	Symbol (Box 1d): VECO						
	9.000	10/17/12	04/19/13	\$292.49	\$269.98	\$0.00	\$22.51	\$0.00
WASTE MGMT INC (DELA)	CUSIP: 94106L109	Symbol (Box 1d): WM						
	14.000	11/29/12	08/15/13	\$588.77	\$454.95	\$0.00	\$133.82	\$0.00

IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

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Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
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New York, NY 10004
Identification Number: 26-4310632
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THE DANIEL & FLAVIA GERNATT
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2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Covered Securities (Consider Box 6b (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
3M COMPANY	6.000	11/29/12	07/22/13	\$696.32	\$543.60	\$0.00	\$152.72	\$0.00
				\$52,083.38	\$43,489.35	\$0.00	\$8,594.03	\$0.00
Total Short Term Covered Securities								

Corporate Tax Statement Tax Year 2013

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION
2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
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Identification Number: 26-4310632
Taxpayer ID Number: 22-2914177
Account Number: 803 107614 021

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8849, Part I with box B checked.)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
GREENHILL & CO INC		CUSIP: 395259104 Symbol (Box 1d): GHL						
	3.000	04/05/12	03/05/13	\$177.62	\$132.49	\$0.00	\$45.13	\$0.00
	6.000	04/05/12	03/07/13	\$361.30	\$264.99	\$0.00	\$96.31	\$0.00
	4.000	04/05/12	03/25/13	\$215.21	\$176.66	\$0.00	\$38.55	\$0.00
Security Subtotal	13.000			\$754.13	\$574.14	\$0.00	\$179.99	\$0.00
Total Short Term Noncovered Securities				\$754.13	\$574.14	\$0.00	\$179.99	\$0.00
Total Short Term Covered and Noncovered Securities				\$52,837.51	\$44,063.49	\$0.00	\$8,774.02	\$0.00

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
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GOWANDA NY 14070-9767

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Covered Securities (Consider Box 6b (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part II with box D checked.)

DESCRIPTION (Box 8)	QUANTITY ACQUIRED (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
SAFEWAY INC COM NEW	CUSIP: 786514208	Symbol (Box 1d): SWY						
	19,000	08/24/12	09/17/13	\$576.15	\$295.43	\$0.00	\$280.72	\$0.00
	2,000	08/24/12	09/18/13	\$61.98	\$31.10	\$0.00	\$30.88	\$0.00
	21,000			\$638.13	\$326.53	\$0.00	\$311.60	\$0.00
Security Subtotal								
THE MOSAIC CO (HLDG CO) NEW	CUSIP: 61945C103	Symbol (Box 1d): MOS						
	5,000	06/05/12	10/10/13	\$231.27	\$232.39	\$0.00	(\$1.12)	\$0.00
TOTAL S A SPON ADR	CUSIP: 89151E109	Symbol (Box 1d): TOT						
	10,000	08/24/12	08/28/13	\$566.48	\$492.39	\$0.00	\$74.09	\$0.00
Total Long Term Covered Securities				\$1,435.88	\$1,051.31	\$0.00	\$384.57	\$0.00

Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorNew York, NY 10004
Identification Number: 26-4310632Taxpayer ID Number: 22-2914177
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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities * (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box E checked.)

DESCRIPTION (Box 8)	QUANTITY ACQUIRED (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
AUTOMATIC DATA PROCESSING INC								
		CUSIP: 053015103	Symbol (Box 1d): ADP					
	47.438	01/26/05	09/23/13	\$3,470.72	\$1,909.37	\$0.00	\$1,561.35	\$0.00
	6.566	07/02/09	09/23/13	\$480.39	\$231.00	\$0.00	\$249.39	\$0.00
	5.995	10/02/09	09/23/13	\$438.61	\$233.17	\$0.00	\$205.44	\$0.00
	9.000	01/08/10	09/23/13	\$658.47	\$380.75	\$0.00	\$277.72	\$0.00
	4.000	01/22/10	09/23/13	\$292.65	\$164.78	\$0.00	\$127.87	\$0.00
	4.000	02/08/10	09/23/13	\$292.65	\$161.87	\$0.00	\$130.78	\$0.00
	3.000	02/16/10	09/23/13	\$219.49	\$123.81	\$0.00	\$95.68	\$0.00
	4.000	02/22/10	09/23/13	\$292.65	\$166.43	\$0.00	\$126.22	\$0.00
	3.001	11/09/10	09/23/13	\$219.56	\$136.56	\$0.00	\$83.00	\$0.00
Security Subtotal	87.000			\$6,365.19	\$3,507.74	\$0.00	\$2,857.45	\$0.00
BHP BILLITON PLC SPONS ADR								
		CUSIP: 05545E209	Symbol (Box 1d): BBL					
	21.000	11/30/11	07/19/13	\$1,192.78	\$1,286.10	\$0.00	(\$93.32)	\$0.00
BIOGEN IDEC INC								
		CUSIP: 09062X103	Symbol (Box 1d): BIIB					
	7.000	12/10/09	04/25/13	\$1,494.72	\$338.30	\$0.00	\$1,156.42	\$0.00
	18.000	12/10/09	04/30/13	\$3,941.93	\$869.90	\$0.00	\$3,072.03	\$0.00
Security Subtotal	25.000			\$5,436.65	\$1,208.20	\$0.00	\$4,228.45	\$0.00
BOEING CO								
		CUSIP: 097023105	Symbol (Box 1d): BA					
	4.000	12/10/09	03/13/13	\$337.69	\$219.35	\$0.00	\$118.34	\$0.00
CARNIVAL CP NEW PAIRED COM								
		CUSIP: 143658300	Symbol (Box 1d): CCL					
	11.000	12/10/09	12/13/13	\$395.12	\$353.09	\$0.00	\$42.03	\$0.00
CHUBB CORP								
		CUSIP: 171232101	Symbol (Box 1d): CB					
	6.000	12/10/09	07/23/13	\$522.31	\$289.96	\$0.00	\$232.35	\$0.00

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Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities [#] (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box E checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
CISCO SYS INC								
		CUSIP: 17275R102		Symbol (Box 1d): CSCO				
	10.000	01/08/10	02/13/13	\$209.99	\$245.78	\$0.00	(\$35.79)	\$0.00
	2.000	01/22/10	02/13/13	\$41.93	\$46.10	\$0.00	(\$4.17)	\$0.00
	4.000	01/22/10	02/13/13	\$84.00	\$92.20	\$0.00	(\$8.20)	\$0.00
	1.000	02/08/10	02/13/13	\$20.97	\$23.71	\$0.00	(\$2.74)	\$0.00
	5.000	02/16/10	02/13/13	\$104.83	\$119.75	\$0.00	(\$14.92)	\$0.00
	5.000	02/22/10	02/13/13	\$104.83	\$122.25	\$0.00	(\$17.42)	\$0.00
	11.000	05/03/11	02/13/13	\$230.64	\$191.16	\$0.00	\$39.48	\$0.00
	12.000	05/03/11	04/04/13	\$251.96	\$208.54	\$0.00	\$43.42	\$0.00
	10.000	05/03/11	04/19/13	\$204.09	\$173.78	\$0.00	\$30.31	\$0.00
Security Subtotal	60.000			\$1,253.24	\$1,223.27	\$0.00	\$29.97	\$0.00
CONOCOPHILLIPS								
		CUSIP: 20825C104		Symbol (Box 1d): COP				
	1.000	02/08/10	05/22/13	\$63.35	\$36.66	\$0.00	\$26.69	\$0.00
	3.000	02/22/10	05/22/13	\$190.05	\$112.85	\$0.00	\$77.20	\$0.00
	9.000	03/02/11	05/22/13	\$570.15	\$542.00	\$0.00	\$28.15	\$0.00
	5.000	05/03/11	05/22/13	\$380.10	\$343.71	\$0.00	\$36.39	\$0.00
Security Subtotal	19.000			\$1,203.65	\$1,035.22	\$0.00	\$168.43	\$0.00
CREE RESEARCH INC								
		CUSIP: 225447101		Symbol (Box 1d): CREE				
	13.000	12/10/09	04/30/13	\$730.54	\$672.88	\$0.00	\$57.66	\$0.00
	2.000	02/08/10	04/30/13	\$112.39	\$112.86	\$0.00	(\$0.47)	\$0.00
	2.000	05/25/10	04/30/13	\$112.39	\$123.31	\$0.00	(\$10.92)	\$0.00
	14.000	08/05/10	04/30/13	\$786.74	\$979.65	\$0.00	(\$192.91)	\$0.00
	31.000	09/16/10	04/30/13	\$1,742.06	\$1,585.10	\$0.00	\$156.96	\$0.00
Security Subtotal	62.000			\$3,484.12	\$3,473.80	\$0.00	\$10.32	\$0.00

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box E checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
DEERE & CO								
		CUSIP: 244199105 Symbol (Box 1d): DE						
	4.000	12/10/09	05/15/13	\$357.99	\$208.99	\$0.00	\$149.00	\$0.00
	9.000	12/10/09	06/25/13	\$740.68	\$470.23	\$0.00	\$270.45	\$0.00
	3.000	12/10/09	06/26/13	\$246.29	\$156.74	\$0.00	\$89.55	\$0.00
	3.000	12/10/09	07/01/13	\$244.46	\$156.74	\$0.00	\$87.72	\$0.00
	2.000	01/08/10	07/09/13	\$164.01	\$114.85	\$0.00	\$49.16	\$0.00
	2.000	01/22/10	07/09/13	\$164.00	\$106.89	\$0.00	\$57.11	\$0.00
	1.000	01/22/10	07/09/13	\$81.65	\$53.45	\$0.00	\$28.20	\$0.00
	4.000	02/08/10	07/09/13	\$326.61	\$196.87	\$0.00	\$129.74	\$0.00
Security Subtotal	28.000			\$2,325.69	\$1,464.76	\$0.00	\$860.93	\$0.00
DOVER CORP								
		CUSIP: 260003108 Symbol (Box 1d): DOV						
	5.000	12/10/09	07/12/13	\$404.99	\$204.65	\$0.00	\$200.34	\$0.00
	1.000	12/10/09	07/15/13	\$81.00	\$40.93	\$0.00	\$40.07	\$0.00
	3.000	12/10/09	09/12/13	\$266.99	\$122.79	\$0.00	\$144.20	\$0.00
	1.000	12/10/09	09/13/13	\$89.01	\$40.93	\$0.00	\$48.08	\$0.00
	3.000	12/10/09	09/18/13	\$271.49	\$122.79	\$0.00	\$148.70	\$0.00
	6.000	12/10/09	09/23/13	\$545.99	\$245.58	\$0.00	\$300.41	\$0.00
	1.000	01/08/10	09/23/13	\$91.00	\$44.66	\$0.00	\$46.34	\$0.00
	2.000	02/08/10	09/23/13	\$181.99	\$82.50	\$0.00	\$99.49	\$0.00
Security Subtotal	22.000			\$1,932.46	\$904.83	\$0.00	\$1,027.63	\$0.00
DU PONT EI DE NEMOURS & CO								
		CUSIP: 263534109 Symbol (Box 1d): DD						
	38.000	12/10/09	07/22/13	\$2,169.76	\$1,206.44	\$0.00	\$963.32	\$0.00
	4.000	01/08/10	07/22/13	\$228.40	\$135.91	\$0.00	\$92.49	\$0.00
	4.000	01/22/10	07/22/13	\$228.40	\$130.87	\$0.00	\$97.53	\$0.00

Morgan Stanley

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION
2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 22-2914177
Account Number: 803 107614 021

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box E checked) (Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
DU PONT EI DE NEMOURS & CO	2.000	02/08/10	07/22/13	\$114.20	\$64.60	\$0.00	\$49.60	\$0.00
	2.000	02/16/10	07/22/13	\$114.19	\$65.39	\$0.00	\$48.80	\$0.00
	2.000	02/16/10	10/25/13	\$124.09	\$65.39	\$0.00	\$58.70	\$0.00
	25.000	07/05/11	10/25/13	\$1,551.16	\$1,362.04	\$0.00	\$189.12	\$0.00
	15.000	09/26/11	10/25/13	\$930.70	\$610.07	\$0.00	\$320.63	\$0.00
Security Subtotal	92.000			\$5,460.90	\$3,640.71	\$0.00	\$1,820.19	\$0.00
E V FLOATING RATE I		CUSIP: 277911491	Symbol (Box 1d): EIBLX					
	78.959	05/03/11	04/30/13	\$728.79	\$718.53	\$0.00	\$10.26	\$0.00
EBAY INC		CUSIP: 278642103	Symbol (Box 1d): EBAY					
	11.000	12/21/09	03/14/13	\$569.82	\$251.79	\$0.00	\$318.03	\$0.00
	2.000	01/08/10	03/14/13	\$103.60	\$47.02	\$0.00	\$56.51	\$0.00
Security Subtotal	13.000			\$673.42	\$298.88	\$0.00	\$374.54	\$0.00
EMERSON ELECTRIC CO		CUSIP: 291011104	Symbol (Box 1d): EMR					
	10.000	12/10/09	05/07/13	\$584.11	\$416.07	\$0.00	\$168.04	\$0.00
	7.000	12/10/09	07/12/13	\$399.12	\$291.25	\$0.00	\$107.87	\$0.00
	7.000	12/10/09	07/12/13	\$399.29	\$291.25	\$0.00	\$108.04	\$0.00
	1.000	12/10/09	07/15/13	\$57.52	\$41.61	\$0.00	\$15.91	\$0.00
	5.000	12/10/09	07/15/13	\$287.84	\$208.04	\$0.00	\$79.80	\$0.00
	3.000	01/08/10	07/15/13	\$172.56	\$131.49	\$0.00	\$41.07	\$0.00
	4.000	01/08/10	07/17/13	\$229.99	\$175.31	\$0.00	\$54.68	\$0.00
	3.000	01/22/10	07/17/13	\$172.50	\$127.22	\$0.00	\$45.28	\$0.00
	2.000	01/22/10	07/18/13	\$115.58	\$84.81	\$0.00	\$30.77	\$0.00
	1.000	02/22/10	07/18/13	\$57.79	\$48.38	\$0.00	\$9.41	\$0.00

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Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorNew York, NY 10004
Identification Number: 26-4310632THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION
2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767Taxpayer ID Number: 22-2914177
Account Number: 803 107614 021

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box E checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT (Box 4)	FEDERAL INCOME TAX WITHHELD (Box 4)
EMERSON ELECTRIC CO	2.000	05/04/11	07/18/13	\$115.57	\$111.70	\$0.00	\$3.87	\$0.00
Security Subtotal	1.000	05/04/11	07/19/13	\$57.68	\$55.85	\$0.00	\$1.83	\$0.00
ERICSSON LM TEL ADR CL B NEW	46.000			\$2,629.55	\$1,982.98	\$0.00	\$646.57	\$0.00
		CUSIP: 294821608		Symbol (Box 1d): ERIC				
	40.000	12/21/09	03/19/13	\$510.00	\$366.32	\$0.00	\$143.68	\$0.00
	5.000	01/08/10	03/19/13	\$63.75	\$48.89	\$0.00	\$14.86	\$0.00
	1.000	01/22/10	03/19/13	\$12.75	\$9.83	\$0.00	\$2.92	\$0.00
	42.000	01/25/10	03/19/13	\$535.49	\$411.94	\$0.00	\$123.55	\$0.00
	24.000	01/25/10	04/23/13	\$278.77	\$235.39	\$0.00	\$43.38	\$0.00
Security Subtotal	112.000			\$1,400.76	\$1,072.37	\$0.00	\$328.39	\$0.00
FLUOR CORP NEW		CUSIP: 343412102		Symbol (Box 1d): FLR				
	7.000	12/10/09	09/27/13	\$497.46	\$282.17	\$0.00	\$215.29	\$0.00
	20.000	12/10/09	09/27/13	\$1,421.32	\$806.18	\$0.00	\$615.14	\$0.00
	3.000	12/10/09	09/27/13	\$213.19	\$120.93	\$0.00	\$92.26	\$0.00
Security Subtotal	30.000			\$2,131.97	\$1,209.28	\$0.00	\$922.69	\$0.00
GAP INC		CUSIP: 364760108		Symbol (Box 1d): GPS				
	3.000	01/08/10	01/10/13	\$93.39	\$61.02	\$0.00	\$32.37	\$0.00
	5.000	01/22/10	01/10/13	\$155.65	\$94.40	\$0.00	\$61.25	\$0.00
	2.000	02/16/10	01/10/13	\$62.26	\$39.48	\$0.00	\$22.78	\$0.00
	2.000	02/22/10	01/10/13	\$62.26	\$39.54	\$0.00	\$22.72	\$0.00
	1.000	05/03/11	01/10/13	\$31.13	\$22.91	\$0.00	\$8.22	\$0.00
	7.000	05/03/11	01/11/13	\$220.89	\$160.37	\$0.00	\$60.52	\$0.00
	7.000	07/27/11	01/11/13	\$220.89	\$135.06	\$0.00	\$85.83	\$0.00
Security Subtotal	27.000			\$846.47	\$552.78	\$0.00	\$293.69	\$0.00

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Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
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GOWANDA NY 14070-9767New York, NY 10004
Identification Number: 26-4310632Taxpayer ID Number: 22-2914177
Account Number: 803 107614 021

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities * (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box E checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
GENERAL MILLS INC								
	CUSIP: 370334104	Symbol (Box 1d): GIS						
	25,000	12/10/09	08/15/13	\$1,270.44	\$858.66	\$0.00	\$411.78	\$0.00
	8,000	01/08/10	08/15/13	\$406.54	\$281.96	\$0.00	\$124.58	\$0.00
	2,000	01/22/10	08/15/13	\$101.64	\$71.31	\$0.00	\$30.33	\$0.00
	4,000	02/08/10	08/15/13	\$203.27	\$137.64	\$0.00	\$65.63	\$0.00
	2,000	02/16/10	08/15/13	\$101.64	\$70.50	\$0.00	\$31.14	\$0.00
	2,000	02/22/10	08/15/13	\$101.64	\$72.42	\$0.00	\$29.22	\$0.00
	4,000	11/17/10	08/15/13	\$203.27	\$142.60	\$0.00	\$60.67	\$0.00
	1,000	11/23/10	08/15/13	\$50.82	\$35.14	\$0.00	\$15.68	\$0.00
Security Subtotal	48,000			\$2,439.26	\$1,670.23	\$0.00	\$769.03	\$0.00
GREENHILL & CO INC								
	CUSIP: 395259104	Symbol (Box 1d): GHL						
	2,000	07/27/11	01/25/13	\$118.70	\$94.16	\$0.00	\$24.54	\$0.00
	1,000	07/27/11	03/05/13	\$59.21	\$47.08	\$0.00	\$12.13	\$0.00
Security Subtotal	3,000			\$177.91	\$141.24	\$0.00	\$36.67	\$0.00
GUESS INC								
	CUSIP: 401617105	Symbol (Box 1d): GES						
	9,000	04/02/12	05/30/13	\$264.14	\$283.96	\$0.00	(\$19.82)	\$0.00
H J HEINZ CO								
	CUSIP: 423074103	Symbol (Box 1d):						
	62,000	12/10/09	02/25/13	\$4,480.60	\$2,644.17	\$0.00	\$1,836.43	\$0.00
	12,000	01/08/10	02/25/13	\$867.21	\$507.46	\$0.00	\$359.75	\$0.00
	2,000	01/22/10	02/25/13	\$144.54	\$84.16	\$0.00	\$60.38	\$0.00
	3,000	02/16/10	02/25/13	\$216.80	\$133.44	\$0.00	\$83.36	\$0.00
	1,000	02/22/10	02/25/13	\$72.27	\$46.02	\$0.00	\$26.25	\$0.00
Security Subtotal	80,000			\$5,781.42	\$3,415.25	\$0.00	\$2,366.17	\$0.00

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box E checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY ACQUIRED (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SYMBOL (Box 1d)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT (Box 4)	FEDERAL INCOME TAX WITHHELD (Box 4)
HALLIBURTON CO									
	CUSIP: 406216101 Symbol (Box 1d): HAL								
	14.000	12/30/09	03/01/13		\$567.84	\$418.88	\$0.00	\$148.96	\$0.00
	3.000	12/30/09	04/03/13		\$115.98	\$89.76	\$0.00	\$26.22	\$0.00
	5.000	12/30/09	04/04/13		\$192.01	\$149.60	\$0.00	\$42.41	\$0.00
	2.000	01/22/10	04/04/13		\$76.80	\$62.80	\$0.00	\$14.00	\$0.00
Security Subtotal	24.000				\$952.63	\$721.04	\$0.00	\$231.59	\$0.00
HESS CORPORATION									
	CUSIP: 42809H107 Symbol (Box 1d): HES								
	8.000	12/10/09	01/29/13		\$540.54	\$446.05	\$0.00	\$94.49	\$0.00
	1.000	12/10/09	04/19/13		\$67.21	\$55.76	\$0.00	\$11.45	\$0.00
	2.000	12/10/09	04/22/13		\$135.13	\$111.51	\$0.00	\$23.62	\$0.00
	6.000	12/10/09	04/26/13		\$426.61	\$334.54	\$0.00	\$92.07	\$0.00
Security Subtotal	17.000				\$1,169.49	\$947.86	\$0.00	\$221.63	\$0.00
HONEYWELL INTERNATIONAL INC									
	CUSIP: 438516106 Symbol (Box 1d): HON								
	10.000	12/10/09	05/28/13		\$798.98	\$403.07	\$0.00	\$395.91	\$0.00
	2.000	12/10/09	11/13/13		\$173.95	\$80.61	\$0.00	\$93.34	\$0.00
Security Subtotal	12.000				\$972.93	\$483.68	\$0.00	\$489.25	\$0.00
ING GLOBAL REAL ESTATE FDI									
	CUSIP: 44980Q302 Symbol (Box 1d): IGLIX								
	274.962	12/10/09	04/30/13		\$5,545.98	\$4,072.19	\$0.00	\$1,473.79	\$0.00
ISHARES COHEN&STEERS RL MJR FD									
	CUSIP: 464287564 Symbol (Box 1d): ICF								
	24.223	09/01/09	04/30/13		\$2,124.79	\$1,065.81	\$0.00	\$1,058.98	\$0.00
	48.777	09/22/09	04/30/13		\$4,278.62	\$2,530.65	\$0.00	\$1,747.97	\$0.00
Security Subtotal	73.000				\$6,403.41	\$3,596.46	\$0.00	\$2,806.95	\$0.00

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Corporate Tax Statement
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1 New York Plaza
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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

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JOHNSON CONTROLS INCORPORATED	42.000	11/16/11	05/15/13	\$1,541.61	\$1,323.58	\$0.00	\$218.03	\$0.00
JONES LANG LASALLE INC	1.000	12/10/09	01/29/13	\$91.76	\$53.58	\$0.00	\$38.18	\$0.00
	7.000	12/10/09	03/07/13	\$685.34	\$375.06	\$0.00	\$310.28	\$0.00
Security Subtotal	8.000			\$777.10	\$428.64	\$0.00	\$348.46	\$0.00
KIMBERLY CLARK CORP	4.859	07/06/09	04/19/13	\$510.20	\$257.59	\$0.00	\$252.61	\$0.00
	5.140	10/05/09	04/19/13	\$539.70	\$303.40	\$0.00	\$236.30	\$0.00
	6.000	01/08/10	04/19/13	\$630.01	\$373.79	\$0.00	\$256.22	\$0.00
	2.000	01/22/10	04/19/13	\$210.00	\$120.96	\$0.00	\$89.04	\$0.00
	1.000	02/08/10	04/19/13	\$105.00	\$59.15	\$0.00	\$45.85	\$0.00
	4.000	02/16/10	04/19/13	\$420.00	\$236.27	\$0.00	\$183.73	\$0.00
	2.000	02/22/10	04/19/13	\$210.00	\$119.87	\$0.00	\$90.13	\$0.00
	4.000	11/11/10	04/19/13	\$420.00	\$248.61	\$0.00	\$171.39	\$0.00
	1.000	12/07/10	04/19/13	\$105.00	\$61.99	\$0.00	\$43.01	\$0.00
	4.001	04/01/11	04/19/13	\$420.12	\$261.78	\$0.00	\$158.34	\$0.00
Security Subtotal	34.000			\$3,570.03	\$2,043.41	\$0.00	\$1,526.62	\$0.00
KLA TENCOR CORP	6.000	09/26/11	03/19/13	\$307.83	\$236.66	\$0.00	\$71.17	\$0.00
	5.000	09/27/11	03/19/13	\$256.53	\$202.11	\$0.00	\$54.42	\$0.00
	4.000	09/27/11	04/08/13	\$207.00	\$161.68	\$0.00	\$45.32	\$0.00
	1.000	09/29/11	04/08/13	\$51.75	\$39.10	\$0.00	\$12.65	\$0.00
Security Subtotal	16.000			\$823.11	\$639.55	\$0.00	\$183.56	\$0.00

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IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR YOUR RECORDS

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Corporate Tax Statement
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1 New York Plaza
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Long Term - Noncovered Securities * (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box E checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
CUSIP: G5785G107 Symbol (Box 1d): MNK								
MALLINCKRODT PUBLIC LTD CO	0.625	12/10/09	06/28/13	\$26.29	\$16.60	\$0.00	\$9.69	\$0.00
	5.000	12/10/09	07/03/13	\$211.30	\$132.81	\$0.00	\$78.49	\$0.00
Security Subtotal	5.625			\$237.59	\$149.41	\$0.00	\$88.18	\$0.00
CUSIP: 577081102 Symbol (Box 1d): MAT								
MATTEL INC	14.000	12/10/09	01/14/13	\$512.11	\$277.48	\$0.00	\$234.63	\$0.00
	9.000	12/10/09	01/15/13	\$333.08	\$178.38	\$0.00	\$154.70	\$0.00
	3.000	01/08/10	01/15/13	\$111.03	\$59.31	\$0.00	\$51.72	\$0.00
Security Subtotal	26.000			\$956.22	\$515.17	\$0.00	\$441.05	\$0.00
CUSIP: 594918104 Symbol (Box 1d): MSFT								
MICROSOFT CORP	16.000	12/10/09	07/08/13	\$544.87	\$478.39	\$0.00	\$66.48	\$0.00
	10.000	12/10/09	07/08/13	\$340.54	\$299.00	\$0.00	\$41.54	\$0.00
	2.000	01/08/10	07/08/13	\$68.11	\$61.57	\$0.00	\$6.54	\$0.00
	11.000	01/08/10	07/08/13	\$374.60	\$338.66	\$0.00	\$35.94	\$0.00
	7.000	01/22/10	07/08/13	\$238.38	\$203.12	\$0.00	\$35.26	\$0.00
	2.000	01/22/10	07/08/13	\$68.11	\$58.03	\$0.00	\$10.08	\$0.00
	9.000	02/08/10	07/08/13	\$306.49	\$250.62	\$0.00	\$55.87	\$0.00
	5.000	02/08/10	07/08/13	\$170.27	\$139.24	\$0.00	\$31.03	\$0.00
	1.000	02/16/10	07/08/13	\$34.05	\$28.31	\$0.00	\$5.74	\$0.00
	2.000	02/16/10	07/08/13	\$68.11	\$56.62	\$0.00	\$11.49	\$0.00
	6.000	02/16/10	07/08/13	\$204.33	\$169.85	\$0.00	\$34.48	\$0.00
	3.000	02/22/10	07/08/13	\$102.16	\$86.45	\$0.00	\$15.71	\$0.00
	5.000	02/22/10	07/08/13	\$170.27	\$144.09	\$0.00	\$26.18	\$0.00
	30.000	10/22/10	07/08/13	\$1,021.63	\$760.74	\$0.00	\$260.89	\$0.00

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Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza

8th Floor

New York, NY 10004

Identification Number: 26-4310632

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

2698 GOWANDA ZOAR RD

GOWANDA NY 14070-9767

Taxpayer ID Number: 22-2914177

Account Number: 803 107614 021

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box E checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
MICROSOFT CORP	17.000	10/22/10	07/08/13	\$578.93	\$431.08	\$0.00	\$147.85	\$0.00
	7.000	03/07/11	07/08/13	\$238.38	\$180.67	\$0.00	\$67.71	\$0.00
	4.000	03/07/11	07/08/13	\$136.22	\$103.24	\$0.00	\$32.98	\$0.00
	8.000	07/01/11	07/08/13	\$272.45	\$207.12	\$0.00	\$65.33	\$0.00
	19.000	07/01/11	07/18/13	\$676.86	\$491.90	\$0.00	\$184.96	\$0.00
	2.000	07/01/11	07/18/13	\$71.25	\$51.78	\$0.00	\$19.47	\$0.00
Security Subtotal	166.000			\$5,686.01	\$4,540.48	\$0.00	\$1,145.53	\$0.00
OSHKOSH CORP								
	2.000	01/21/11	07/31/13	\$89.12	\$72.25	\$0.00	\$16.87	\$0.00
	7.000	04/28/11	07/31/13	\$311.90	\$227.01	\$0.00	\$84.89	\$0.00
	6.000	04/28/11	08/13/13	\$275.40	\$194.58	\$0.00	\$80.82	\$0.00
	3.000	05/04/11	08/13/13	\$137.70	\$91.07	\$0.00	\$46.63	\$0.00
Security Subtotal	18.000			\$814.12	\$584.91	\$0.00	\$229.21	\$0.00
PEBBLEBROOK HOTEL TR COM								
	14.000	07/23/10	01/22/13	\$339.49	\$239.21	\$0.00	\$100.28	\$0.00
	3.000	05/03/11	01/22/13	\$72.75	\$63.19	\$0.00	\$9.56	\$0.00
Security Subtotal	17.000			\$412.24	\$302.40	\$0.00	\$109.84	\$0.00
PEOPLE'S UNITED FINANCIAL INC.								
	40.000	01/07/11	07/18/13	\$610.84	\$567.56	\$0.00	\$43.28	\$0.00
	103.000	01/10/11	07/18/13	\$1,572.90	\$1,441.66	\$0.00	\$131.24	\$0.00
	3.000	01/19/11	07/18/13	\$45.81	\$42.21	\$0.00	\$3.60	\$0.00
	19.000	03/07/11	07/18/13	\$290.15	\$239.30	\$0.00	\$50.85	\$0.00
Security Subtotal	165.000			\$2,519.70	\$2,290.73	\$0.00	\$228.97	\$0.00

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Corporate Tax Statement
Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632
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THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION
2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8549 Part II with box E checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
PHILLIPS 66 COM								
		CUSIP: 718546104		Symbol (Box 1d): PSX				
	0.473	02/08/10	01/04/13	\$24.80	\$10.32	\$0.00	\$14.48	\$0.00
	1.421	02/22/10	01/04/13	\$74.51	\$31.77	\$0.00	\$42.74	\$0.00
	4.263	03/02/11	01/04/13	\$223.53	\$152.59	\$0.00	\$70.94	\$0.00
	2.843	05/03/11	01/04/13	\$149.07	\$96.76	\$0.00	\$52.31	\$0.00
Security Subtotal	9.000			\$471.91	\$291.44	\$0.00	\$180.47	\$0.00
PPG INDUSTRIES INC								
		CUSIP: 693506107		Symbol (Box 1d): PPG				
	20.000	12/10/09	01/02/13	\$2,769.98	\$1,176.15	\$0.00	\$1,593.83	\$0.00
PROCTER & GAMBLE								
		CUSIP: 742718109		Symbol (Box 1d): PG				
	5.733	08/18/09	04/24/13	\$448.90	\$300.08	\$0.00	\$148.82	\$0.00
	4.853	11/17/09	04/24/13	\$380.00	\$302.60	\$0.00	\$77.40	\$0.00
	7.000	01/08/10	04/24/13	\$548.11	\$421.53	\$0.00	\$126.58	\$0.00
	2.000	01/22/10	04/24/13	\$156.60	\$121.20	\$0.00	\$35.40	\$0.00
	2.000	02/16/10	04/24/13	\$156.60	\$125.57	\$0.00	\$31.03	\$0.00
	2.000	02/22/10	04/24/13	\$156.60	\$127.14	\$0.00	\$29.46	\$0.00
	7.000	07/27/10	04/24/13	\$548.11	\$439.18	\$0.00	\$108.93	\$0.00
	2.001	09/21/10	04/24/13	\$156.70	\$122.94	\$0.00	\$33.76	\$0.00
	35.413	09/17/08	04/24/13	\$2,772.91	\$1,365.41	\$0.00	\$1,407.50	\$0.00
	1.999	09/21/10	09/23/13	\$157.73	\$122.82	\$0.00	\$34.91	\$0.00
	1.000	10/22/10	09/23/13	\$78.90	\$63.28	\$0.00	\$15.62	\$0.00
	2.000	12/03/10	09/23/13	\$157.81	\$124.52	\$0.00	\$33.29	\$0.00
	1.000	12/07/10	09/23/13	\$78.90	\$62.17	\$0.00	\$16.73	\$0.00
	4.001	03/07/11	09/23/13	\$315.69	\$246.74	\$0.00	\$68.95	\$0.00
Security Subtotal	78.000			\$6,113.56	\$3,945.18	\$0.00	\$2,168.38	\$0.00

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IMPORTANT TAX INFORMATION – PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza

8th Floor

New York, NY 10004

Identification Number: 26-4310632

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

2698 GOWANDA ZOAR RD

GOWANDA NY 14070-9767

Taxpayer ID Number: 22-2914177

Account Number: 803 107614 021

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box E checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
SAFEWAY INC COM NEW		CUSIP: 786514208	Symbol (Box 1d): SWY					
	75.000	12/10/09	02/21/13	\$1,604.96	\$1,599.75	\$0.00	\$5.21	\$0.00
	30.000	12/10/09	02/21/13	\$675.98	\$639.90	\$0.00	\$36.08	\$0.00
	10.000	01/08/10	02/21/13	\$214.00	\$210.37	\$0.00	\$3.63	\$0.00
	6.000	01/08/10	02/22/13	\$138.00	\$126.22	\$0.00	\$11.78	\$0.00
	3.000	02/16/10	02/22/13	\$69.00	\$68.18	\$0.00	\$0.82	\$0.00
	1.000	02/22/10	02/22/13	\$23.00	\$23.85	\$0.00	(\$0.85)	\$0.00
	2.000	05/03/11	02/22/13	\$45.99	\$48.30	\$0.00	(\$2.31)	\$0.00
	21.000	05/03/11	03/01/13	\$503.11	\$507.10	\$0.00	(\$3.99)	\$0.00
	2.000	07/21/11	03/01/13	\$47.92	\$43.79	\$0.00	\$4.13	\$0.00
	10.000	07/21/11	03/05/13	\$243.54	\$218.96	\$0.00	\$24.58	\$0.00
Security Subtotal	160.000			\$3,565.50	\$3,486.42	\$0.00	\$79.08	\$0.00
SCHLUMBERGER LTD		CUSIP: 806857108	Symbol (Box 1d): SLB					
	2.000	12/10/09	03/20/13	\$148.13	\$122.73	\$0.00	\$25.40	\$0.00
	2.000	12/10/09	03/20/13	\$148.14	\$122.73	\$0.00	\$25.41	\$0.00
	1.000	12/10/09	03/20/13	\$74.07	\$61.37	\$0.00	\$12.70	\$0.00
	1.000	12/10/09	03/20/13	\$74.07	\$61.37	\$0.00	\$12.70	\$0.00
	7.000	12/10/09	03/20/13	\$518.47	\$429.57	\$0.00	\$88.90	\$0.00
	3.000	12/10/09	03/25/13	\$221.39	\$184.10	\$0.00	\$37.29	\$0.00
	2.000	01/22/10	03/25/13	\$147.59	\$130.88	\$0.00	\$16.71	\$0.00
	2.000	02/08/10	03/25/13	\$147.60	\$125.07	\$0.00	\$22.53	\$0.00
	1.000	02/16/10	03/26/13	\$74.16	\$65.67	\$0.00	\$8.49	\$0.00
	4.000	02/22/10	03/26/13	\$296.66	\$242.02	\$0.00	\$54.64	\$0.00

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**Corporate Tax Statement
Tax Year 2013**

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION
2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 22-2914177
Account Number: 803 107614 021

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 9949 Part II with box E checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
SCHLUMBERGER LTD	2,000	06/02/10	03/26/13	\$148.32	\$109.98	\$0.00	\$38.34	\$0.00
	2,000	06/02/10	03/26/13	\$147.99	\$109.99	\$0.00	\$38.00	\$0.00
Security Subtotal	29,000			\$2,146.59	\$1,765.48	\$0.00	\$381.11	\$0.00
SEAGATE TECHNOLOGY PLC		CUSIP: G7945M107	Symbol (Box 1d): STX					
	116,000	12/10/09	04/30/13	\$4,219.73	\$1,916.09	\$0.00	\$2,303.64	\$0.00
	13,000	01/08/10	04/30/13	\$472.90	\$232.44	\$0.00	\$240.46	\$0.00
	2,000	02/08/10	04/30/13	\$72.75	\$36.50	\$0.00	\$36.25	\$0.00
	27,000	08/18/10	04/30/13	\$982.18	\$301.64	\$0.00	\$680.54	\$0.00
Security Subtotal	158,000			\$5,747.56	\$2,486.67	\$0.00	\$3,260.89	\$0.00
SYMANTEC CORP		CUSIP: 871503108	Symbol (Box 1d): SYMC					
	11,000	03/09/11	03/07/13	\$269.39	\$202.29	\$0.00	\$67.10	\$0.00
TEXAS INSTRUMENTS		CUSIP: 882508104	Symbol (Box 1d): TXN					
	14,000	12/10/09	02/11/13	\$471.86	\$362.54	\$0.00	\$109.32	\$0.00
	5,000	12/10/09	02/11/13	\$168.52	\$129.48	\$0.00	\$39.04	\$0.00
	8,000	12/10/09	02/12/13	\$268.29	\$207.17	\$0.00	\$61.12	\$0.00
	8,000	01/08/10	03/14/13	\$283.19	\$209.90	\$0.00	\$73.29	\$0.00
	2,000	01/22/10	03/14/13	\$70.80	\$46.36	\$0.00	\$24.44	\$0.00
	2,000	02/08/10	03/14/13	\$70.80	\$46.47	\$0.00	\$24.33	\$0.00
	3,000	02/22/10	03/14/13	\$106.19	\$74.63	\$0.00	\$31.56	\$0.00
	8,000	12/10/09	03/15/13	\$280.00	\$207.17	\$0.00	\$72.83	\$0.00
	2,000	12/10/09	03/15/13	\$70.00	\$51.79	\$0.00	\$18.21	\$0.00
	1,000	01/08/10	03/15/13	\$35.00	\$26.24	\$0.00	\$8.76	\$0.00
Security Subtotal	53,000			\$1,824.65	\$1,361.75	\$0.00	\$462.90	\$0.00

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Corporate Tax Statement Tax Year 2013

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box E checked.)
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TOTAL S A SPON ADR								
CUSIP: 89151E109 Symbol (Box 1d): TOT								
	16.000	12/10/09	08/28/13	\$906.36	\$1,002.50	\$0.00	(\$96.14)	\$0.00
	1.000	01/08/10	08/28/13	\$56.65	\$66.07	\$0.00	(\$9.42)	\$0.00
	3.000	01/22/10	08/28/13	\$169.94	\$181.28	\$0.00	(\$11.34)	\$0.00
	3.000	02/08/10	08/28/13	\$169.94	\$166.31	\$0.00	\$3.63	\$0.00
	2.000	02/22/10	08/28/13	\$113.30	\$116.49	\$0.00	(\$3.19)	\$0.00
	28.000	07/27/10	08/28/13	\$1,586.13	\$1,398.57	\$0.00	\$187.56	\$0.00
	1.000	09/22/10	08/28/13	\$56.65	\$51.10	\$0.00	\$5.55	\$0.00
	2.000	11/24/10	08/28/13	\$113.30	\$101.50	\$0.00	\$11.80	\$0.00
	1.000	11/29/10	08/28/13	\$56.65	\$48.89	\$0.00	\$7.76	\$0.00
Security Subtotal	57.000			\$3,228.92	\$3,132.71	\$0.00	\$96.21	\$0.00
CUSIP: 904767704 Symbol (Box 1d): UL								
UNILEVER PLC (NEW) ADS	17.000	12/10/09	07/22/13	\$713.13	\$513.53	\$0.00	\$199.60	\$0.00
CUSIP: 911312106 Symbol (Box 1d): UPS								
UNITED PARCEL SERVICE INC CL-B	27.000	12/10/09	09/23/13	\$2,452.98	\$1,550.01	\$0.00	\$902.97	\$0.00
	3.000	01/08/10	09/23/13	\$272.55	\$180.41	\$0.00	\$92.14	\$0.00
	2.000	01/22/10	09/23/13	\$181.70	\$117.83	\$0.00	\$63.87	\$0.00
	1.000	02/08/10	09/23/13	\$90.85	\$56.81	\$0.00	\$34.04	\$0.00
	2.000	02/16/10	09/23/13	\$181.70	\$114.72	\$0.00	\$66.98	\$0.00
	2.000	02/22/10	09/23/13	\$181.70	\$116.06	\$0.00	\$65.64	\$0.00
	2.000	11/11/10	09/23/13	\$181.70	\$135.98	\$0.00	\$45.72	\$0.00
	2.000	08/10/11	09/23/13	\$181.71	\$125.84	\$0.00	\$55.87	\$0.00
Security Subtotal	41.000			\$3,724.89	\$2,397.66	\$0.00	\$1,327.23	\$0.00

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CUSIP: 94106L109 Symbol (Box 1d): WM								
WASTE MGMT INC (DELA)	59.000	12/10/09	08/15/13	\$2,481.27	\$1,964.02	\$0.00	\$517.25	\$0.00
	11.000	01/08/10	08/15/13	\$462.61	\$376.09	\$0.00	\$86.52	\$0.00
	6.000	01/22/10	08/15/13	\$252.33	\$198.53	\$0.00	\$53.80	\$0.00
	7.000	02/08/10	08/15/13	\$294.39	\$220.95	\$0.00	\$73.44	\$0.00
	2.000	02/16/10	08/15/13	\$84.11	\$65.74	\$0.00	\$18.37	\$0.00
	6.000	02/22/10	08/15/13	\$252.33	\$200.27	\$0.00	\$52.06	\$0.00
	4.000	11/04/10	08/15/13	\$168.22	\$143.25	\$0.00	\$24.97	\$0.00
	3.000	11/12/10	08/15/13	\$126.17	\$104.85	\$0.00	\$21.32	\$0.00
Security Subtotal	98.000			\$4,121.43	\$3,273.70	\$0.00	\$847.73	\$0.00
CUSIP: 962166104 Symbol (Box 1d): WY								
WEYERHAEUSER CO	18.000	07/22/10	01/10/13	\$548.27	\$279.71	\$0.00	\$268.56	\$0.00
	9.000	07/22/10	03/27/13	\$275.95	\$139.86	\$0.00	\$136.09	\$0.00
Security Subtotal	27.000			\$824.22	\$419.57	\$0.00	\$404.65	\$0.00
CUSIP: 88579Y101 Symbol (Box 1d): MIM								
3M COMPANY	20.859	08/30/06	07/22/13	\$2,420.75	\$1,513.32	\$0.00	\$907.43	\$0.00
	3.383	06/15/09	07/22/13	\$392.61	\$204.00	\$0.00	\$188.61	\$0.00
	2.757	09/15/09	07/22/13	\$319.96	\$205.73	\$0.00	\$114.23	\$0.00
	1.000	01/08/10	07/22/13	\$116.05	\$84.04	\$0.00	\$32.01	\$0.00
	1.000	01/22/10	07/22/13	\$116.05	\$81.94	\$0.00	\$34.11	\$0.00
	3.000	02/08/10	07/22/13	\$348.16	\$233.26	\$0.00	\$114.90	\$0.00
	1.000	02/16/10	07/22/13	\$116.05	\$80.34	\$0.00	\$35.71	\$0.00
	2.000	02/22/10	07/22/13	\$232.11	\$161.93	\$0.00	\$70.18	\$0.00
	3.000	11/04/10	07/22/13	\$348.16	\$261.47	\$0.00	\$86.69	\$0.00

CONTINUED ON NEXT PAGE

Morgan Stanley

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 22-2914177
Account Number: 803 107614 021

Customer Service: 866-324-6088

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION
2698 GOWANDA ZOAR RD
GOWANDA NY 14070-9767

This information is NOT being furnished to the Internal Revenue Service. It is provided to you for informational purposes only.

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities [#] (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box E checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
3M COMPANY	1.000	12/13/10	07/22/13	\$116.05	\$84.50	\$0.00	\$31.55	\$0.00
	5.000	07/05/11	07/22/13	\$580.27	\$481.26	\$0.00	\$99.01	\$0.00
	7.001	09/26/11	07/22/13	\$812.49	\$516.47	\$0.00	\$296.02	\$0.00
Security Subtotal	51.000			\$5,918.71	\$3,908.26	\$0.00	\$2,010.45	\$0.00
Total Long Term Noncovered Securities				\$120,806.10	\$80,952.85	\$0.00	\$39,853.25	\$0.00
Total Long Term Covered and Noncovered Securities				\$122,241.98	\$82,004.16	\$0.00	\$40,237.82	\$0.00
Total Short and Long Term, Covered and Noncovered Securities				\$175,079.49	\$126,067.65	\$0.00	\$49,011.84	\$0.00
Form 1099-B Total Reportable Amounts								
Total Sales Price (Box 2a)				\$175,079.49				
Total Cost or Other Basis (Box 3)					\$44,540.66			
Total Wash Sale Loss Disallowed (Box 5)						\$0.00		
Total Fed Tax Withheld (Box 4)								\$0.00

[#] Noncovered securities are not subject to the IRS cost basis reporting regulations, therefore their date of acquisition, cost basis, short or long term designation and any disallowed loss resulting from a wash sale will not be reported to the IRS.

Dan & Flavia Gernatt Family Foundation
Form 990 Attachment-Investments- Part II - Balance Sheet
EIN: 22-2914177
For the year ended December 31, 2013

Morgan Stanley-statements attached	12/31/2013 cost	12/31/2013 mkt value
a/c 803-107614-009		
cash	834.88	834.88
money fund	41,387.81	41,387.81
common stocks	571,452.49	816,334.25
mutual funds	652,139.52	630,998.05
subtotal	1,265,814.70	1,489,554.99
a/c 803-111039-009		
money fund	874.11	874.11
common stocks	45,678.06	88,784.27
municipal bonds	40,880.74	44,089.40
corporate fixed income	30,398.52	29,244.80
subtotal	117,831.43	162,992.58
a/c 803-107607-507		
money fund	22,742.90	22,742.90
common stocks	362,528.12	471,427.00
subtotal	385,271.02	494,169.90
Sage Ruddy-statement attached		
a/c 2624-7206		
cash	3,130.70	3,130.70
money fund	78,760.64	78,760.64
mutual funds	431,046.65	441,461.01
subtotal	512,937.99	523,352.35
Community Bank Checking Account	1,694.67	1,694.67
grand totals	2,283,549.81	2,671,764.49
Reported on 990 Balance Sheet:		
cash/money funds - line 1	1,694.67	1,694.67
savings - line 2	147,731.04	147,731.04
municipal bonds 10.A	40,880.74	44,089.40
corporate stock line 10.B	2,062,844.84	2,449,004.58
corporate bonds 10.C	30,398.52	29,244.80
grand totals	2,283,549.81	2,671,764.49

Account Detail

Select UMA Basic Securities Account
803-107614-021

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

Investment Objectives[†]: Income, Capital Appreciation

Investment Advisory Account

[†] See the Expanded Disclosures for more information about investment objectives. Please review for accuracy and inform us if your investment objectives change.

HOLDINGS

This section reflects positions purchased/sold on a trade date basis, and will include positions purchased and omit positions sold in the current month. "Market Value" and "Unrealized Gain/(Loss)" are representative values as of the last business day of the statement period indicated, may not reflect the value that could be obtained in the market. See "Pricing of Securities" in the Expanded Disclosures. Fixed Income securities are sorted by maturity or pre-refunding date, and alphabetically within date. Estimated annual income and estimated yield for certain securities may include return of principal or capital gains which could overstate such estimates. Actual income or yield may be lower or higher than the estimates. Estimated yield reflects only the income generated by an investment and, it does not reflect changes in its price, which may fluctuate. Structured products appear in various statement product categories and are identified as "Structured Products" in the Security Description column. Estimated accrued interest, estimated annual income and estimated yield for structured products with a contingent income feature (such as Range Accrual Notes or Contingent Income Notes) assume specified accrual conditions are met during the relevant observation period and payment in full of all contingent interest. If you hold structured products, see "Special Considerations Regarding Structured Products" in the Disclosures. New Treasury regulations require that we report on Form 1099-B after the close of the tax year your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments on covered securities due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. Cost basis is reflected on monthly statements for informational purposes only and should not be used in the preparation of your income tax returns. Refer to the Expanded Disclosures for additional information.

CASH, BANK DEPOSIT PROGRAM AND MONEY MARKET FUNDS

Cash, Bank Deposit Program, and Money Market Funds are generally displayed on a settlement date basis. Estimated Annual Income, Accrued Interest, and APY% will only be displayed for fully settled positions

Description	Value	Estimated Annual Income	7-Day Current Yield %	Annual Percentage Yield %
CASH	\$834.88			
MS LIQUID ASSET FUND	43,598.00	4.36	0.010	—
CASH, BDP, AND MMFS				
NET UNSETTLED PURCHASES/SALES		Market Value		Estimated Annual Income
	Percentage of Assets %	\$44,432.88		Accrued Interest
				\$4.36
CASH, BDP, AND MMFS (PROJECTED SETTLED BALANCE)	2.8%	\$(2,210.19)		\$0.00
		\$42,222.69		

Money market funds seek to maintain a share price of \$1.00, therefore the dollar amounts listed equal the number of shares. Additional information concerning these transactions is available upon request. For more information about the pricing of Money Market Funds, please see the Expanded Disclosures. The money market funds reflected above include the balances in your automatic sweep feature, if any, and may include other money market funds that have been purchased in your account. The "Projected Settled Balance" includes accrued interest on deposits and reflects the impact of unsettled purchases/sales.



Select UMA Basic Securities Account
803-107614-021

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

Account Detail

STOCKS

COMMON STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
3M COMPANY (MMM)								
	11/29/12	75,000	\$90.600	\$6,795.00	\$10,518.75	\$3,723.75 LT		
	8/22/13	16,000	114.641	1,834.26	2,244.00	409.74 ST		
Total		91,000		8,629.26	12,762.75	3,723.75 LT 409.74 ST	311.22	2.43
Share Price: \$140.250; Next Dividend Payable 03/2014								
ALASKA AIR GROUP INCORPORATED (ALK)	8/13/13	5,000	59.742	298.71	366.85	68.14 ST	4.00	1.09
Share Price: \$73.370; Next Dividend Payable 03/2014								
ALLIED WORLD ASSUR CO HLDG LTD (AWH)	12/10/09	18,000	45.298	833.37	2,030.58	1,197.21 LT		
	1/8/10	3,000	45.500	136.50	338.43	201.93 LT		
	1/22/10	1,000	45.280	45.28	112.81	67.53 LT		
	2/16/10	1,000	45.860	45.86	112.81	66.95 LT		
	2/22/10	1,000	46.100	46.10	112.81	66.71 LT		
	5/11/10	11,000	43.760	481.36	1,240.91	759.55 LT		
Total		35,000		1,588.47	3,948.35	2,359.88 LT	70.00	1.77
Share Price: \$112.810; Next Dividend Payable 01/02/14								
AMC NETWORKS INC CL A (AMCX)	12/10/09	28,000	23.767	665.47	1,907.08	1,241.61 LT		
	1/8/10	4,250	23.913	101.63	289.47	187.84 LT		
	1/22/10	1,000	23.610	23.61	58.11	44.50 LT		
	2/8/10	2,000	22.985	45.97	136.22	90.25 LT		
	2/16/10	1,750	24.383	42.67	119.19	76.52 LT		
Total		37,000		879.35	2,520.07	1,640.72 LT	—	—
Share Price: \$68.110								
AMERICAN ELECTRIC POWER CO (AEP)	12/8/10	37,000	35.231	1,303.54	1,729.38	425.84 LT		
	3/7/11	2,000	35.595	71.39	93.48	22.09 LT		
	11/29/12	57,000	42.100	2,399.69	2,664.18	264.49 LT		
Total		96,000		3,774.62	4,487.04	712.42 LT	192.00	4.27
Share Price: \$46.740; Next Dividend Payable 03/2014								
AMERICAN TOWER REIT COM (AMT)	5/9/13	21,000	83.630	1,756.23	1,676.22	(80.01) ST		
	6/20/13	2,000	71.055	142.11	159.64	17.53 ST		
	7/16/13	39,000	74.593	2,909.13	3,112.98	203.85 ST		
	7/31/13	29,000	70.488	2,044.16	2,314.78	270.62 ST		
	9/6/13	11,000	72.282	795.10	878.02	82.92 ST		
	10/11/13	16,000	74.399	1,190.39	1,277.12	86.73 ST		
Total		118,000		8,837.12	9,418.76	581.64 ST	136.88	1.45
Share Price: \$79.820; Next Dividend Payable 03/2014								

Select UMA Basic Securities Account
803-107614-021
THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

Account Detail

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ANADARKO PETE (APC)								
	12/10/09	63,000	58.189	3,665.88	4,997.16	1,331.28 LT		
	1/8/10	3,000	66.690	200.07	237.96	37.89 LT		
	1/22/10	7,000	63.776	446.43	555.24	108.81 LT		
	2/8/10	5,000	62.608	313.04	396.60	83.56 LT		
	2/22/10	3,000	69.570	208.71	237.96	29.25 LT		
	4/11/12	2,000	74.595	149.19	158.64	9.45 LT		
	6/1/12	16,000	58.672	938.75	1,269.12	330.37 LT		
	6/1/12	2,000	58.670	117.34	158.64	41.30 LT		
Total		101,000		6,039.41	8,011.32	1,971.91 LT	72.72	0.90
Share Price: \$79.320; Next Dividend Payable 03/2014								
APPLE INC (AAPL)								
	3/19/13	3,000	459.620	1,378.86	1,683.06	304.20 ST	36.60	2.17
Share Price: \$561.020; Next Dividend Payable 02/2014								
APPLIED MATERIALS INC (AMAT)								
	12/10/09	139,000	13.287	1,846.91	2,457.52	610.61 LT		
	1/8/10	13,000	14.485	188.31	229.84	41.53 LT		
	1/22/10	20,000	13.129	262.58	353.60	91.02 LT		
	2/8/10	16,000	12.138	194.21	282.88	88.67 LT		
	2/16/10	3,000	12.957	38.87	53.04	14.17 LT		
	2/22/10	16,000	12.496	199.94	282.88	82.94 LT		
	7/29/11	53,000	12.450	659.83	937.04	277.21 LT		
	11/29/12	27,000	10.760	290.52	477.36	186.84 LT		
Total		287,000		3,681.17	5,074.16	1,392.99 LT	114.80	2.26
Share Price: \$17.680; Next Dividend Payable 03/2014								
AT&T INC (T)								
	12/10/09	26,000	27.716	720.62	914.16	193.54 LT		
	12/10/09	24,000	27.716	665.19	843.84	178.65 LT		
	12/10/09	2,000	27.716	55.43	70.32	14.89 LT		
	12/10/09	2,000	27.716	55.43	70.32	14.89 LT		
	1/8/10	8,000	27.029	216.23	281.28	65.05 LT		
	1/8/10	25,000	27.028	675.71	879.00	203.29 LT		
	1/22/10	4,000	25.468	101.87	140.64	38.77 LT		
	1/22/10	13,000	25.468	331.09	457.08	125.99 LT		
	2/8/10	1,000	25.040	25.04	35.16	10.12 LT		
	2/8/10	7,000	25.037	175.26	246.12	70.86 LT		
	2/16/10	2,000	25.305	50.61	70.32	19.71 LT		
	2/16/10	9,000	25.307	227.76	316.44	88.68 LT		
	2/22/10	4,000	25.030	100.12	140.64	40.52 LT		
	2/22/10	15,000	25.030	375.45	527.40	151.95 LT		



Select UMA Basic Securities Account
803-107614-021
THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

Account Detail

STOCKS
COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	3/7/11	3,000	27.930	83.79	105.48	21.69 LT		
	3/7/11	11,000	27.929	307.22	386.76	79.54 LT		
	11/29/12	192,000	33.907	6,510.05	6,750.72	240.67 LT		
	11/29/12	1,000	33.930	33.93	35.16	1.23 LT		
	Total	349,000		10,710.80	12,270.84	1,560.04 LT	642.16	5.23
Share Price: \$35.160; Next Dividend Payable 02/20/14								
AUTODESK INC DELAWARE (ADSK)	12/10/09	77,000	23.498	1,809.38	3,874.55	2,065.17 LT		
	2/8/10	12,000	23.130	277.56	603.82	326.26 LT		
	8/10/11	35,000	28.694	1,004.28	1,761.16	756.88 LT		
	Total	124,000		3,091.22	6,239.55	3,148.31 LT	--	--
Share Price: \$50.319								
AUTOMATIC DATA PROCESSING INC (ADP)	11/29/12	118,000	56.245	6,636.94	9,534.28	2,897.34 LT	226.56	2.37
	Share Price: \$80.799; Next Dividend Payable 01/01/14							
	AXIS CAPITAL HOLDINGS LTD (AXS)							
	3/29/12	8,000	33.255	266.04	380.56	114.52 LT		
	4/9/12	12,000	33.438	401.25	570.84	169.59 LT		
	4/13/12	8,000	33.300	266.40	380.56	114.16 LT		
	4/17/12	8,000	33.764	270.11	380.56	110.45 LT		
	5/25/12	7,000	33.970	237.79	332.99	95.20 LT		
	7/9/12	16,000	33.250	532.00	761.12	229.12 LT		
	Total	59,000		1,973.59	2,806.63	833.04 LT	63.72	2.27
Share Price: \$47.570; Next Dividend Payable 01/15/14								
BAKER HUGHES INC (BHI)	12/28/12	17,000	39.992	679.87	939.42	259.55 LT	10.20	1.08
	Share Price: \$55.260; Next Dividend Payable 02/20/14							
	BHP BILLITON LTD (BHP)							
	12/23/09	12,000	75.476	905.71	818.40	(87.31) LT		
	1/22/10	1,000	73.470	73.47	68.20	(5.27) LT		
	2/8/10	1,000	68.250	68.25	68.20	(0.05) LT		
	2/22/10	1,000	75.520	75.52	68.20	(7.32) LT		
	8/24/12	2,000	68.980	137.96	136.40	(1.56) LT		
	3/21/13	3,000	69.827	209.48	204.60	(4.88) ST		
	Total	20,000		1,470.39	1,364.00	(101.51) LT	46.40	3.40
Share Price: \$68.200; Next Dividend Payable 03/20/14								
BIOGEN IDEC INC (BIIB)	12/10/09	42,000	48.328	2,029.77	11,742.02	9,712.25 LT	--	--
	Share Price: \$279.572							
	BLACKROCK INC (BLK)							
	11/9/10	7,000	166.276	1,163.93	2,215.29	1,051.36 LT		
	11/29/12	5,000	195.360	976.80	1,582.35	605.55 LT		

Select UMA Basic Securities Account
803-107614-021

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

Account Detail

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$316.470; Next Dividend Payable 03/2014								
BOEING CO (BA)								
		12,000		2,140.73	3,797.64	1,656.91 LT	80.64	2.12
Total								
	12/10/09	13,000	54.837	712.88	1,774.37	1,061.49 LT		
	1/22/10	2,000	58.345	116.69	272.98	156.29 LT		
	9/21/10	16,000	64.250	1,028.00	2,183.84	1,155.84 LT		
Total		31,000		1,857.57	4,231.19	2,373.62 LT	90.52	2.13
Share Price: \$136.490; Next Dividend Payable 03/2014								
BROADCOM CORP CL A (BRCM)								
	12/10/09	73,000	30.715	2,242.20	2,164.08	(78.12) LT C		
	1/8/10	13,000	29.960	389.48	385.38	(4.10) LT C		
	1/22/10	8,000	27.816	222.53	237.16	14.63 LT C		
	2/8/10	2,000	28.150	56.30	59.29	2.99 LT C		
	2/22/10	4,000	30.645	122.58	118.58	(4.00) LT C		
	5/3/11	11,000	34.548	380.03	326.09	(53.94) LT C		
	5/10/11	3,000	33.210	99.63	88.93	(10.70) LT C		
	7/23/13	10,000	31.872	318.72	296.45	(22.27) ST		
	8/12/13	24,000	26.200	628.79	711.48	82.69 ST		
Total		148,000		4,450.26	4,387.46	(133.24) LT	65.12	1.48
						60.42 ST		
Share Price: \$29.645; Next Dividend Payable 03/2014								
CABLEVISION SYSTEMS CORP (CVC)								
	12/10/09	112,000	15.696	1,757.96	2,008.16	250.20 LT		
	1/8/10	17,000	15.794	268.49	304.81	36.32 LT		
	1/22/10	4,000	15.593	62.37	71.72	9.35 LT		
	2/8/10	8,000	15.179	121.43	143.44	22.01 LT		
	2/16/10	7,000	16.103	112.72	125.51	12.79 LT		
	8/24/12	89,000	15.210	1,353.69	1,595.77	242.08 LT		
	2/7/13	23,000	15.167	348.85	412.39	63.54 ST		
Total		250,000		4,025.51	4,661.80	572.75 LT	156.00	3.34
						63.54 ST		
Share Price: \$17.930; Next Dividend Payable 03/2014								
CARNIVAL CP NEW PAIRED COM (CCL)								
	12/10/09	12,000	32.099	385.18	482.04	96.86 LT		
	1/8/10	2,000	33.050	66.10	80.34	14.24 LT		
	2/8/10	1,000	33.330	33.33	40.17	6.84 LT		
	2/16/10	2,000	33.480	66.96	80.34	13.38 LT		
	2/22/10	1,000	34.250	34.25	40.17	5.92 LT		
	6/25/10	11,000	32.410	356.51	441.87	85.36 LT		
	11/2/11	16,000	33.899	542.39	642.72	100.33 LT		



Select UMA Basic Securities Account
803-107614-021

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

Account Detail

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$40.170; Next Dividend Payable 03/2014								
CATERPILLAR INC (CAT)	1/2/13	15,000	93.665	1,404.98	1,362.15	(42.83) ST		
	4/22/13	36,000	80.725	2,906.11	3,269.16	363.05 ST		
Total		51,000		4,311.09	4,631.31	320.22 ST	122.40	2.64
Share Price: \$90.810; Next Dividend Payable 02/2014								
CHEVRON CORP (CVX)	11/4/10	5,000	84.240	421.20	624.55	203.35 LT		
	11/4/10	6,000	84.240	505.44	749.46	244.02 LT		
	11/4/10	1,000	84.240	84.24	124.91	40.67 LT		
	11/4/10	1,000	84.240	84.24	124.91	40.67 LT		
	11/4/10	1,000	84.240	84.24	124.91	40.67 LT		
	3/2/12	4,000	109.618	438.47	499.64	61.17 LT		
	3/2/12	6,000	109.617	657.70	749.46	91.76 LT		
	4/11/12	3,000	100.857	302.57	374.73	72.16 LT		
	4/11/12	5,000	100.856	504.28	624.55	120.27 LT		
	6/6/12	6,000	97.845	587.07	749.46	162.39 LT		
	6/6/12	1,000	97.840	97.84	124.91	27.07 LT		
	7/23/12	14,000	107.811	1,509.36	1,748.74	239.38 LT		
	11/29/12	37,000	105.620	3,907.94	4,621.67	713.73 LT		
	11/29/12	1,000	105.610	105.61	124.91	19.30 LT		
	3/26/13	5,000	121.000	605.00	624.55	19.55 ST		
	10/11/13	18,000	117.161	2,108.89	2,248.38	139.49 ST		
Total		114,000		12,004.09	14,239.74	2,076.61 LT	456.00	3.20
Share Price: \$124.910; Next Dividend Payable 03/2014								
CHUBB CORP (CB)	12/10/09	20,000	48.327	966.55	1,932.60	966.05 LT		
	1/8/10	6,000	48.658	291.95	579.78	287.83 LT		
	1/22/10	2,000	48.190	96.38	193.26	96.88 LT		
	2/16/10	2,000	49.840	99.68	193.26	93.58 LT		
	2/22/10	1,000	51.110	51.11	96.63	45.52 LT		
Total		31,000		1,505.67	2,995.53	1,489.86 LT	54.56	1.82
Share Price: \$96.630; Next Dividend Payable 01/07/14								
CISCO SYS INC (CSCO)	5/3/11	52,000	17.378	903.66	1,166.36	262.70 LT		
	7/1/11	18,000	15.857	285.43	403.74	118.31 LT		
	12/28/12	32,000	19.548	625.53	717.76	92.23 LT		

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COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Total								
102,000								
1,814.62								
2,287.86								
473.24 LT								
69.36								
3.03								
Share Price: \$22.430; Next Dividend Payable 01/20/14								
CITIGROUP INC NEW (C)								
3/13/13	16,000	46.843	749.49	833.76	84.27 ST			
3/27/13	6,000	44.377	266.26	312.66	46.40 ST			
3/27/13	7,000	44.419	310.93	364.77	53.84 ST			
5/7/13	4,000	48.035	192.14	208.44	16.30 ST			
5/8/13	5,000	48.974	244.87	260.55	15.68 ST			
5/20/13	6,000	51.892	311.35	312.66	1.31 ST			
10/16/13	14,000	50.094	701.32	729.54	28.22 ST			
12/20/13	6,000	52.363	314.18	312.66	(1.52) ST			
Total	64,000		3,090.54	3,335.04	244.50 ST		2.56	0.07
Share Price: \$52.110; Next Dividend Payable 02/20/14								
CITRIX SYSTEMS INC (CTXS)								
10/14/10	33,000	58.642	1,935.19	2,087.25	152.06 LT			
7/27/11	2,000	71.905	143.81	126.50	(17.31) LT			
10/19/12	4,000	65.710	262.84	253.00	(9.84) LT			
4/25/13	2,000	64.255	128.51	126.50	(2.01) ST			
12/4/13	5,000	59.890	299.45	316.25	16.80 ST			
Total	46,000		2,769.80	2,909.50	124.91 LT		--	--
Share Price: \$63.250								
COACH INC (COH)								
4/11/13	6,000	52.443	314.66	336.78	22.12 ST			
4/12/13	9,000	52.327	470.94	505.17	34.23 ST			
4/24/13	8,000	56.250	450.00	449.04	(0.96) ST			
Total	23,000		1,235.60	1,290.99	55.39 ST		31.05	2.40
Share Price: \$56.130; Next Dividend Payable 01/03/14								
COMCAST CORP CL A SPECIAL NEW (CMCSK)								
12/10/09	25,000	16.689	417.22	1,247.00	829.78 LT			
12/10/09	74,000	16.689	1,234.99	3,691.12	2,456.13 LT			
12/10/09	32,000	16.689	534.05	1,596.16	1,062.11 LT			
1/8/10	17,000	16.138	274.35	847.96	573.61 LT			
1/8/10	45,000	16.138	726.21	2,244.60	1,518.39 LT			
1/22/10	8,000	15.318	122.54	399.04	276.50 LT			
1/22/10	23,000	15.318	352.32	1,147.24	794.92 LT			
2/8/10	9,000	14.548	130.93	448.92	317.99 LT			
2/8/10	25,000	14.548	363.70	1,247.00	883.30 LT			
2/16/10	5,000	14.850	74.25	249.40	175.15 LT			
2/16/10	16,000	14.849	237.58	798.08	560.50 LT			



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COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
COVIDIEN PLC (COV)	2/22/10	3,000	15.307	45.92	149.64	103.72 LT		
	2/22/10	8,000	15.306	122.45	399.04	276.59 LT		
	5/13/11	14,000	23.752	332.53	698.32	365.79 LT		
	5/13/11	36,000	23.752	855.08	1,795.68	940.60 LT		
	9/26/11	4,000	21.140	84.56	199.52	114.96 LT		
	9/26/11	11,000	21.139	232.53	548.68	316.15 LT		
	11/29/12	109,000	35.760	3,897.83	5,436.92	1,539.09 LT		
	Total	464,000		10,039.04	23,144.32	13,105.28 LT	361.92	1.56
Share Price: \$49.880; Next Dividend Payable 01/23/14								
CREE RESEARCH INC (CREE)	12/10/09	36,000	43.325	1,559.69	2,451.60	891.91 LT		
	1/8/10	4,000	44.625	178.50	272.40	93.90 LT		
	2/8/10	1,000	45.100	45.10	68.10	23.00 LT		
	2/16/10	2,000	45.910	91.82	136.20	44.38 LT		
	2/22/10	2,000	45.950	91.90	136.20	44.30 LT		
	Total	45,000		1,967.01	3,064.50	1,097.49 LT	57.60	1.87
Share Price: \$68.100; Next Dividend Payable 02/20/14								
DEVON ENERGY CORP NEW (DEVN)	9/16/10	3,000	51.132	153.40	187.56	34.16 LT		
	10/20/10	5,000	48.972	244.86	312.60	67.74 LT		
	3/23/11	6,000	45.243	271.46	375.12	103.66 LT		
	4/20/11	22,000	39.144	861.16	1,375.44	514.28 LT		
	6/16/11	4,000	35.845	143.38	250.08	106.70 LT		
	4/18/12	28,000	29.692	831.37	1,750.56	919.19 LT		
	Total	68,000		2,505.63	4,251.36	1,745.73 LT	--	--
Share Price: \$62.520								
DEVON ENERGY CORP NEW (DEVN)	12/10/09	27,000	63.908	1,725.52	1,670.49	(55.03) LT		
	1/22/10	1,000	69.710	69.71	61.87	(7.84) LT		
	2/8/10	2,000	66.470	132.94	123.74	(9.20) LT		
	2/16/10	1,000	69.130	69.13	61.87	(7.26) LT		
	2/22/10	1,000	70.410	70.41	61.87	(8.54) LT		
	11/2/11	6,000	65.275	391.65	371.22	(20.43) LT		
	7/23/12	4,000	58.100	232.40	247.48	15.08 LT		
	9/26/12	6,000	58.995	353.97	371.22	17.25 LT		
	12/28/12	5,000	51.248	256.24	309.35	53.11 LT		
	Total	53,000		3,301.97	3,279.11	(22.86) LT	46.64	1.42
Share Price: \$61.870; Next Dividend Payable 03/20/14								

Morgan Stanley

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COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
DIRECTV COM (DTV)								
	12/10/09	41,000	32.828	1,345.96	2,831.46	1,485.50 LT		
	1/8/10	5,000	34.008	170.04	345.30	175.26 LT		
	1/22/10	7,000	31.437	220.06	483.42	263.36 LT		
	2/8/10	3,000	30.437	91.31	207.18	115.87 LT		
	2/16/10	2,000	30.900	61.80	138.12	76.32 LT		
Total		58,000		1,889.17	4,005.48	2,116.31 LT		
Share Price: \$69.060								
DOLBY CLA A COM STK (DLB)								
	12/10/09	29,000	44.668	1,295.37	1,118.24	(177.13) LT		
	1/22/10	3,000	47.900	143.70	115.68	(28.02) LT		
	2/22/10	2,000	52.890	105.78	77.12	(28.66) LT		
	2/4/11	10,000	56.318	563.18	385.60	(177.58) LT		
	4/6/11	4,000	49.008	196.03	154.24	(41.79) LT		
	4/12/11	3,000	50.060	150.18	115.68	(34.50) LT		
	4/15/11	3,000	47.087	141.26	115.68	(25.58) LT		
	8/5/11	26,000	31.054	807.40	1,002.56	195.16 LT		
	8/7/12	36,000	33.791	1,216.48	1,388.16	171.68 LT		
	12/27/12	12,000	29.066	348.79	462.72	113.93 LT		
Total		128,000		4,968.17	4,935.68	(32.49) LT		
Share Price: \$38.560								
DU PONT EI DE NEMOURS & CO (DD)								
	11/29/12	159,000	43.496	6,915.92	10,330.23	3,414.31 LT		
	12/27/12	12,000	44.976	539.71	779.64	239.93 LT		
	12/27/12	1,000	44.976	44.98	54.97	19.99 LT		
	12/28/12	10,000	44.996	449.96	649.70	199.74 LT		
Total		182,000		7,950.57	11,824.54	3,873.97 LT	327.60	2.77
Share Price: \$64.970; Next Dividend Payable 03/2014								
EBAY INC (EBAY)								
	1/8/10	8,000	23.545	188.36	438.92	250.56 LT		
	2/8/10	8,000	22.546	180.37	438.92	258.55 LT		
	2/16/10	8,000	22.438	179.50	438.92	259.42 LT		
	2/22/10	2,000	23.390	46.78	109.73	62.95 LT		
Total		26,000		595.01	1,426.49	831.48 LT		
Share Price: \$54.865								
EMCOR GROUP INC (EME)								
	8/25/10	10,000	22.538	225.38	424.40	199.02 LT	2.40	0.56
Share Price: \$42.440; Next Dividend Payable 01/2014								
ERICSSON LM TEL ADR CL B NEW (ERIC)								
	1/25/10	36,000	9.808	353.09	440.64	87.55 LT		
	2/8/10	8,000	9.648	77.18	97.92	20.74 LT		
	2/16/10	4,000	10.098	40.39	48.96	8.57 LT		



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COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
EXXON MOBIL CORP (XOM)								
Share Price: \$12.240								
	2/22/10	13,000	10.036	130.47	159.12	28.65 LT		
	7/22/11	21,000	13.134	275.82	257.04	(18.78) LT		
	8/24/12	52,000	9.737	506.34	636.48	130.14 LT		
Total		134,000		1,383.29	1,640.16	256.87 LT	39.40	2.40
EXXON MOBIL CORP (XOM)								
	1/11/94	15,000	16.390	245.85	1,518.00	1,272.15 LT 1		
	1/11/94	7,000	16.390	114.73	708.40	593.67 LT 1		
	1/11/94	1,000	16.390	16.39	101.20	84.81 LT 1		
	1/8/10	5,000	69.256	346.28	506.00	159.72 LT		
	1/22/10	3,000	66.337	199.01	303.60	104.59 LT		
	2/8/10	1,000	64.660	64.66	101.20	36.54 LT		
	2/16/10	2,000	66.325	132.65	202.40	69.75 LT		
	2/22/10	3,000	65.657	196.97	303.60	106.63 LT		
	3/8/10	22,000	66.640	1,466.09	2,226.40	760.31 LT		
	8/4/11	6,000	74.715	448.29	607.20	158.91 LT		
	7/11/12	6,000	84.077	504.46	607.20	102.74 LT		
	7/12/12	8,000	84.148	673.18	809.60	136.42 LT		
	7/12/12	6,000	84.148	504.89	607.20	102.31 LT		
	11/29/12	102,000	88.020	8,978.03	10,322.40	1,344.37 LT		
Total		187,000		13,891.48	18,924.40	5,032.92 LT	471.24	2.49
Share Price: \$101.200; Next Dividend Payable 03/2014								
FIRST REPUBLIC BANK (FRC)								
	7/1/11	22,000	31.363	689.99	1,151.70	461.71 LT		
	7/27/12	8,000	32.249	257.99	418.80	160.81 LT		
Total		30,000		947.98	1,570.50	622.52 LT	14.40	0.91
Share Price: \$52.350; Next Dividend Payable 02/2014								
FLUOR CORP NEW (FLR)								
	12/10/09	5,000	40.309	201.55	401.45	199.90 LT		
	12/10/09	25,000	40.309	1,007.72	2,007.25	999.53 LT		
	12/10/09	3,000	40.309	120.93	240.87	119.94 LT		
	2/8/10	8,000	42.614	340.91	642.32	301.41 LT		
	2/8/10	2,000	42.615	85.23	160.58	75.35 LT		
	2/16/10	1,000	45.560	45.56	80.29	34.73 LT		
	2/22/10	2,000	46.590	93.18	160.58	67.40 LT		
	8/10/11	2,000	54.020	108.04	160.58	52.54 LT		
	8/10/11	8,000	54.023	432.18	642.32	210.14 LT		
	10/4/11	3,000	46.160	138.48	240.87	102.39 LT		

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COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
FOREST LABORATORIES INC (FRX) <i>Share Price: \$80.290; Next Dividend Payable 01/03/14</i>	10/4/11	11,000	46.158	507.74	883.19	375.45 LT		
	Total	70,000		3,081.52	5,620.30	2,538.78 LT	44.80	0.79
	12/10/09	138,000	31.188	4,303.94	8,284.14	3,980.20 LT		
FRANKLIN RESOURCES INC (BEN) <i>Share Price: \$60.030</i>	1/8/10	21,000	30.820	647.22	1,260.63	613.41 LT		
	1/22/10	11,000	29.530	324.83	560.33	335.50 LT		
	2/8/10	6,000	28.850	173.10	350.18	187.08 LT		
	2/16/10	7,000	29.489	206.42	420.21	213.79 LT		
	2/22/10	11,000	29.417	323.59	550.33	336.74 LT		
	5/11/10	4,000	27.263	109.05	240.12	131.07 LT		
	Total	198,000		6,088.15	11,885.94	5,797.79 LT		
	12/10/09	18,000	36.277	652.98	1,039.14	386.16 LT		
	1/8/10	6,000	35.777	214.66	345.38	131.72 LT		
	1/22/10	3,000	33.757	101.27	173.19	71.92 LT		
FREEPORT MCMORAN CP&GLD (FCX) <i>Share Price: \$57.730; Next Dividend Payable 01/10/14</i>	2/8/10	3,000	32.377	97.13	173.19	76.06 LT		
	2/22/10	3,000	33.970	101.91	173.19	71.28 LT		
	5/4/11	3,000	42.623	127.87	173.19	45.32 LT		
	Total	36,000		1,295.82	2,078.28	782.46 LT	17.28	0.83
	2/5/10	36,000	33.977	1,223.18	1,358.64	135.46 LT		
	2/22/10	2,000	38.630	77.26	75.48	(1.78) LT		
	3/10/11	3,000	47.190	141.57	113.22	(28.35) LT		
GENERAL ELECTRIC CO (GE) <i>Share Price: \$37.740; Next Dividend Payable 02/20/14</i>	9/28/11	12,000	33.236	398.83	452.88	54.05 LT		
	12/10/12	6,000	32.180	193.08	226.44	33.36 LT		
	Total	59,000		2,033.92	2,226.66	192.74 LT	73.75	3.31
	11/10/10	27,000	16.571	447.43	756.81	309.38 LT		
	11/17/10	2,000	15.780	31.56	56.06	24.50 LT		
	11/23/10	2,000	15.760	31.52	56.06	24.54 LT		
	12/10/10	27,000	17.681	477.40	756.81	279.41 LT		
	10/20/11	8,001	16.477	131.83	224.27	92.44 LT		
	11/29/12	102,000	21.095	2,151.69	2,859.06	707.37 LT		
	5/3/13	130,000	22.746	2,957.01	3,643.90	686.89 ST		
SECURITY MARK AT RISK	6/18/13	160,000	24.344	3,895.01	4,484.80	589.79 ST		
	11/13/13	22,000	27.079	595.73	616.66	20.93 ST		



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COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Long Term Reinvestments	11/13/13	2,000	27.080	54.16	56.06	1.90 ST		
	11/13/13	4,000	27.079	108.31	112.12	3.81 ST		
	11/13/13	2,000	27.079	54.16	56.06	1.90 ST		
	11/15/13	15,000	27.217	408.26	420.45	12.19 ST		
	Purchases	503,001		11,344.07	14,099.12	1,437.64 LT 1,317.41 ST		
		21,999		326.84	616.63	290.79 LT		
Total		525,000		11,669.91	14,715.75	1,728.43 LT 1,317.41 ST	462.00	3.13
Share Price: \$28.030; Next Dividend Payable 01/27/14								
GLAXOSMITHKLINE PLC ADS (GSK)	1/19/10	23,000	42.101	968.32	1,227.97	259.65 LT		
	1/22/10	1,000	40.830	40.83	53.39	12.56 LT		
	2/8/10	2,000	38.130	76.26	106.78	30.52 LT		
	2/16/10	1,000	39.260	39.26	53.39	14.13 LT		
	2/22/10	3,000	37.357	112.07	160.17	48.10 LT		
Total		30,000		1,236.74	1,601.70	364.96 LT	72.27	4.51
Share Price: \$53.390; Next Dividend Payable 01/09/14								
GOLDMAN SACHS GRP INC (GS)	10/4/12	2,000	119.520	239.04	354.52	115.48 LT		
	12/13/12	6,000	118.500	711.00	1,063.56	352.56 LT		
	3/7/13	2,000	156.620	313.24	354.52	41.28 ST		
	3/27/13	6,000	147.508	885.05	1,063.56	178.51 ST		
	5/7/13	1,000	149.410	149.41	177.26	27.85 ST		
Total		17,000		2,297.74	3,013.42	468.04 LT 247.64 ST	37.40	1.24
Share Price: \$177.260; Next Dividend Payable 03/20/14								
GREENHILL & CO INC (GHL)	7/19/12	6,000	36.249	217.50	347.64	130.14 LT	10.80	3.10
Share Price: \$57.940; Next Dividend Payable 03/20/14								
HALLIBURTON CO (HAL)	1/22/10	3,000	31.398	94.19	152.25	58.06 LT		
	2/8/10	8,000	28.230	225.84	406.00	180.16 LT		
	2/22/10	2,000	31.170	62.34	101.50	39.16 LT		
	8/10/11	6,000	43.772	262.63	304.50	41.87 LT		
	8/23/11	3,000	39.337	118.01	152.25	34.24 LT		
	10/17/11	8,000	34.775	278.20	406.00	127.80 LT		
	10/17/11	8,000	34.775	278.20	406.00	127.80 LT		
	10/18/11	8,000	35.174	281.39	406.00	124.61 LT		
7/23/12		8,000	31.540	252.32	406.00	153.68 LT		

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Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$50.750; Next Dividend Payable 03/2014								
HESS CORPORATION (HES)								
	Total	54,000		1,853.12	2,740.50	887.38 LT	32.40	1.18
	12/10/09	5,000	55.756	278.78	415.00	136.22 LT		
	1/22/10	2,000	59.485	118.97	166.00	47.03 LT		
	2/8/10	2,000	57.160	114.32	166.00	51.68 LT		
	2/16/10	1,000	60.480	60.48	83.00	22.52 LT		
	2/22/10	2,000	60.440	120.88	166.00	45.12 LT		
	6/10/10	7,000	51.807	362.65	581.00	218.35 LT		
	7/27/11	4,000	70.395	281.58	332.00	50.42 LT		
	8/18/11	10,000	55.099	550.99	830.00	279.01 LT		
	Total	33,000		1,888.65	2,739.00	850.35 LT	33.00	1.20
Share Price: \$83.000; Next Dividend Payable 03/2014								
HOME DEPOT INC (HD)								
	6/13/11	14,000	33.620	470.68	1,152.76	682.08 LT		
	6/13/11	19,000	33.620	638.77	1,564.46	925.69 LT		
	6/13/11	4,000	33.620	134.48	329.36	194.88 LT		
	6/13/11	5,000	33.620	168.10	411.70	243.60 LT		
	6/13/11	1,000	33.620	33.62	82.34	48.72 LT		
	8/9/11	13,000	29.221	379.87	1,070.42	690.55 LT		
	8/9/11	17,000	29.221	496.75	1,399.78	903.03 LT		
	11/29/12	25,000	64.150	1,603.75	2,058.50	454.75 LT		
	11/29/12	1,000	64.150	64.15	82.34	18.19 LT		
	12/19/12	9,000	62.108	558.97	741.06	182.09 LT		
	12/19/12	2,000	62.125	124.25	164.68	40.43 LT		
	Total	110,000		4,673.39	9,057.40	4,384.01 LT	171.60	1.89
Share Price: \$82.340; Next Dividend Payable 03/2014								
HONDA MOTOR COMPANY LTD ADR (HMC)								
	1/2/13	55,000	38.132	2,097.28	2,274.25	176.97 ST		
	1/7/13	57,000	37.229	2,122.04	2,356.95	234.91 ST		
	1/17/13	52,000	38.645	2,009.55	2,150.20	140.65 ST		
	Total	164,000		6,228.87	6,781.40	552.53 ST	118.08	1.74
Share Price: \$41.350								
HONEYWELL INTERNATIONAL INC (HON)								
	12/10/09	17,000	40.307	685.22	1,553.29	868.07 LT		
	1/5/10	4,000	42.048	168.19	365.48	197.29 LT		
	1/22/10	4,000	40.178	160.71	365.48	204.77 LT		
	2/8/10	4,000	37.000	148.00	365.48	217.48 LT		
	2/16/10	1,000	38.940	38.94	91.37	52.43 LT		
	2/22/10	1,000	40.270	40.27	91.37	51.10 LT		



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COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$91.370; Next Dividend Payable 03/2014								
IMMUNOGEN INC (IMGN)	Total	31.000		1,241.33	2,832.47	1,591.14 LT	55.80	1.97
	10/14/10	45.000	7.390	332.57	660.15	327.58 LT		
	10/18/10	23.000	7.769	178.69	337.41	158.72 LT		
	10/19/10	32.000	7.695	246.25	469.44	223.19 LT		
	8/4/11	12.000	11.270	135.24	176.04	40.80 LT		
Total		112.000		892.75	1,643.04	750.29 LT	—	—
Share Price: \$14.670								
INTEL CORP (INTC)	12/10/09	84.000	20.107	1,688.99	2,180.22	491.23 LT		
	1/8/10	11.000	20.820	229.02	285.50	56.48 LT		
	1/22/10	4.000	19.970	79.88	103.82	23.94 LT		
	2/8/10	6.000	19.498	116.99	155.73	38.74 LT		
	2/22/10	6.000	20.908	125.45	155.73	30.28 LT		
	5/3/11	13.000	23.218	301.83	337.41	35.58 LT		
	11/29/12	286.000	19.496	5,575.97	7,423.13	1,847.16 LT		
	9/4/13	10.000	22.644	226.44	259.55	33.11 ST		
Total		420.000		8,344.57	10,901.10	2,523.41 LT	378.00	3.46
Share Price: \$25.955; Next Dividend Payable 03/2014								
INTERNATIONAL PAPER CO (IP)	6/16/11	23.000	26.976	620.45	1,127.69	507.24 LT		
	8/5/11	31.000	25.895	802.73	1,519.93	717.20 LT		
	8/10/11	26.000	24.782	644.33	1,274.78	630.45 LT		
	8/20/12	2.000	34.000	68.00	98.06	30.06 LT		
	11/29/12	135.000	37.147	5,014.85	6,619.05	1,604.20 LT		
Total		217.000		7,150.36	10,639.51	3,489.15 LT	303.80	2.85
Share Price: \$49.030; Next Dividend Payable 03/2014								
ISIS PHARM INC (ISIS)	10/14/10	74.000	8.636	639.03	2,948.16	2,309.13 LT		
	10/19/10	56.000	9.372	524.81	2,231.04	1,706.23 LT		
	5/4/11	12.000	9.098	109.17	478.08	368.91 LT		
Total		142.000		1,273.01	5,657.28	4,384.27 LT	—	—
Share Price: \$39.840								
JACOBS ENGINEERING GROUP INC (JEC)	12/10/09	10.000	34.610	346.10	629.90	283.80 LT		
	2/8/10	1.000	36.380	36.38	62.99	26.61 LT		
	5/3/11	3.000	48.000	144.00	188.97	44.97 LT		
	5/4/11	1.000	47.320	47.32	62.99	15.67 LT		

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COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Total		15,000		573.80	944.85	371.05 LT		
Share Price: \$62.990								
JOHNSON & JOHNSON (JNJ)								
	10/30/07	18,000	65.957	1,187.22	1,648.62	461.40 LT 1		
	10/30/07	8,583	65.957	566.11	786.12	220.01 LT 1		
	10/30/07	6,000	65.957	395.74	549.54	153.80 LT 1		
	10/30/07	6,000	65.957	395.74	549.54	153.80 LT 1		
	10/30/07	1,000	65.957	65.96	91.59	25.63 LT 1		
	1/8/10	6,000	63.938	383.63	549.54	165.91 LT		
	1/8/10	7,000	63.939	447.57	641.13	193.56 LT		
	1/22/10	1,000	63.300	63.30	91.59	28.29 LT		
	1/22/10	3,000	63.300	189.90	274.77	84.87 LT		
	2/8/10	2,000	62.755	125.51	183.18	57.67 LT		
	2/16/10	2,000	63.580	127.16	183.18	56.02 LT		
	2/16/10	3,000	63.577	190.73	274.77	84.04 LT		
	2/22/10	2,000	63.520	127.04	183.18	56.14 LT		
	2/22/10	4,000	63.518	254.07	366.36	112.29 LT		
	11/18/10	4,000	63.555	254.22	366.36	112.14 LT		
	11/18/10	6,000	63.557	381.34	549.54	168.20 LT		
	11/30/10	1,000	61.590	61.59	91.59	30.00 LT		
	11/30/10	2,000	61.590	123.18	183.18	60.00 LT		
	12/6/10	2,001	62.259	124.58	183.27	58.69 LT		
	11/29/12	67,000	69.280	4,641.75	6,136.53	1,494.78 LT		
	11/29/12	1,000	69.280	69.28	91.59	22.31 LT		
Purchases		152,584		10,175.62	13,975.17	3,799.55 LT		
Total		8,416		492.13	770.82	278.69 LT		
Total		161,000		10,667.75	14,745.99	4,078.24 LT	425.04	2.88
Long Term Reinvestments								
Share Price: \$91.590; Next Dividend Payable 03/2014								
JONES LANG LASALLE INC (JLL)								
	12/10/09	2,000	53.580	107.16	204.78	97.62 LT		
	1/22/10	1,000	58.060	58.06	102.39	44.33 LT		
	5/3/11	6,000	98.260	589.56	614.34	24.78 LT		
	11/22/11	7,000	58.500	409.50	716.73	307.23 LT		
Total		16,000		1,164.28	1,638.24	473.96 LT	7.04	0.42
Share Price: \$102.390; Next Dividend Payable 06/2014								
JOY GLOBAL INC (JOY)								
	9/27/12	11,000	56.987	626.86	643.39	16.53 LT		
	9/28/12	2,000	56.785	113.57	116.98	3.41 LT		
	10/18/12	7,000	62.500	437.50	409.43	(28.07) LT		

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COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	9/10/13	3,000	54.500	163.50	175.47	11.97 ST		
Total		23,000		1,341.43	1,345.27	(8.13) LT 11.97 ST	16.10	1.19
Share Price: \$58.490; Next Dividend Payable 03/2014								
JPMORGAN CHASE & CO (JPM)								
	11/18/10	12,000	39.460	473.52	701.76	228.24 LT		
	11/24/10	6,000	37.740	226.44	350.88	124.44 LT		
	12/16/10	1,000	39.870	39.87	58.48	18.61 LT		
	12/16/10	11,000	39.874	438.61	643.28	204.67 LT		
	8/9/11	2,000	36.275	72.55	116.96	44.41 LT		
	8/9/11	12,000	36.275	435.30	701.76	266.46 LT		
	10/20/11	3,000	32.580	97.74	175.44	77.70 LT		
	10/20/11	17,000	32.580	553.86	994.16	440.30 LT		
	12/13/12	10,000	42.746	427.46	584.80	157.34 LT		
Total		74,000		2,765.35	4,327.52	1,562.17 LT	112.48	2.59
Share Price: \$58.480; Next Dividend Payable 01/2014								
KEYCORP NEW (KEY)								
	12/10/09	55,000	5.856	386.50	885.72	499.22 LT		
	1/8/10	6,000	6.398	38.39	80.52	42.13 LT		
	2/16/10	5,000	6.918	34.59	67.10	32.51 LT		
	2/22/10	9,000	6.978	62.80	120.78	57.98 LT		
	5/4/11	11,000	8.636	95.00	147.62	52.62 LT		
	3/12/13	29,000	9.850	285.65	389.18	103.53 ST		
Total		126,000		902.93	1,690.92	684.46 LT 103.53 ST	27.72	1.63
Share Price: \$13.420; Next Dividend Payable 03/2014								
KIMBERLY CLARK CORP (KMB)								
	4/1/11	6,000	65.429	392.58	626.76	234.18 LT		
	11/29/12	78,000	85.620	6,678.36	8,147.88	1,469.52 LT		
	8/22/13	26,000	94.853	2,466.17	2,715.96	249.79 ST		
Total		110,000		9,537.11	11,490.60	1,703.70 LT 249.79 ST	356.40	3.10
Share Price: \$104.450; Next Dividend Payable 01/03/14								
KLA TENCOR CORP (KLAC)								
	9/29/11	5,000	39.100	195.50	322.30	126.80 LT		
	11/2/12	6,000	48.000	288.00	386.76	98.76 LT		
	11/9/12	6,000	46.435	278.61	386.76	108.15 LT		
	11/14/12	9,000	45.598	410.38	580.14	169.76 LT		
Total		26,000		1,172.49	1,675.96	503.47 LT	46.80	2.79
Share Price: \$64.460; Next Dividend Payable 03/2014								

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COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
L-3 COMMUNICATIONS HOLDING INC (LLL)								
	12/10/09	42,000	78.421	3,293.70	4,488.12	1,194.42 LT		
	1/8/10	2,000	83.940	167.88	213.72	45.84 LT		
	1/22/10	3,000	82.050	246.15	320.58	74.43 LT		
	2/16/10	2,000	83.895	167.79	213.72	45.93 LT		
	2/22/10	1,000	88.130	88.13	106.86	18.73 LT		
	5/3/11	12,000	78.742	944.90	1,282.32	337.42 LT		
	8/24/12	6,000	69.873	419.24	641.16	221.92 LT		
Total		68,000		5,327.79	7,266.48	1,938.69 LT	149.80	2.05
<i>Share Price: \$106.860; Next Dividend Payable 03/2014</i>								
LIBERTY INTERACTIVE CO INTER A (LINTA)								
	12/10/09	117,000	9.381	1,097.55	3,433.95	2,336.40 LT		
	1/8/10	10,000	10.055	100.55	293.50	192.95 LT		
	1/22/10	13,000	9.422	122.49	381.55	259.06 LT		
	2/8/10	7,000	9.233	64.63	205.45	140.82 LT		
	2/16/10	6,000	9.590	57.54	176.10	118.56 LT		
	2/22/10	3,000	9.950	29.85	88.05	58.20 LT		
Total		156,000		1,472.61	4,578.60	3,105.99 LT		
<i>Share Price: \$29.350</i>								
LIBERTY MEDIA CORP SER A (LMCA)								
	12/10/09	29,000	20.761	602.08	4,242.46	3,640.38 LT		
	1/8/10	3,000	22.653	67.96	438.87	370.91 LT		
	1/22/10	3,000	22.027	66.08	438.87	372.79 LT		
Total		35,000		736.12	5,120.22	4,384.08 LT		
<i>Share Price: \$146.292</i>								
MATTEL INC (MAT)								
	1/8/10	2,000	19.770	39.54	95.16	55.62 LT		
	1/22/10	1,000	20.010	20.01	47.58	27.57 LT		
	2/22/10	2,000	21.640	43.28	95.16	51.88 LT		
	10/19/10	11,000	22.948	252.43	523.38	270.95 LT		
	10/22/10	22,000	23.118	508.60	1,046.76	538.16 LT		
	5/4/11	4,000	26.710	106.84	190.32	83.48 LT		
Total		42,000		970.70	1,998.36	1,027.66 LT	60.48	3.02
<i>Share Price: \$47.580; Next Dividend Payable 03/2014</i>								
MERCK & CO INC NEW COM (MRK)								
	12/10/09	33,000	37.568	1,239.75	1,651.65	411.90 LT		
	12/10/09	20,000	37.568	751.37	1,001.00	249.63 LT		
	12/10/09	5,000	37.568	187.84	250.25	62.41 LT		
	1/8/10	8,000	37.540	300.32	400.40	100.08 LT		
	2/8/10	4,000	36.868	147.47	200.20	52.73 LT		
	2/16/10	2,000	37.605	75.21	100.10	24.89 LT		



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COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
METLIFE INCORPORATED (MET)	2/22/10	6,000	37.138	222.83	300.30	77.47 LT		
	5/3/11	12,000	36.268	435.22	600.60	165.38 LT		
	5/22/13	66,000	47.797	3,154.62	3,303.30	148.68 ST		
	6/21/13	4,000	47.073	188.29	200.20	11.91 ST		
	9/10/13	2,000	48.370	96.74	100.10	3.36 ST		
	9/10/13	103,000	48.371	4,982.18	5,155.15	172.97 ST		
	Total	265,000		11,781.84	13,263.25	1,481.41 LT	466.40	3.51
Share Price: \$50.050; Next Dividend Payable 01/08/14								
MICROSOFT CORP (MSFT)	3/2/11	30,000	44.700	1,341.00	1,617.60	276.60 LT		
	7/13/11	3,000	42.330	126.99	161.76	34.77 LT		
	8/4/11	4,000	37.768	151.07	215.68	64.61 LT		
	11/29/12	84,000	33.380	2,803.92	4,529.28	1,725.36 LT		
	4/22/13	65,000	35.423	2,302.52	3,504.80	1,202.28 ST		
	Total	186,000		6,725.50	10,029.12	3,303.68 LT	204.60	2.04
Share Price: \$53.920; Next Dividend Payable 03/20/14								
NATIONAL OILWELL VARCO INC (NOV)	11/29/12	242,000	26.886	6,506.29	9,053.22	2,546.93 LT	271.04	2.99
	12/10/09	25,000	43.848	1,096.20	1,988.25	892.05 LT		
	1/8/10	1,000	46.830	46.83	79.53	32.70 LT		
	1/22/10	5,000	42.874	214.37	397.65	183.28 LT		
	2/8/10	2,000	41.870	83.74	159.06	75.32 LT		
	2/16/10	1,000	44.070	44.07	79.53	35.46 LT		
NESTLE SPON ADR REP REG SHR (NSRGY)	2/22/10	2,000	44.680	89.36	159.06	69.70 LT		
	3/21/13	4,000	68.055	272.22	318.12	45.90 ST		
	Total	40,000		1,846.79	3,181.20	1,334.41 LT	41.60	1.30
Share Price: \$79.530; Next Dividend Payable 03/20/14								
NESTLE SPON ADR REP REG SHR (NSRGY)	2/16/12	24,000	60.384	1,449.21	1,766.16	316.95 LT		
	11/29/12	37,000	65.800	2,434.60	2,722.83	288.23 LT		
	5/22/13	33,000	68.733	2,268.20	2,428.47	160.27 ST		
	Total	94,000		6,152.01	6,917.46	665.45 LT	170.70	2.46
Share Price: \$73.590; Next Dividend Payable 05/20/14								

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COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
NEWFIELD EXPL CO (NFX)								
	4/12/12	8,000	33.569	268.55	197.04	(71.51) LT		
	5/1/12	12,000	36.493	437.91	295.56	(142.35) LT		
	11/6/12	5,000	26.494	132.47	123.15	(9.32) LT		
	3/21/13	5,000	23.028	115.14	123.15	8.01 ST		
Total		30,000		954.07	738.90	(223.18) LT	—	—
Share Price: \$24.630								
NEXTERA ENERGY INC COM (NEE)								
	1/8/10	3,000	52.498	157.49	256.86	99.37 LT		
	1/22/10	8,000	48.446	387.57	684.96	297.39 LT		
	2/8/10	2,000	47.110	94.22	171.24	77.02 LT		
	2/16/10	7,000	46.117	322.82	599.34	276.52 LT		
	2/22/10	3,000	47.067	141.20	256.86	115.66 LT		
	1/6/11	8,000	52.130	417.04	684.96	267.92 LT		
	11/29/12	58,000	67.950	3,941.09	4,965.96	1,024.87 LT		
Total		89,000		5,461.43	7,620.18	2,158.75 LT	234.96	3.08
Share Price: \$85.620; Next Dividend Payable 03/2014								
NOVARTIS AG ADR (NVS)								
	12/10/09	35,000	54.169	1,895.90	2,813.30	917.40 LT		
	1/8/10	6,000	52.248	313.49	482.28	168.79 LT		
	2/8/10	1,000	53.180	53.18	80.38	27.20 LT		
	2/16/10	2,000	54.310	108.62	160.76	52.14 LT		
	2/22/10	2,000	54.765	109.53	160.76	51.23 LT		
Total		46,000		2,480.72	3,697.48	1,216.76 LT	94.62	2.55
Share Price: \$80.380; Next Dividend Payable 04/2014								
NUCOR CORPORATION (NUE)								
	12/10/09	15,000	41.998	629.97	800.70	170.73 LT		
	12/10/09	37,000	41.998	1,553.93	1,975.06	421.13 LT		
	12/10/09	3,000	41.998	125.99	160.14	34.15 LT		
	12/10/09	8,000	41.998	335.99	427.04	91.05 LT		
	12/23/09	1,000	46.060	46.06	53.38	7.32 LT		
	12/23/09	3,000	46.060	138.18	160.14	21.96 LT		
	1/8/10	3,000	50.170	150.51	160.14	9.63 LT		
	1/22/10	2,000	44.330	88.66	106.76	18.10 LT		
	1/22/10	9,000	44.328	398.95	480.42	81.47 LT		
	2/8/10	3,000	39.770	119.31	160.14	40.83 LT		
	2/8/10	9,000	39.770	357.93	480.42	122.49 LT		
	2/22/10	2,000	44.005	88.01	106.76	18.75 LT		
	2/7/11	2,000	48.420	96.84	106.76	9.92 LT		



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Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	2/7/11	7,000	48.421	338.95	373.66	34.71 LT		
	5/4/11	2,000	45.440	90.88	106.76	15.88 LT		
	5/4/11	7,000	45.437	318.06	373.66	55.60 LT		
	7/28/11	3,000	39.343	118.03	160.14	42.11 LT		
	7/28/11	10,000	39.345	393.45	533.80	140.35 LT		
	Total	126,000		5,389.70	6,725.88	1,336.18 LT	186.48	2.77
Share Price: \$53.380; Next Dividend Payable 02/11/14								
OCCIDENTAL PETROLEUM CORP DE (OXY)	12/14/12	6,000	76.096	456.57	570.60	114.03 LT		
	12/14/12	3,000	76.096	228.29	285.30	57.01 LT		
	12/19/12	7,000	78.900	552.30	665.70	113.40 LT		
	3/27/13	4,000	78.228	312.91	380.40	67.49 ST		
	9/4/13	43,000	89.957	3,868.13	4,089.30	221.17 ST		
	Total	63,000		5,418.20	5,991.30	284.44 LT	161.28	2.69
Share Price: \$95.100; Next Dividend Payable 01/15/14								
ORACLE CORP (ORCL)	12/19/13	60,000	36.604	2,196.22	2,295.60	99.38 ST		
	12/27/13	58,000	38.107	2,210.19	2,219.08	8.89 ST		
	Total	118,000		4,406.41	4,514.68	108.27 ST	56.64	1.25
Share Price: \$38.260; Next Dividend Payable 01/20/14								
PALL CORPORATION (PLL)	12/10/09	61,000	33.997	2,073.82	5,206.35	3,132.53 LT		
	2/8/10	7,000	33.520	235.34	597.45	362.11 LT		
	9/8/11	12,000	44.717	536.60	1,024.20	487.60 LT		
	Total	80,000		2,845.76	6,828.00	3,982.24 LT	88.00	1.28
Share Price: \$85.350; Next Dividend Payable 02/20/14								
PEABODY ENERGY CORP (BTU)	5/1/12	9,000	31.664	284.98	175.77	(109.21) LT		
	7/24/12	17,000	20.500	348.50	332.01	(16.49) LT		
	9/26/12	18,000	22.356	402.41	351.54	(50.87) LT		
	3/21/13	6,000	20.917	125.50	117.18	(8.32) ST		
	Total	50,000		1,161.39	976.50	(176.57) LT	17.00	1.74
Share Price: \$19.530; Next Dividend Payable 02/20/14								
PEBBLEBROOK HOTEL TR COM (PEB)	5/3/11	30,000	21.062	631.85	922.80	290.95 LT R		
	11/7/12	13,000	21.140	274.82	399.88	125.06 LT		
	11/29/12	11,000	21.020	231.22	338.36	107.14 LT		
	Total	54,000		1,137.89	1,661.04	523.15 LT	34.56	2.08
Share Price: \$30.760; Next Dividend Payable 01/15/14								

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COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
PENTAIR LTD (PNR)	12/10/09	24,000	27.448	658.76	1,864.08	1,205.32 LT		
	1/8/10	4,000	24.198	96.79	310.68	213.89 LT		
	2/8/10	3,000	28.310	84.93	233.01	148.08 LT		
	2/16/10	2,000	21.780	43.56	155.34	111.78 LT		
	2/22/10	1,000	18.990	18.99	77.67	58.68 LT		
	11/29/12	4,000	48.890	195.56	310.68	115.12 LT		
	Total	38,000		1,098.59	2,951.46	1,852.87 LT	38.00	1.28
Share Price: \$77.670; Next Dividend Payable 02/20/14								
PEOPLE'S UNITED FINANCIAL INC. (PBCT)	11/29/12	270,000	12.037	3,249.86	4,082.40	832.54 LT		
	2/5/13	15,000	12.503	187.55	226.80	39.25 ST		
	Total	285,000		3,437.41	4,309.20	832.54 LT 39.25 ST	185.25	4.29
Share Price: \$15.120; Next Dividend Payable 02/20/14								
PEPSICO INC NC (PEP)	12/10/09	10,000	61.857	618.57	829.40	210.83 LT		
	1/8/10	6,000	60.605	363.63	497.64	134.01 LT		
	1/22/10	2,000	60.610	121.22	165.88	44.66 LT		
	2/8/10	2,000	59.255	118.51	165.88	47.37 LT		
	2/16/10	1,000	61.210	61.21	82.94	21.73 LT		
	2/22/10	1,000	62.620	62.62	82.94	20.32 LT		
	11/29/12	35,000	70.310	2,460.85	2,902.90	442.05 LT		
	Total	57,000		3,806.61	4,727.58	920.97 LT	129.39	2.73
Share Price: \$82.940; Next Dividend Payable 01/02/14								
PFIZER INC (PFE)	12/4/06	15,025	25.126	377.51	460.22	82.71 LT 1		
	1/8/10	5,000	18.586	92.93	153.15	60.22 LT		
	2/8/10	5,000	17.926	89.63	153.15	63.52 LT		
	2/16/10	4,000	17.678	70.71	122.52	51.81 LT		
	2/22/10	3,000	17.990	53.97	91.89	37.92 LT		
	7/5/11	33,001	20.754	684.91	1,010.82	325.91 LT		
	7/31/12	14,000	23.950	335.30	428.82	93.52 LT		
	11/29/12	208,000	24.826	5,153.91	6,371.04	1,207.13 LT		
	9/10/13	16,000	28.450	455.20	490.08	34.88 ST		
	Purchases	303,026		7,324.07	9,281.69	1,922.74 LT 34.88 ST		
Long Term Reinvestments								
		36,974		643.19	1,132.51	489.32 LT		



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Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$30.630; Next Dividend Payable 03/2014								
PLANTRONICS INC (PLT)	8/16/11	7,000	33.051	231.36	325.15	93.79 LT		
	12/10/12	1,000	34.030	34.03	46.45	12.42 LT		
Total		8,000		265.39	371.60	106.21 LT	3.20	0.86
Share Price: \$46.450; Next Dividend Payable 03/2014								
PPG INDUSTRIES INC (PPG)	12/10/09	1,000	58.808	58.81	189.65	130.85 LT		
	1/8/10	5,000	61.468	307.34	948.30	640.96 LT		
	1/22/10	2,000	60.310	120.62	379.32	258.70 LT		
	2/8/10	3,000	57.890	173.67	568.98	395.31 LT		
	2/16/10	1,000	61.250	61.25	189.65	128.41 LT		
	2/22/10	2,000	62.220	124.44	379.32	254.88 LT		
	9/26/11	2,000	69.675	139.35	379.32	239.97 LT		
	11/29/12	29,000	122.680	3,557.72	5,500.14	1,942.42 LT		
Total		45,000		4,543.20	8,534.70	3,991.50 LT	109.80	1.28
Share Price: \$189.660; Next Dividend Payable 03/2014								
PROCTER & GAMBLE (PG)	11/29/12	101,000	69.466	7,016.11	8,222.41	1,206.30 LT		
	1/17/13	9,000	69.870	628.83	732.69	103.86 ST		
Total		110,000		7,644.94	8,955.10	1,206.30 LT	264.66	2.95
Share Price: \$81.410; Next Dividend Payable 02/2014								
QUALCOMM INC (QCOM)	6/27/12	25,000	54.996	1,374.90	1,856.25	481.35 LT		
	11/29/12	38,000	63.320	2,406.16	2,821.50	415.34 LT		
	1/2/13	71,000	64.340	4,568.16	5,271.75	703.59 ST		
Total		134,000		8,349.22	9,949.50	896.69 LT	187.60	1.88
Share Price: \$74.250; Next Dividend Payable 03/2014								
RAYTHEON CO (NEW) (RTN)	12/10/09	9,000	52.028	468.25	816.30	348.05 LT		
	12/10/09	1,000	52.028	52.03	90.70	38.67 LT		
	12/10/09	1,000	52.028	52.03	90.70	38.67 LT		
	12/10/09	6,000	52.028	312.17	544.20	232.03 LT		
	1/8/10	6,000	52.240	313.44	544.20	230.76 LT		
	2/8/10	1,000	53.120	53.12	90.70	37.58 LT		
	2/16/10	2,000	54.430	108.86	181.40	72.54 LT		
	2/22/10	1,000	56.090	56.09	90.70	34.61 LT		

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COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
REGIONS FINANCIAL CORP NEW (RF)	9/21/10	13,000	46.897	609.66	1,179.10	569.44 LT		
	11/9/10	3,000	48.500	145.50	272.10	126.60 LT		
	11/15/10	1,000	46.500	46.50	90.70	44.20 LT		
	11/29/12	62,000	56.730	3,517.26	5,623.40	2,106.14 LT		
	2/7/13	14,000	54.195	758.73	1,269.80	511.07 ST		
	3/6/13	12,000	55.232	662.78	1,088.40	425.62 ST		
	3/26/13	4,000	57.775	231.10	362.80	131.70 ST		
	3/27/13	4,000	58.333	233.33	362.80	129.47 ST		
	Total	140,000		7,620.85	12,698.00	3,879.29 LT 1,197.86 ST	308.00	2.42
Share Price: \$90.700; Next Dividend Payable 02/06/14								
ROYAL DUTCH SHELL PLC CL B (RDS'B)	4/5/12	31,000	6.421	199.04	306.59	107.55 LT		
	4/13/12	44,000	6.195	272.59	435.16	162.57 LT		
	4/16/12	44,000	6.202	272.87	435.16	162.29 LT		
	11/20/12	42,000	6.600	277.20	415.38	138.18 LT		
	11/20/12	21,000	6.593	138.45	207.69	69.24 LT		
	2/7/13	18,000	7.950	143.10	178.02	34.92 ST		
	Total	200,000		1,303.25	1,978.00	639.83 LT 34.92 ST	24.00	1.21
Share Price: \$9.890; Next Dividend Payable 01/02/14								
SAFEWAY INC COM NEW (SWY)	9/19/13	10,000	69.836	698.36	751.10	52.74 ST	36.00	4.79
	8/24/12	33,000	15.549	513.12	1,074.81	561.69 LT	26.40	2.45
	12/10/09	45,000	22.628	1,018.25	3,174.30	2,156.04 LT		
	2/16/10	3,000	27.347	82.04	211.62	129.58 LT		
	8/30/10	3,000	34.473	103.42	211.62	108.20 LT		
	10/27/10	31,000	37.665	1,167.63	2,186.74	1,019.11 LT		
	4/13/12	7,000	41.859	293.01	493.78	200.77 LT		
	Total	89,000		2,664.36	6,278.06	3,613.70 LT	80.10	1.27
Share Price: \$70.540; Next Dividend Payable 02/20/14								
SCHLUMBERGER LTD (SLB)	7/6/12	8,000	65.578	524.62	720.88	196.26 LT		
	7/6/12	21,000	65.578	1,377.13	1,892.31	515.18 LT		
	10/25/12	7,000	71.106	497.74	630.77	133.03 LT		
	11/29/12	53,000	70.490	3,735.97	4,775.83	1,039.86 LT		
	4/22/13	37,000	70.574	2,611.24	3,334.07	722.83 ST		
	Total	126,000		8,146.70	12,353.86	2,487.14 LT 722.83 ST		
Share Price: \$75.110								
SANDISK CORP (SNDK)	8/24/12	33,000	15.549	513.12	1,074.81	561.69 LT	26.40	2.45
	12/10/09	45,000	22.628	1,018.25	3,174.30	2,156.04 LT		
	2/16/10	3,000	27.347	82.04	211.62	129.58 LT		
	8/30/10	3,000	34.473	103.42	211.62	108.20 LT		
	10/27/10	31,000	37.665	1,167.63	2,186.74	1,019.11 LT		
	4/13/12	7,000	41.859	293.01	493.78	200.77 LT		
SCHLUMBERGER LTD (SLB)	7/6/12	8,000	65.578	524.62	720.88	196.26 LT		
	7/6/12	21,000	65.578	1,377.13	1,892.31	515.18 LT		
	10/25/12	7,000	71.106	497.74	630.77	133.03 LT		
	11/29/12	53,000	70.490	3,735.97	4,775.83	1,039.86 LT		
	4/22/13	37,000	70.574	2,611.24	3,334.07	722.83 ST		
	Total	126,000		8,146.70	12,353.86	2,487.14 LT 722.83 ST		



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COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
SEAGATE TECHNOLOGY PLC (STX)	10/2/13	20,000	89.168	1,783.36	1,802.20	18.84 ST		
	Total	146,000		10,530.06	13,156.06	1,884.33 LT 741.67 ST	182.50	1.38
Share Price: \$90.110; Next Dividend Payable 01/10/14								
SEAGATE TECHNOLOGY PLC (STX)	8/18/10	44,000	11.172	491.55	2,471.04	1,979.49 LT		
	8/23/10	98,000	10.960	1,074.12	5,503.68	4,429.56 LT		
	Total	142,000		1,565.67	7,974.72	6,409.05 LT	244.24	3.06
Share Price: \$56.160; Next Dividend Payable 02/20/14								
SOTHEBY'S CL A (BID)	10/19/11	4,000	31.218	124.87	212.80	87.93 LT		
	10/21/11	4,000	32.038	128.15	212.80	84.65 LT		
	11/29/12	1,000	28.930	28.93	53.20	24.27 LT		
Total		9,000		281.95	478.80	196.85 LT	3.60	0.75
Share Price: \$53.200; Next Dividend Payable 03/20/14								
SPECTRA ENERGY CORP COM (SE)	12/10/09	81,000	20.077	1,626.25	2,885.22	1,258.97 LT		
	1/8/10	8,000	20.938	167.50	284.96	117.46 LT		
	2/8/10	4,000	20.838	83.35	142.48	59.13 LT		
	2/16/10	5,000	21.328	106.64	178.10	71.46 LT		
	2/22/10	4,000	21.680	86.72	142.48	55.76 LT		
	11/29/12	188,000	27.657	5,199.46	6,696.56	1,497.10 LT		
	2/5/13	15,000	28.070	421.05	534.30	113.25 ST		
Total		305,000		7,690.97	10,864.10	3,059.88 LT 113.25 ST	372.10	3.42
Share Price: \$35.620; Next Dividend Payable 03/20/14								
STANLEY BLACK & DECKER INC (SWK)	11/13/13	9,000	82.576	743.18	726.21	(16.97) ST	18.00	2.47
	Total							
Share Price: \$80.690; Next Dividend Payable 03/20/14								
STARZ SERIES A (STRZA)	12/10/09	29,000	2.387	69.23	847.96	778.73 LT		
	1/8/10	3,000	2.607	7.82	87.72	79.90 LT		
	1/22/10	3,000	2.533	7.60	87.72	80.12 LT		
	2/7/13	10,000	16.392	163.92	292.40	128.48 ST		
Total		45,000		248.57	1,315.80	938.75 LT 128.48 ST	—	—
Share Price: \$29.240								
STATE STREET CORP (STT)	12/31/12	15,000	46.745	701.18	1,100.85	399.67 ST		
	3/13/13	2,000	59.800	119.60	146.78	27.18 ST		
	3/15/13	5,000	59.800	299.00	366.95	67.95 ST		
	3/19/13	5,000	59.250	296.25	366.95	70.70 ST		

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COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$73.390; Next Dividend Payable 01/16/14								
SYMANTEC CORP (SYMC)	3/20/13	7,000	60.589	424.12	513.73	89.61 ST		
	3/21/13	5,000	59.000	295.00	366.95	71.95 ST		
	3/22/13	5,000	59.598	297.99	366.95	68.96 ST		
	5/20/13	7,000	65.186	456.30	513.73	57.43 ST		
	Total	51,000		2,889.44	3,742.89	853.45 ST	53.04	1.41
Share Price: \$23.580; Next Dividend Payable 03/20/14								
TARGET CORPORATION (TGT)	3/9/11	4,000	18.390	73.56	94.32	20.76 LT		
	3/11/11	15,000	18.089	271.34	353.70	82.36 LT		
	5/3/11	6,000	19.560	117.36	141.48	24.12 LT		
	5/13/11	14,000	20.050	280.70	330.12	49.42 LT		
	5/18/11	14,000	19.624	274.73	330.12	55.39 LT		
Total		53,000		1,017.69	1,249.74	232.05 LT	31.80	2.54
Share Price: \$63.270; Next Dividend Payable 03/20/14								
TE CONNECTIVITY LTD NEW (TEL)	3/9/12	24,000	57.546	1,381.10	1,518.48	137.38 LT		
	11/5/12	20,000	53.393	1,267.86	1,265.40	(2.46) LT		
	11/29/12	86,000	62.678	5,390.27	5,441.22	50.95 LT		
	Total	130,000		8,039.23	8,225.10	185.87 LT	223.60	2.71
Share Price: \$55.110; Next Dividend Payable 03/20/14								
TERADYNE INC (TER)	12/10/09	124,000	23.608	2,927.45	6,833.64	3,906.19 LT		
	1/8/10	13,000	25.020	325.26	716.43	391.17 LT		
	1/22/10	2,000	25.050	50.10	110.22	60.12 LT		
	2/8/10	4,000	24.720	98.88	220.44	121.56 LT		
	2/16/10	4,000	25.798	103.19	220.44	117.25 LT		
Total		152,000		3,636.48	8,376.72	4,740.24 LT	152.00	1.81
Share Price: \$17.620								
TEVA PHARMACEUTICALS ADR (TEVA)	11/2/12	19,000	15.300	290.70	334.78	44.08 LT		
	11/14/12	27,000	15.550	419.84	475.74	55.90 LT		
	7/26/13	17,000	16.599	282.18	299.54	17.36 ST		
	8/5/13	17,000	16.539	281.16	299.54	18.38 ST		
	Total	80,000		1,273.88	1,409.60	99.98 LT	—	—
Security Mark at Right								
TEVA PHARMACEUTICALS ADR (TEVA)	12/11/12	6,000	41.778	250.67	240.48	(10.19) LT		
	12/14/12	1,000	38.090	38.09	40.08	1.99 LT		
	2/26/13	11,000	37.624	413.86	440.85	27.02 ST		



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Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	3/6/13	7,000	39.380	275.56	280.56	4.90 ST		
Total		25,000		978.28	1,002.00	(8.20) LT 31.92 ST	27.15	2.70
Share Price: \$40.080; Next Dividend Payable 03/2014								
TEXAS INSTRUMENTS (TXN)								
	1/8/10	2,000	26.237	52.47	87.82	35.35 LT		
	1/22/10	4,000	23.178	92.71	175.64	82.93 LT		
	1/22/10	7,000	23.178	162.24	307.37	145.13 LT		
	2/8/10	1,000	23.240	23.24	43.91	20.67 LT		
	2/22/10	2,000	24.880	49.76	87.82	38.06 LT		
	2/22/10	1,000	24.878	24.88	43.91	19.03 LT		
	10/5/11	19,000	27.412	520.83	834.29	313.46 LT		
	10/5/11	35,000	27.412	959.42	1,535.85	577.43 LT		
	11/29/12	90,000	30.040	2,703.60	3,951.90	1,248.30 LT		
	11/29/12	1,000	30.040	30.04	43.91	13.87 LT		
Total		162,000		4,619.19	7,113.42	2,494.23 LT	194.40	2.73
Share Price: \$43.910; Next Dividend Payable 02/2014								
THE ADT CORPORATION COM (ADT)								
	12/10/09	54,000	22.461	1,212.89	2,185.38	972.49 LT C		
	1/8/10	7,000	24.904	174.33	283.29	108.96 LT C		
	2/8/10	7,000	21.806	152.64	283.29	130.65 LT C		
	2/16/10	3,000	25.170	78.51	121.41	42.90 LT C		
	2/22/10	1,000	34.330	34.33	40.47	6.14 LT C		
Total		72,000		1,652.70	2,913.84	1,251.14 LT	36.00	1.23
Share Price: \$40.470; Next Dividend Payable 02/2014								
TIME WARNER INC NEW (TWX)								
	3/8/10	39,000	30.650	1,195.34	2,719.08	1,523.74 LT		
	10/22/10	2,000	31.550	63.10	139.44	76.34 LT		
	11/19/10	1,000	30.410	30.41	69.72	39.31 LT		
	5/13/11	35,000	36.202	1,267.08	2,440.20	1,173.12 LT		
	9/26/11	4,000	30.150	120.60	278.88	158.28 LT		
	11/29/12	89,000	47.010	4,183.89	6,205.08	2,021.19 LT		
Total		170,000		6,860.42	11,852.40	4,991.98 LT	195.50	1.64
Share Price: \$69.720; Next Dividend Payable 03/2014								
TRAVELERS COMPANIES INC COM (TRV)								
	12/10/09	9,000	50.689	456.20	814.86	358.66 LT		
	1/8/10	14,000	48.427	677.98	1,267.56	589.58 LT		
	1/22/10	1,000	48.620	48.62	90.54	41.92 LT		
	2/16/10	3,000	51.457	154.37	271.62	117.25 LT		
	2/22/10	1,000	53.110	53.11	90.54	37.43 LT		

Account Detail

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THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
TYCO INTERNATIONAL LTD NEW (TYC)	12/10/10	2,000	54.560	109.12	181.08	71.96 LT		
	8/26/11	11,000	47.194	519.13	995.94	476.81 LT		
	11/29/12	72,000	71.060	5,116.32	6,518.88	1,402.56 LT		
	Total	113,000		7,134.85	10,231.02	3,096.17 LT	226.00	2.20
Share Price: \$90.540; Next Dividend Payable 03/2014								
U S BANCORP COM NEW (USB)	12/10/09	106,000	17.953	1,903.04	4,350.24	2,447.20 LT		
	1/8/10	15,000	18.039	270.59	615.60	345.01 LT		
	2/8/10	14,000	16.960	237.44	574.56	337.12 LT		
	2/16/10	7,000	17.397	121.78	287.28	165.50 LT		
	2/22/10	3,000	17.693	53.08	123.12	70.04 LT		
	Total	145,000		2,585.93	5,950.80	3,364.87 LT	92.80	1.55
Share Price: \$41.040; Next Dividend Payable 02/2014								
UNILEVER PLC (NEW) ADS (UL)	12/16/10	17,000	26.019	442.32	586.80	244.48 LT		
	12/20/10	10,000	26.190	261.90	404.00	142.10 LT		
	12/21/10	10,000	26.320	263.20	404.00	140.80 LT		
	1/3/11	14,000	27.110	379.54	565.60	186.06 LT		
	1/4/11	10,000	26.810	268.10	404.00	135.90 LT		
	1/21/11	11,000	26.910	296.01	444.40	148.39 LT		
	5/3/11	11,000	26.779	294.57	444.40	149.83 LT		
	Total	83,000		2,194.64	3,353.20	1,158.56 LT	76.36	2.27
Share Price: \$40.400; Next Dividend Payable 01/15/14								
UNION PACIFIC CORP (UNP)	12/10/09	40,000	30.208	1,208.30	1,648.00	439.70 LT		
	1/8/10	6,000	31.120	186.72	247.20	60.48 LT		
	1/22/10	2,000	31.000	62.00	82.40	20.40 LT		
	2/8/10	5,000	28.998	144.99	206.00	61.01 LT		
	2/16/10	3,000	29.497	88.49	123.60	35.11 LT		
	2/22/10	3,000	30.027	90.08	123.60	33.52 LT		
	8/2/11	4,000	31.543	126.17	154.80	38.63 LT		
	Total	63,000		1,906.75	2,595.60	688.85 LT	87.89	3.38
Share Price: \$41.200								
UNION PACIFIC CORP (UNP)	5/9/13	11,000	154.017	1,694.19	1,848.00	153.81 ST		
	7/16/13	12,000	159.670	1,916.04	2,016.00	99.96 ST		
	8/28/13	17,000	153.010	2,601.17	2,856.00	254.83 ST		
	9/9/13	7,000	156.964	1,098.75	1,176.00	77.25 ST		
	Total	47,000		7,310.15	7,896.00	586.85 ST	148.52	1.88
Share Price: \$168.000; Next Dividend Payable 01/02/14								

Security Mark
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COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
UNITED PARCEL SERVICE INC CL-B (UPS)								
	8/10/11	11,000	62.922	692.15	1,155.88	463.73 LT		
	11/29/12	85,000	73.460	6,244.10	8,931.80	2,687.70 LT		
Total		96,000		6,936.25	10,087.68	3,151.43 LT	238.08	2.36
<i>Share Price: \$105.080; Next Dividend Payable 03/2014</i>								
UNITED TECHNOLOGIES CORP (UTX)								
	5/29/12	18,000	74.663	1,343.93	2,048.40	704.47 LT		
	10/25/12	18,000	78.211	1,407.79	2,048.40	640.61 LT		
	11/29/12	65,000	79.640	5,176.60	7,397.00	2,220.40 LT		
Total		101,000		7,928.32	11,493.80	3,565.48 LT	238.36	2.07
<i>Share Price: \$113.800; Next Dividend Payable 03/2014</i>								
UNITEDHEALTH GP INC (UNH)								
	12/10/09	73,000	30.176	2,202.86	5,496.90	3,294.04 LT		
	12/10/09	31,000	30.176	935.46	2,334.30	1,398.84 LT		
	12/10/09	12,000	30.176	362.11	903.60	541.49 LT		
	12/10/09	5,000	30.176	150.88	376.50	225.62 LT		
	1/8/10	3,000	32.530	97.59	225.90	128.31 LT		
	2/8/10	9,000	32.589	293.30	677.70	384.40 LT		
	2/16/10	20,000	31.506	630.12	1,506.00	875.88 LT		
	2/22/10	5,000	33.088	165.44	376.50	211.06 LT		
	4/5/13	40,000	62.100	2,484.01	3,012.00	527.99 ST		
	4/22/13	39,000	59.372	2,315.51	2,936.70	621.19 ST		
	4/22/13	7,000	59.371	415.60	527.10	111.50 ST		
Total		244,000		10,052.88	18,373.20	7,059.64 LT 1,260.68 ST	273.28	1.48
<i>Share Price: \$75.300; Next Dividend Payable 03/2014</i>								
VEECO INSTRUMENTS INC DEL (VECO)								
	10/17/12	1,000	29.998	30.00	32.91	2.91 LT		
	11/2/12	14,000	30.990	433.86	460.74	26.88 LT		
	11/12/12	9,000	30.000	270.00	296.19	26.19 LT		
	12/27/12	9,000	28.981	260.83	296.19	35.36 LT		
Total		33,000		994.69	1,086.03	91.34 LT	—	—
<i>Share Price: \$32.910</i>								
VERIZON COMMUNICATIONS (VZ)								
	1/20/95	21,393	23.449	501.65	1,051.25	549.60 LT 1		
	1/8/10	14,000	29.639	414.95	687.96	273.01 LT		
	1/22/10	4,000	28.570	114.28	196.56	82.28 LT		
	2/8/10	8,000	26.685	213.48	393.12	179.64 LT		
	2/16/10	4,000	27.365	109.46	196.56	87.10 LT		
	2/22/10	6,001	27.185	163.14	294.89	131.75 LT		
	11/29/12	136,000	43.896	5,969.79	6,683.04	713.25 LT		

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STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	1/17/13	19,000	42.236	802.49	933.66	131.17 ST		
Purchases		212,394		8,289.24	10,437.04	2,016.63 LT		
						131.17 ST		
Total		37,606		1,081.27	1,847.96	766.69 LT	530.00	4.31
Long Term Reinvestments		250,000		9,370.51	12,285.00	2,783.32 LT		
						131.17 ST		
Share Price: \$49.140; Next Dividend Payable 02/20/14								
VERTEX PHARMACEUTICALS (VRTX)								
	12/10/09	26,000	40.148	1,043.85	1,931.80	887.95 LT		
	1/8/10	6,000	40.700	244.20	445.80	201.60 LT		
	1/22/10	1,000	40.160	40.16	74.30	34.14 LT		
	2/8/10	6,000	37.247	223.48	445.80	222.32 LT		
	2/22/10	2,000	39.730	79.46	148.60	69.14 LT		
	2/11/11	7,000	38.163	267.14	520.10	252.96 LT		
	6/9/11	3,000	48.763	146.29	222.90	76.61 LT		
	8/10/11	3,000	42.843	128.53	222.90	94.37 LT		
	11/29/12	7,000	39.700	277.90	520.10	242.20 LT		
Total		61,000		2,451.01	4,532.30	2,081.29 LT	--	--
Share Price: \$74.300								
VODAFONE GP PLC ADS NEW (VOD)								
	12/10/09	63,000	23.029	1,450.80	2,476.53	1,025.73 LT		
	1/8/10	14,000	22.048	308.67	560.34	241.67 LT		
	1/22/10	4,000	21.638	86.55	157.24	70.69 LT		
	2/16/10	5,000	22.168	110.84	196.55	85.71 LT		
	2/22/10	6,000	22.017	132.10	235.86	103.76 LT		
Total		92,000		2,088.96	3,616.52	1,527.56 LT	146.28	4.04
Share Price: \$39.310; Next Dividend Payable 02/05/14								
WAL MART STORES INC (WMT)								
	12/10/09	12,000	54.598	655.18	944.28	289.10 LT		
	1/8/10	8,000	53.138	425.10	629.52	204.42 LT		
	1/22/10	1,000	53.240	53.24	78.69	25.45 LT		
	2/8/10	1,000	53.160	53.16	78.69	25.53 LT		
	2/16/10	3,000	53.640	160.92	236.07	75.15 LT		
	2/22/10	3,000	53.880	161.64	236.07	74.43 LT		
	9/23/10	2,000	53.610	107.22	157.38	50.16 LT		
	11/4/10	2,000	55.400	110.80	157.38	46.58 LT		
	11/12/10	1,000	54.250	54.25	78.69	24.44 LT		
	1/3/11	1,000	54.170	54.17	78.69	24.52 LT		
	3/7/11	4,000	51.965	207.86	314.76	106.90 LT		



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STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
WALT DISNEY CO HLDG CO (DIS)	11/29/12	76,000	70.750	5,377.00	5,980.44	603.44 LT		
	9/10/13	30,000	74.142	2,224.26	2,360.70	136.44 ST		
	Total	144,000		9,644.80	11,331.36	1,550.12 LT 136.44 ST	270.72	2.38
Share Price: \$78.690; Next Dividend Payable 01/02/14								
WASTE MGMT INC (DELA) (WM)	12/10/09	13,000	31.346	407.50	993.20	585.70 LT		
	12/10/09	2,000	31.346	62.69	152.80	90.11 LT		
	12/10/09	3,000	31.346	94.04	229.20	135.16 LT		
	12/10/09	14,000	31.346	438.85	1,069.60	630.75 LT		
	1/8/10	2,000	31.710	63.42	152.80	89.38 LT		
	1/8/10	1,000	31.708	31.71	76.40	44.69 LT		
	1/8/10	3,000	31.708	95.12	229.20	134.08 LT		
	1/22/10	1,000	30.120	30.12	76.40	46.28 LT		
	1/22/10	3,000	30.117	90.35	229.20	138.85 LT		
	2/8/10	2,000	29.665	59.33	152.80	93.47 LT		
	2/16/10	2,000	30.470	60.94	152.80	91.86 LT		
	2/22/10	1,000	31.170	31.17	76.40	45.23 LT		
	12/23/11	16,000	37.515	600.24	1,222.40	622.16 LT		
	12/23/11	23,000	37.515	862.84	1,757.20	894.36 LT		
WEATHERFORD INTERNATIONAL LTD (WFT)	11/29/12	33,000	49.750	1,641.75	2,521.20	879.45 LT		
	8/28/13	15,000	60.989	914.84	1,146.00	231.16 ST		
	9/4/13	34,000	61.109	2,077.72	2,597.60	519.88 ST		
	Total	168,000		7,562.63	12,835.20	4,521.53 LT 751.04 ST	144.48	1.12
Share Price: \$76.400; Next Dividend Payable 01/16/14								
WASTE MGMT INC (DELA) (WM)	11/29/12	198,000	32.497	6,434.35	8,884.26	2,449.91 LT	289.08	3.25
	Share Price: \$44.870; Next Dividend Payable 03/20/14							
	12/10/09	139,000	16.308	2,266.81	2,153.11	(113.70) LT		
	1/22/10	42,000	17.910	752.22	650.58	(101.64) LT		
	1/28/10	34,000	16.048	545.62	526.66	(18.96) LT		
	2/8/10	47,000	15.060	707.82	728.03	20.21 LT		
	2/16/10	21,000	15.147	318.09	325.29	7.20 LT		
	4/21/11	17,000	20.462	347.86	263.33	(84.53) LT		
	5/4/11	15,000	20.228	303.42	232.35	(71.07) LT		
	8/24/12	160,000	12.748	2,039.74	2,478.40	438.66 LT		
11/29/12	122,000	10.031	1,223.73	1,889.78	666.05 LT			

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STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Total								
Share Price: \$15.490								
WEYERHAEUSER CO (WY)	7/22/10	27,000	15.540	419.57	852.39	432.82 LT		
	8/2/11	15,000	18.999	284.99	473.55	188.56 LT		
	7/16/13	120,000	29.265	3,511.81	3,788.40	276.59 ST		
	7/16/13	2,000	29.265	58.53	63.14	4.61 ST		
	8/28/13	73,000	27.598	2,014.65	2,304.61	289.96 ST		
	8/28/13	1,000	27.600	27.60	31.57	3.97 ST		
Total								
		238,000		6,317.15	7,513.66	621.38 LT	209.44	2.78
Share Price: \$31.570; Next Dividend Payable 02/20/14								
WISCONSIN ENERGY CORP (WEC)	8/10/11	45,000	28.841	1,297.86	1,860.30	562.44 LT		
	12/2/11	16,000	33.356	533.70	661.44	127.74 LT		
	11/29/12	102,000	37.046	3,778.74	4,216.68	437.94 LT		
Total								
		163,000		5,610.30	6,738.42	1,128.12 LT	249.39	3.70
Share Price: \$41.340; Next Dividend Payable 03/20/14								
Total								
				\$519,401.91	\$756,184.65	\$222,353.01 LT	\$16,162.80	2.14%
		50.8%				\$14,429.66 ST	\$0.00	
STOCKS								
							Estimated Annual Income	Yield %
							Accrued Interest	

EXCHANGE-TRADED & CLOSED-END FUNDS

Consulting Group Investment Advisor Research (CG IAR) status codes (FL, AL or NL) may be shown for certain exchange-traded funds. Please refer to "CG IAR Statuses in Investment Advisory Programs" in the quarter-end statement for your first statement. If you have not yet received a statement at the quarter-end for a description of these status codes. All status codes represent the opinions of CG IAR and are not representations or guarantees of performance.

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ISHARES COHEN&STEERS REIT ETF (ICF)								
	9/22/09	51,223	\$51.882	\$2,657.55	\$3,827.38	\$1,169.83 LT		
	10/1/09	100,000	46.644	4,664.40	7,472.00	2,807.60 LT		
	12/10/09	80,000	50.016	4,001.28	5,977.60	1,976.32 LT		
	1/8/10	38,000	52.180	1,982.84	2,839.36	856.52 LT		
	1/22/10	23,000	50.076	1,151.75	1,718.56	566.81 LT		
	2/8/10	22,000	48.455	1,066.01	1,643.84	577.83 LT		
	2/16/10	19,000	49.990	949.81	1,419.68	469.87 LT		



Select UMA Basic Securities Account
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EXCHANGE-TRADED & CLOSED-END FUNDS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	2/22/10	5,000	52.150	260.75	373.60	112.85 LT		
	5/3/11	74,000	73.460	5,436.04	5,529.28	93.24 LT		
	11/29/12	391,000	76.197	29,792.87	29,215.52	(577.35) LT		
Purchases		803,223		51,963.30	60,016.82	8,053.52 LT		
Long Term Reinvestments		1,777		87.28	132.78	45.50 LT		
Total		805,000		52,050.58	60,149.60	8,099.02 LT	2,048.73	3.40

Share Price: \$74.720; CG IAR Status: AL; Next Dividend Payable 03/20/14

EXCHANGE-TRADED & CLOSED-END FUNDS

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Yield %
	4.0%	\$52,050.58	\$60,149.60	\$8,099.02 LT	\$2,048.73	3.41%
					\$0.00	

MUTUAL FUNDS

OTHER MUTUAL FUNDS

"Total Purchases vs Market Value" is provided to assist you in comparing your "Total Purchases," excluding reinvested distributions, with the current value of the mutual fund positions in your account.

"Cumulative Cash Distributions" when shown, may reflect distributions on shares no longer held in the account. It may not reflect all distributions received in cash; due to but not limited to the following, investments made prior to addition of this information on statements, securities transfers, timing of recent distributions, and certain adjustments made in your account.

"Net Value Increase/ (Decrease)" reflects the difference between your total purchases, and the sum of the current value of the fund's shares, and cash distributions shown. This calculation is for informational purposes only and does not reflect your total unrealized gain or loss nor should it be used for tax purposes.

Consulting Group Investment Advisor Research (CG IAR) status codes (FL, AL or NL) may be shown for certain mutual funds. Please refer to "CG IAR Statuses in Investment Advisory Programs" in the quarter-end statement for your first statement, if you have not yet received a statement at the quarter-end for a description of these status codes. All status codes represent the opinions of CG IAR and are not representations or guarantees of performance.

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
CALAMOS MARKET NEUTRAL INC I (CMNIX)	11/29/12	5,300.634	\$12.580	\$66,681.98	\$63,007.13	\$1,325.15 LT	\$1,044.00	1.53
Total Purchases vs Market Value				66,681.98	68,007.13			
Cumulative Cash Distributions					2,719.59			
Net Value Increase/(Decrease)					4,044.74			
Share Price: \$12.830; CG IAR Status: AL; Dividend Cash; Capital Gains Cash								
E V FLOATING RATE I (EIBLX)	5/3/11	9,429.942	9.100	85,812.47	86,661.17	848.70 LT	3,385.00	3.90
Total Purchases vs Market Value				85,812.47	86,661.17			
Cumulative Cash Distributions					9,245.94			
Net Value Increase/(Decrease)					10,094.64			
Share Price: \$9.190; Dividend Cash; Capital Gains Cash								

Account Detail

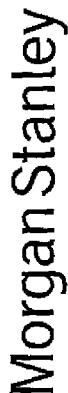
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MUTUAL FUNDS

OTHER MUTUAL FUNDS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ING GLOBAL REAL ESTATE FDI (IGLIX)	12/10/09	867.599	14.810	12,849.14	15,894.41	3,045.27 LT		
	1/8/10	174.713	14.790	2,584.00	3,200.74	616.74 LT		
	1/22/10	113.506	13.920	1,580.00	2,079.43	499.43 LT		
	2/8/10	87.847	13.330	1,171.00	1,609.36	438.36 LT		
	2/16/10	89.257	13.870	1,238.00	1,635.19	397.19 LT		
	2/22/10	64.996	13.970	908.00	1,190.73	282.73 LT		
	5/3/11	389.822	17.390	6,779.00	7,141.54	362.54 LT		
	11/29/12	1,731.310	17.630	30,522.99	31,717.60	1,194.61 LT		
Total		3,519.050		57,632.13	64,469.00	6,836.87 LT	2,671.00	4.14
Total Purchases vs Market Value								
Cumulative Cash Distributions								
Net Value Increase/(Decrease)								
Share Price: \$18.320; CG IAR Status: FL; Dividend Cash; Capital Gains Cash								
INVESCO PREMIER INST (IPXX)		28,658.000	0.000	0.00	28,658.00		8.00	0.02
Share Price: \$1.000; CG IAR Status: AL; Dividend Cash; Capital Gains Cash								
LAZARD EMERGING MARKETS I (LZEMX)	12/10/09	3,071.936	18.120	55,663.49	57,363.05	1,699.56 LT		
	1/8/10	496.842	18.680	9,281.00	9,276.04	(4.96) LT		
	1/22/10	379.637	17.630	6,693.00	7,087.82	394.82 LT		
	2/8/10	431.758	16.720	7,219.00	8,060.92	841.92 LT		
	2/16/10	234.648	17.490	4,104.00	4,380.88	276.88 LT		
	2/22/10	209.407	17.540	3,673.00	3,909.63	236.63 LT		
	2/7/13	557.907	19.600	10,934.98	10,416.12	(518.86) ST		
Total		5,382.135		97,568.47	100,484.46	2,915.99	1,927.00	1.91
Total Purchases vs Market Value								
Cumulative Cash Distributions								
Net Value Increase/(Decrease)								
Share Price: \$18.670; CG IAR Status: FL; Dividend Cash; Capital Gains Cash								
METROPOLITAN WEST TOT RET BD I (MWTIX)	12/10/09	2,951.425	9.940	29,337.17	31,137.53	1,800.36 LT		
	1/8/10	484.148	10.030	4,856.00	5,107.76	251.76 LT		
	1/22/10	73.840	10.130	748.00	779.01	31.01 LT		
	2/8/10	53.162	10.120	538.00	560.86	22.86 LT		
	2/16/10	284.950	10.100	2,878.00	3,006.22	128.22 LT		
	2/22/10	276.763	10.070	2,787.00	2,919.85	132.85 LT		
	11/29/12	3,084.594	11.100	34,238.99	32,542.47	(1,696.52) LT		
	3/28/13	739.193	10.920	8,071.99	7,798.49	(273.50) ST		



Select UMA Basic Securities Account
803-107614-021

Account Detail

MUTUAL FUNDS

OTHER MUTUAL FUNDS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	Total	7,943,075		83,455.15	83,852.19	670.54 LT (273.50) ST	2,750.00	3.27
Total Purchases vs Market Value								
Cumulative Cash Distributions								
Net Value Increase/(Decrease)								
Share Price: \$10.550; CG IAR Status: FL; Dividend Cash; Capital Gains Cash								
OPPENHEIMER INTL BOND Y (OIBYX)	12/10/09	1,467,670	6.500	9,686.62	8,923.43	(763.19) LT		
	1/8/10	1,188,117	6.480	7,699.00	7,223.75	(475.25) LT		
	1/22/10	274,103	6.410	1,757.00	1,666.54	(90.46) LT		
	2/8/10	254,603	6.300	1,604.00	1,547.98	(56.02) LT		
	2/16/10	507,717	6.350	3,224.00	3,086.91	(137.09) LT		
	2/22/10	549,367	6.320	3,472.00	3,340.15	(131.85) LT		
	11/29/12	1,854,489	6.570	12,183.99	11,275.29	(908.70) LT		
	3/28/13	580,152	6.500	3,770.99	3,527.32	(243.67) ST		
Total		6,676,218		43,397.60	40,591.41	(2,862.56) LT (243.67) ST	1,649.00	4.06
Total Purchases vs Market Value								
Cumulative Cash Distributions								
Net Value Increase/(Decrease)								
Share Price: \$6.080; CG IAR Status: AL; Dividend Cash; Capital Gains Cash								
T ROWE PRICE EMERGING MKTS BD (PREMX)	11/29/12	4,679,437	14.250	66,681.98	58,399.37	(8,282.61) LT		
	3/21/13	486,435	13.860	6,741.99	6,070.71	(671.28) ST		
Total		5,165,872		73,423.97	64,470.08	(8,282.61) LT (671.28) ST	3,652.00	5.66
Total Purchases vs Market Value								
Cumulative Cash Distributions								
Net Value Increase/(Decrease)								
Share Price: \$12.480; CG IAR Status: FL; Dividend Cash; Capital Gains Cash								
VIRTUS INSIGHT EMERG MKTS I (HIEMX)	11/29/12	9,822,472	10.190	100,090.99	93,804.61	(6,286.38) LT	1,031.00	1.09
Total Purchases vs Market Value								
Cumulative Cash Distributions								
Net Value Increase/(Decrease)								
Share Price: \$9.550; CG IAR Status: FL; Dividend Cash; Capital Gains Cash								

Morgan Stanley

Account Detail

Select UMA Basic Securities Account
803-107614-021THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

MUTUAL FUNDS		Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
		42.4%	\$608,062.76	\$630,998.05	\$(4,015.44) LT \$(1,707.31) ST	\$18,117.00 \$0.00	2.87%

Transactions in mutual fund positions held directly at the Fund Company are not included in the total above and are not reflected on the Summary Page.
For more information about the pricing of Money Market Funds, please see the Expanded Disclosures.

TOTAL MARKET VALUE

Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
100.0%	\$1,179,515.25	\$1,489,554.99	\$226,436.59 LT \$12,722.35 ST	\$36,332.89 \$0.00	2.44%

TOTAL VALUE (includes accrued interest)

I - This information reflects your requested adjustments to the transaction details.

C - This tax lot received a return of capital. This is a return of some or all of your investment in the security. A return of capital reduces your basis in the security and is not taxed until your basis in the security is fully recovered.

R - The cost basis for this tax lot was adjusted due to a reclassification of income.

Unrealized Gain/(Loss) totals only reflect positions that have cost basis and/or market value information available. Cash, MMF, Deposits and positions stating 'Please Provide' are not included.

ACTIVITY

INVESTMENT RELATED ACTIVITY

PURCHASES, DIVIDEND REINVESTMENTS, SALES AND REDEMPTIONS

Trade Date	Settlement Date	Activity Type	Description	Comments	Quantity	Price	Credits/(Debits)
12/4	12/9	Bought	CITRIX SYSTEMS INC	ACTED AS AGENT	5.000	\$59,890.1	\$(299.45)
12/13	12/18	Sold	CARNIVAL OF NEW PAIRED COM	ACTED AS AGENT	11.000	35.9212	395.12
12/19	12/24	Bought	ORACLE CORP	ACTED AS AGENT	60.000	36.6037	(2,196.22)
12/20	12/26	Bought	CITIGROUP INC NEW	ACTED AS AGENT	5.000	52.3633	(314.18)
12/27	1/2	Bought	ORACLE CORP	ACTED AS AGENT	58.000	38.1067	(2,210.19)

TOTAL PURCHASES, DIVIDEND REINVESTMENTS, SALES AND REDEMPTIONS

TOTAL PURCHASES

\$(4,624.92)

TOTAL SALES AND REDEMPTIONS

\$(5,020.04)

\$395.12

Purchase and Sale transactions above may have received an average price execution. Details regarding the actual prices are available upon request.

Account Detail

Basic Securities Account
803-111039-021

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

Investment Objectives†: Income, Capital Appreciation, Speculation

† See the Expanded Disclosures for more information about investment objectives. Please review for accuracy and inform us if your investment objectives change.

Brokerage Account

HOLDINGS

This section reflects positions purchased/sold on a trade date basis, and will include positions purchased and omit positions sold in the current month. "Market Value" and "Unrealized Gain/(Loss)" are representative values as of the last business day of the statement period indicated, may not reflect the value that could be obtained in the market. See "Pricing of Securities" in the Expanded Disclosures. Fixed Income securities are sorted by maturity or pre-refunding date, and alphabetically within date. Estimated annual income and estimated yield for certain securities may include return of principal or capital gains which could overstate such estimates. Actual income or yield may be lower or higher than the estimates. Estimated yield reflects only the income generated by an investment and, it does not reflect changes in its price, which may fluctuate. Structured products appear in various statement product categories and are identified as "Structured Products" in the Security Description column. Estimated accrued interest, estimated annual income and estimated yield for structured products with a contingent income feature (such as Range Accrual Notes or Contingent Income Notes) assume specified accrual conditions are met during the relevant observation period and payment in full of all contingent interest. If you hold structured products, see "Special Considerations Regarding Structured Products" in the Disclosures. New Treasury regulations require that we report on Form 1099-B after the close of the tax year your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments on covered securities due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. Cost basis is reflected on monthly statements for informational purposes only and should not be used in the preparation of your income tax returns. Refer to the Expanded Disclosures for additional information

CASH, BANK DEPOSIT PROGRAM AND MONEY MARKET FUNDS

Cash, Bank Deposit Program, and Money Market Funds are generally displayed on a settlement date basis. Estimated Annual Income, Accrued Interest, and APY% will only be displayed for fully settled positions

Description	Value	Estimated Annual Income	7-Day Current Yield %	Annual Percentage Yield %
MS LIQUID ASSET FUND	\$874.11	\$0.09	0.010	—

	Percentage of Assets %	Market Value	Estimated Annual Income	Accrued Interest	Estimated Annual Income
CASH, BDP, AND MMFS	0.5%	\$874.11	\$0.09	\$0.09	\$0.09

Money market funds seek to maintain a share price of \$1.00, therefore the dollar amounts listed equal the number of shares. Additional information concerning these transactions is available upon request. For more information about the pricing of Money Market Funds, please see the Expanded Disclosures. The money market funds reflected above include the balances in your automatic sweep feature, if any, and may include other money market funds that have been purchased in your account.



Basic Securities Account
803-111039-021
THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

Account Detail

STOCKS

COMMON STOCKS

Morgan Stanley & Co. LLC (Morgan Stanley) and Standard & Poor's equity research ratings may be shown for certain securities. All research ratings represent the "opinions" of the research provider and are not representations or guarantees of performance. Because the applicable research report contains more complete information regarding the analyst's opinions, analysis, and rating, you should read the entire research report and not infer its contents from the rating. For ease of comparison, Morgan Stanley and Standard & Poor's equity research ratings have been normalized to a 1 (Buy), 2 (Hold), and 3 (Sell). Please refer to the quarter month-end statement for your first statement, if you have not yet received a statement at the quarter-end for a summary guide describing Morgan Stanley and Standard & Poor's ratings. Morgan Stanley Smith Barney LLC does not take responsibility for, and does not guarantee the accuracy, completeness, or timeliness of research prepared for Standard & Poor's

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
COLGATE PALMOLIVE CO (CL)	9/19/03	711.156	\$27.789	\$19,762.06	\$46,374.48	\$26,612.42 LT 1		
	1/26/05	200.000	25.563	5,112.52	13,042.00	7,929.48 LT 1		
Purchases		911.156		24,874.58	59,416.48	34,541.90 LT		
Long Term Reinvestments		10.818		566.58	705.44	138.86 LT		
Short Term Reinvestments		20.516		1,236.90	1,337.85	100.95 ST		
Total		942.490		26,678.06	61,459.77	34,680.76 LT 100.95 ST	1,281.79	2.08
Share Price: \$55.210; Rating: Morgan Stanley: 1, S&P: 2, Next Dividend Payable 02/2014								
FACEBOOK INC CL-A (FB)	5/17/12	100.000	38.000	3,800.00	5,464.90	1,664.90 LT		
	5/17/12	400.000	38.000	15,200.00	21,859.60	6,659.60 LT		
Total		500.000		19,000.00	27,324.50	8,324.50 LT		
Share Price: \$54.649; Rating: Morgan Stanley: 1, S&P: 2								

Security Description	Trade Date	Face Value	Orig. Unit Cost	Adj. Unit Cost	Orig. Total Cost	Adj. Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Accrued Interest	Yield %
NEW YORK CITY GENL OBLIG SER-F	12/16/10	20,000.000	\$103.030		\$20,606.00		\$88,784.27	\$43,005.26 LT	\$1,281.79		1.44%
SUBSERIES F-1 BUILD AMERICA			\$102.294		\$20,458.79				\$0.00		
CUSIP 64966JAS5											
Unit Price: \$110.032; Coupon Rate 6.646%; Matures 12/01/2031, Int. Semi-Annually Jun/Dec 01; Callable \$100.00 on 12/01/20; Yield to Call 4.916%; Subject to Federal Tax; Moody AA2 S&P AA; Issued 12/21/10											

MUNICIPAL BONDS

Security Description	Trade Date	Face Value	Orig. Unit Cost	Adj. Unit Cost	Orig. Total Cost	Adj. Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Accrued Interest	Yield %
NEW YORK CITY GENL OBLIG SER-F	12/16/10	20,000.000	\$103.030		\$20,606.00		\$22,006.40	\$1,547.61 LT	\$1,329.20		6.04
SUBSERIES F-1 BUILD AMERICA			\$102.294		\$20,458.79				\$110.76		
CUSIP 64966JAS5											
Unit Price: \$110.032; Coupon Rate 6.646%; Matures 12/01/2031, Int. Semi-Annually Jun/Dec 01; Callable \$100.00 on 12/01/20; Yield to Call 4.916%; Subject to Federal Tax; Moody AA2 S&P AA; Issued 12/21/10											
NAASSAU CNTY N Y GEN IMPT-F BUILD	12/16/10	20,000.000	102.782		20,556.40		22,083.00	1,661.05 LT	1,480.00		6.70
AMERICA BOND			102.110		20,421.95				370.00		
CUSIP 63165TFX8											
Unit Price: \$110.415; Coupon Rate 7.400%; Matures 10/01/2035; Int. Semi-Annually Apr/Oct 01; Callable \$100.00 on 10/01/20; Yield to Call 5.528%; Subject to Federal Tax; Moody A2 S&P A+; Issued 12/16/10											

Account Detail

Basic Securities Account
803-111039-021

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

Face Value Percentage of Assets %	Orig. Total Cost Adj. Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
40,000.000	\$41,162.40 \$40,880.74	\$44,089.40	\$3,208.66 LT	\$2,809.20 \$480.76	6.37%

TOTAL MUNICIPAL BONDS (incl. accr. int.)

\$44,570.16

27.3%

CORPORATE FIXED INCOME FIXED-RATE CAPITAL SECURITIES

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj. Unit Cost	Orig. Total Cost Adj. Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
MORGAN STANLEY IV 6.250 EXTENDABLE TO 4/01/2052 (MWG)	5/14/07	1,000,000	\$25.225 \$25.225	\$25,224.83 \$25,224.83	\$23,680.00	\$(1,544.83) LT 1		
Purchases		1,000,000		25,224.83				
Long Term Reinvestments		235,000		25,224.83	23,680.00	(1,544.83) LT		
				5,173.69	5,564.80	391.11 LT		
Total		1,235,000		30,398.52	29,244.80	(1,153.72) LT	1,929.69	6.59
Unit Price: \$23,680; Coupon Rate 6.250%; Matures 04/01/2033; Interest Paid Quarterly Jan 02; Callable \$25.00 on 01/31/14; Moody BA1 S&P BB+								

Face Value Percentage of Assets %	Orig. Total Cost Adj. Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
17.9%	\$30,398.52 \$30,398.52	\$29,244.80	\$(1,153.72) LT	\$1,929.69 \$0.00	6.60%

CORPORATE FIXED INCOME

Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
100.0%	\$116,957.32	\$162,992.58	\$45,060.20 LT \$100.95 ST	\$6,020.77 \$480.76	3.68%

TOTAL MARKET VALUE

TOTAL VALUE (includes accrued interest)

\$163,473.34

I - This information reflects your requested adjustments to the transaction details.

Unrealized Gain/(Loss) totals only reflect positions that have cost basis and/or market value information available. Cash, MMF, Deposits and positions stating 'Please Provide' are not included.



Portfolio Management Basic Securities Account
803-107607-023

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

Account Detail

Investment Objectives†: Income, Capital Appreciation

Investment Advisory Account

† See the Expanded Disclosures for more information about investment objectives. Please review for accuracy and inform us if your investment objectives change.

HOLDINGS

This section reflects positions purchased/sold on a trade date basis, and will include positions purchased and omit positions sold in the current month. "Market Value" and "Unrealized Gain/(Loss)" are representative values as of the last business day of the statement period indicated, may not reflect the value that could be obtained in the market. See "Pricing of Securities" in the Expanded Disclosures. Fixed income securities are sorted by maturity or pre-refunding date, and alphabetically within date. Estimated annual income and estimated yield for certain securities may include return of principal or capital gains which could overstate such estimates. Actual income or yield may be lower or higher than the estimates. Estimated yield reflects only the income generated by an investment and, it does not reflect changes in its price, which may fluctuate. Structured products appear in various statement product categories and are identified as "Structured Products" in the Security Description column. Estimated accrued interest, estimated annual income and estimated yield for structured products with a contingent income feature (such as Range Accrual Notes or Contingent Income Notes) assume specified accrual conditions are met during the relevant observation period and payment in full of all contingent interest. If you hold structured products, see "Special Considerations Regarding Structured Products" in the Disclosures. New Treasury regulations require that we report on Form 1099-B after the close of the tax year your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments on covered securities due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. Cost basis is reflected on monthly statements for informational purposes only and should not be used in the preparation of your income tax returns. Refer to the Expanded Disclosures for additional information.

CASH, BANK DEPOSIT PROGRAM AND MONEY MARKET FUNDS

Cash, Bank Deposit Program, and Money Market Funds are generally displayed on a settlement date basis. Estimated Annual Income, Accrued Interest, and APY% will only be displayed for fully settled positions.

Description	Value	Estimated Annual Income	7-Day Current Yield %	Annual Percentage Yield %
MS LIQUID ASSET FUND	\$22,256.93	\$2.23	0.010	—
CASH, BDP, AND MMFS				
	Percentage of Assets %	Market Value		Estimated Annual Income
		\$22,256.93		Accrued Interest
				\$2.23
				\$0.00
NET UNSETTLED PURCHASES/SALES				
		\$485.97		
CASH, BDP, AND MMFS (PROJECTED SETTLED BALANCE)				
	4.6%	\$22,742.90		

Money market funds seek to maintain a share price of \$1.00, therefore the dollar amounts listed equal the number of shares. Additional information concerning these transactions is available upon request. For more information about the pricing of Money Market Funds, please see the Expanded Disclosures.

The money market funds reflected above include the balances in your automatic sweep feature, if any, and may include other money market funds that have been purchased in your account.

The "Projected Settled Balance" includes accrued interest on deposits and reflects the impact of unsettled purchases/sales.

Portfolio Management Basic Securities Account
803-107607-023

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

Account Detail

STOCKS

COMMON STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
AT&T INC (T)								
	11/19/12	400,000	\$33.600	\$13,439.96	\$14,064.00	\$624.04 LT		
	2/26/13	300,000	35.510	10,653.00	10,548.00	(105.00) ST		
Total		700,000		24,092.96	24,612.00	624.04 LT (105.00) ST	1,288.00	5.23
Share Price: \$35.160; Next Dividend Payable 02/2014								
CHEVRON CORP (CVX)	2/16/11	300,000	96.699	29,009.64	37,473.00	8,463.36 LT	1,200.00	3.20
Share Price: \$124.910; Next Dividend Payable 03/2014								
DU PONT EI DE NEMOURS & CO (DD)	2/14/11	500,000	54.456	27,228.20	32,485.00	5,256.80 LT		
	9/16/11	100,000	46.758	4,675.78	6,497.00	1,821.22 LT		
Total		600,000		31,903.98	38,982.00	7,078.02 LT	1,080.00	2.77
Share Price: \$64.970; Next Dividend Payable 03/2014								
FORD MOTOR CO NEW (F)	2/20/13	600,000	12.892	7,734.90	9,258.00	1,523.10 ST	240.00	2.59
Share Price: \$15.430; Next Dividend Payable 03/2014								
GENERAL ELECTRIC CO (GE)	2/7/11	400,000	20.852	8,340.80	11,212.00	2,871.20 LT		
	3/23/11	200,000	19.398	3,879.56	5,606.00	1,726.44 LT		
	9/16/11	100,000	16.188	1,618.80	2,803.00	1,184.20 LT		
	9/26/12	300,000	22.123	6,636.90	8,409.00	1,772.10 LT		
Total		1,000,000		20,476.06	28,030.00	7,553.94 LT	880.00	3.13
Share Price: \$28.030; Next Dividend Payable 01/27/14								
INTEL CORP (INTC)	9/16/11	100,000	21.876	2,187.80	2,595.50	407.70 LT		
	11/7/11	400,000	24.133	9,653.32	10,382.00	728.68 LT		
	2/27/13	500,000	20.676	10,338.10	12,977.50	2,639.40 ST		
Total		1,000,000		22,179.22	25,955.00	1,136.38 LT 2,639.40 ST	900.00	3.46
Share Price: \$25.955; Next Dividend Payable 03/2014								
JOHNSON & JOHNSON (JNJ)	3/23/10	200,000	65.246	13,049.26	18,318.00	5,268.74 LT		
	10/13/10	300,000	63.607	19,082.13	27,477.00	8,394.87 LT		
Total		500,000		32,131.39	45,795.00	13,663.61 LT	1,320.00	2.88
Share Price: \$91.590; Next Dividend Payable 03/2014								
JPMORGAN CHASE & CO (JPM)	12/27/11	400,000	33.205	13,282.00	23,392.00	10,110.00 LT		
	1/31/12	400,000	37.498	14,999.36	23,332.00	8,392.64 LT		
Total		800,000		28,281.36	46,784.00	18,502.64 LT	1,216.00	2.59
Share Price: \$58.480; Next Dividend Payable 01/2014								
MC DONALDS CORP (MCD)	9/1/11	400,000	90.610	36,243.84	38,812.00	2,568.16 LT	1,296.00	3.33
Share Price: \$97.030; Next Dividend Payable 03/2014								



Portfolio Management Basic Securities Account
803-107607-023
THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

Account Detail

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
MERCK & CO INC NEW COM (MRK)	6/14/11	500.000	35.759	17,879.30	25,025.00	7,145.70 LT		
	9/16/11	100.000	32.638	3,263.78	5,005.00	1,741.22 LT		
Total		600.000		21,143.08	30,030.00	8,886.92 LT	1,056.00	3.51
Share Price: \$50.050; Next Dividend Payable 01/08/14								
MICROSOFT CORP (MSFT)	10/1/12	600.000	29.592	17,755.46	22,446.00	4,690.54 LT H	672.00	2.99
Share Price: \$37.410; Next Dividend Payable 03/20/14; Basis Adjustment Due to Wash Sale: \$983.06								
PFIZER INC (PFE)	12/20/11	600.000	21.296	12,777.54	18,378.00	5,600.46 LT		
	9/26/12	300.000	24.902	7,470.48	9,189.00	1,718.52 LT		
Total		900.000		20,248.02	27,567.00	7,318.98 LT	936.00	3.39
Share Price: \$30.630; Next Dividend Payable 03/20/14								
PROCTER & GAMBLE (PG)	9/26/12	500.000	69.664	34,831.90	40,705.00	5,873.10 LT	1,203.00	2.95
Share Price: \$81.410; Next Dividend Payable 02/20/14								
VERIZON COMMUNICATIONS (VZ)	1/20/95	200.000	22.914	4,582.88	9,828.00	5,245.12 LT 1		
	12/9/09	100.000	31.072	3,107.21	4,914.00	1,806.79 LT		
	10/13/10	200.000	32.387	6,477.42	9,828.00	3,350.58 LT		
	3/23/11	100.000	36.896	3,689.60	4,914.00	1,224.40 LT		
	9/16/11	100.000	36.438	3,643.80	4,914.00	1,270.20 LT		
Total		700.000		21,500.91	34,398.00	12,897.09 LT	1,484.00	4.31
Share Price: \$49.140; Next Dividend Payable 02/20/14								
WELLS FARGO & CO NEW (WFC)	9/27/12	700.000	34.776	24,343.27	31,780.00	7,436.73 LT	840.00	2.64
Share Price: \$45.400; Next Dividend Payable 03/20/14								
COMMON STOCKS				\$371,875.99	\$482,627.00	\$106,693.51 LT \$4,057.50 ST	\$15,611.00 \$0.00	3.23%

OPTIONS

Security Description	Trade Date	Number of Contracts	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)
CALL AT&T INC AT 36.000 EXPIRES 02/22/2014 (T 140222C00036000)	12/23/13	(7.000)	\$0.224	\$(1.57.14)	\$(189.00)	\$(31.86) ST
Contract Price: \$0.270; Short Position						
CALL CHEVRON TEXACO CORP AT 125.000 EXPIRES 02/22/2014 (CVX 140222C00125000)	12/23/13	(3.000)	1.609	(482.63)	(738.00)	(255.37) ST
Contract Price: \$2.450; Short Position						

Portfolio Management Basic Securities Account
803-107607-023

THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION

Account Detail

STOCKS

OPTIONS (CONTINUED)

Security Description	Trade Date	Number of Contracts	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)
CALL DU PONT EI DE NEMOUR AT 62.500 EXPIRES 01/18/2014 (DD 140118C00062500) Contract Price: \$2.660; Short Position	11/18/13	(6.000)	1.217	(730.30)	(1,596.00)	(865.70) ST
CALL FORD MOTOR CO NEW AT 15.000 EXPIRES 03/22/2014 (F 140322C00015000) Contract Price: \$0.880; Short Position	12/19/13	(6.000)	0.950	(569.99)	(528.00)	41.99 ST
CALL GENERAL ELECTRIC CO AT 28.000 EXPIRES 02/22/2014 (GE 140222C00028000) Contract Price: \$0.710; Short Position	12/18/13	(10.000)	0.347	(346.99)	(710.00)	(363.01) ST
CALL INTEL CORP AT 24.000 EXPIRES 01/18/2014 (INTC 140118C00024000) Contract Price: \$2.020; Short Position	11/22/13	(10.000)	0.720	(719.98)	(2,020.00)	(1,300.02) ST
CALL JOHNSON & JOHNSON AT 95.000 EXPIRES 01/18/2014 (JNJ 140118C00095000) Contract Price: \$0.070; Short Position	11/21/13	(5.000)	1.500	(749.98)	(35.00)	714.98 ST
CALL JP MORGAN CHASE&CO AT 57.500 EXPIRES 02/22/2014 (JPM 140222C00057500) Contract Price: \$2.020; Short Position	12/31/13	(8.000)	1.846	(1,477.01)	(1,616.00)	(138.99) ST
CALL MC DONALDS CORP AT 100.000 EXPIRES 01/18/2014 (MCD 140118C00100000) Contract Price: \$0.080; Short Position	11/19/13	(4.000)	0.656	(262.27)	(32.00)	230.27 ST
CALL MERCK & CO INC NEW COM AT 49.000 EXPIRES 02/22/2014 (MRK 140222C00049000) Contract Price: \$1.900; Short Position	12/9/13	(6.000)	1.460	(876.10)	(1,140.00)	(263.90) ST
CALL MICROSOFT CORP AT 40.000 EXPIRES 02/22/2014 (MSFT 140222C00040000) Contract Price: \$0.420; Short Position	11/11/13	(6.000)	0.740	(443.99)	(252.00)	191.99 ST



**Portfolio Management Basic Securities Account
803-107607-023**

**THE DANIEL & FLAVIA GERNATT
FAMILY FOUNDATION**

OPTIONS (CONTINUED)

Security Description	Trade Date	Number of Contracts	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)
CALL PFIZER INC AT 31.000 EXPIRES 02/22/2014 (PFE 140222C00031000) Contract Price: \$0.470; Short Position	12/23/13	(9,000)	0.413	(371.42)	(423.00)	(51.58) ST
CALL PROCTER & GAMBLE AT 82.500 EXPIRES 02/22/2014 (PG 140222C00082500) Contract Price: \$1.210; Short Position	12/19/13	(5,000)	1.700	(849.98)	(605.00)	244.98 ST
CALL VERIZON COMMUNICATIO AT 50.000 EXPIRES 02/22/2014 (VZ 140222C00050000) Contract Price: \$0.650; Short Position	12/23/13	(7,000)	0.612	(428.11)	(455.00)	(26.89) ST
CALL WELLS FARGO & CO NEW AT 45.000 EXPIRES 02/22/2014 (WFC 140222C00045000) Contract Price: \$1.230; Short Position	12/19/13	(7,000)	1.260	(881.98)	(861.00)	20.98 ST

STOCKS

TOTAL STOCKS (LONG)	\$482,627.00	\$2,205.37 ST	\$0.00
TOTAL STOCKS (SHORT)	\$(11,200.00)		

For listed options that have a cost basis without a corresponding market value, an unrealized gain or loss is included for informational purposes. Where market value information is not available, we assume for purposes of calculating the unrealized gain or loss that market value is \$0. In such cases, the unrealized gain or loss provided may not provide an accurate reflection of the true unrealized gain or loss. For additional information regarding Gain/(Loss) and Pricing, refer to the Expanded Disclosures section.

TOTAL VALUE (includes accrued interest)

1 - This information reflects your requested adjustments to the transaction details.

H - Wash sale rules apply to this tax lot. The cost basis and acquisition date (trade date) have been adjusted to account for disallowed loss of a related wash sale transaction. The aggregate amount of the basis adjustment is identified in *italics* under the Security Description.

Unrealized Gain/(Loss) totals only reflect positions that have cost basis and/or market value information available. Cash, MMF, Deposits and positions stating 'Please Provide' are not included.

DAN AND FLAVIA GERNATT FAMILY
FOUNDATION

DECEMBER 1 - DECEMBER 31, 2013
ACCOUNT NUMBER: 2624-7206

Portfolio detail

Cash and Sweep Balances

Sweep Balances - You have the right, in the course of normal business operations, to withdraw balances in the Bank Deposit Sweep or redeem shares of the money market mutual fund used in the sweep, subject to any open commitments in any of your accounts and have the proceeds returned to your accounts or remitted to you. Note, however, that as required by federal banking regulations, the banks in the Bank Deposit Sweep reserve the right to require seven days prior notice before permitting a transfer out of the Bank Deposit Sweep. In addition, the money market mutual funds in the sweep reserve the right to require one or more day's prior notice before permitting withdrawals.

Bank Deposit Sweep - Consists of monies held at Wells Fargo Bank, N.A. and (if amounts exceed \$250,000) at one or more other Wells Fargo affiliated banks. These assets are not covered by SIPC, but are instead eligible for FDIC insurance of up to \$250,000 per depositor, per institution, in accordance with FDIC rules. For additional information on the Bank Deposit Sweep for your account, please contact Your Registered Representative.

DESCRIPTION	ANNUAL PERCENTAGE YIELD EARNED*	CURRENT MARKET VALUE	ESTIMATED ANNUAL INCOME
Cash	0.00	3,130.70	0.00
BANK DEPOSIT SWEEP	0.02	78,760.64	15.75
Interest Period 12/01/13 - 12/31/13			

Total Cash and Sweep Balances

\$81,891.34 \$15.75

* APYE measures the total amount of the interest paid on an account based on the interest rate and the frequency of the compounding during the interest period. The annual percentage yield earned is expressed as an annualized rate, based on a 365 day year.

Mutual Funds

If a portion of your fund position was converted, the 'Client Investment' value may include reinvestments from previously held positions.

Open End Mutual Funds

Open End Mutual Fund shares are priced at net asset value. Estimated Annual Income and Yield refer to Dividends and Interest Income only, and typically do not reflect Total return.

DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	ADJ COST/ ORIG COST	CURRENT PRICE	CURRENT MARKET VALUE	UNREALIZED GAIN/LOSS	ESTIMATED	
							ANNUAL INCOME	ANNUAL YIELD (%)
FRANKLIN HIGH INCOME FUND CLASS A FHAIX								
Acquired 03/17/08 nc	21,935.60200	1.91	41,897.00	2.1100	46,284.12	4,387.12	2,917.43	6.30
FRANKLIN INCOME FUND CLASS A FKINX								
Acquired 03/17/08 nc Reinvestments nc	71,012.28800 56.43000	2.36 1.51	167,589.00 85.21		171,849.03 137.26	4,260.03 52.05		



**DAN AND FLAVIA GERNATT FAMILY
FOUNDATION**

DECEMBER 1 - DECEMBER 31, 2013
ACCOUNT NUMBER: 2624-7206

Mutual Funds

Open End Mutual Funds continued

DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	ADJ COST/ ORIG COST	CURRENT PRICE	CURRENT MARKET VALUE	UNREALIZED GAIN/LOSS	ESTIMATED	
							ANNUAL INCOME	ANNUAL YIELD (%)
Total	71,068.71800		\$167,674.21	2.4200	\$171,986.29	\$4,312.08	\$9,096.79	5.29
Client Investment (Excluding Reinvestments)								
Gain/Loss on Client Investment (Including Reinvestments)								
FRANKLIN INVS SECS TR REAL RETURN FD CL A FRFRAX	5,718.47100	10.99	62,846.00	10.6800	61,073.27	-1,772.73	1,172.28	1.91
Acquired 03/17/08 nc								
MUTUAL SERIES FD INC GLOBAL DISCOVERY FD CL A TEDIX	1,453.74700	28.82	41,897.00		48,322.54	6,425.54		
Acquired 03/17/08 nc	287.26200	28.45	8,174.42		9,548.59	1,374.17		
Reinvestments m								
Total	1,741.00900		\$50,071.42	33.2400	\$57,871.13	\$7,799.71	\$840.90	1.45
Client Investment (Excluding Reinvestments)								
Gain/Loss on Client Investment (Including Reinvestments)								
TEMPLETON GLOBAL BOND FUND CL A TPINX	4,513.27400	12.43	56,106.00		59,304.38	3,198.38		
Acquired 03/17/08 nc	550.90300	12.18	6,710.00		7,238.89	528.89		
Acquired 03/17/08 nc	99.75900	12.93	1,290.66		1,310.84	20.18		
Reinvestments m								
Total	5,163.93600		\$64,106.66	13.1400	\$67,854.11	\$3,747.45	\$2,478.68	3.65
Client Investment (Excluding Reinvestments)								
Gain/Loss on Client Investment (Including Reinvestments)								
TEMPLETON FUNDS INC FOREIGN FUND CL A TEMFX	1,124.02700	13.56	15,242.71		9,340.65	-5,902.06		
Acquired 10/30/07 nc	3,255.28600	8.97	29,208.65		27,051.44	-2,157.21		
Reinvestments m								
Total	4,379.31300		\$44,451.36	8.3100	\$36,392.09	-\$8,059.27	\$494.86	1.36
Client Investment (Excluding Reinvestments)								
Gain/Loss on Client Investment (Including Reinvestments)								

DAN AND FLAVIA GERNATT FAMILY
FOUNDATION

DECEMBER 1 - DECEMBER 31, 2013
ACCOUNT NUMBER: 2624-7206

Mutual Funds

Open End Mutual Funds continued

DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	ADJ COST/ ORIG COST	CURRENT PRICE	CURRENT MARKET VALUE	UNREALIZED GAIN/LOSS	ESTIMATED	
							ANNUAL INCOME	ANNUAL YIELD (%)
Total Open End Mutual Funds			\$431,046.65		\$441,461.01	\$10,414.36	\$17,000.94	3.85
Total Mutual Funds			\$431,046.65		\$441,461.01	\$10,414.36	\$17,000.94	3.85

This security contains multiple tax lots that may or may not include cost information that is reportable to the IRS.
no Cost information for this tax lot is not covered by IRS reporting requirements. Unless indicated, cost for all other lots will be reported to the IRS.

Activity detail

DATE	ACCOUNT TYPE	TRANSACTION	QUANTITY	DESCRIPTION	PRICE	AMOUNT	CASH AND SWEEP BALANCES
12/01				BEGINNING BALANCE			80,081.41
12/02	Cash	CHECK ISSUED		CHK ISS #RC088618341		-1,322.11	78,759.30
12/03	Cash	DIVIDEND		FRANKLIN INVS SECS TR REAL RETURN FD CL A 120313 5,718.47100		50.89	78,810.19
12/04	Cash	DIVIDEND		FRANKLIN HIGH INCOME FUND CLASS A 120413 21,935.60200		241.29	
12/04	Cash	DIVIDEND		FRANKLIN INCOME FUND CLASS A 120413 71,068.71800		746.22	79,797.70
12/17	Cash	LT CAP GAIN		TEMPLETON GLOBAL BOND FUND CL A 121813 5,162.71000 AS OF 12/18/13		16.00	
12/17	Cash	REINVESTMENT	1.22600	TEMPLETON GLOBAL BOND FUND CL A REINVEST AT 13.050		-16.00	79,797.70
12/18	Cash	DIVIDEND		TEMPLETON GLOBAL BOND FUND CL A 121813 5,163.93600		451.74	80,249.44
12/23	Cash	LT CAP GAIN		MUTUAL SERIES FD INC GLOBAL DISCOVERY FD CL A 122413 1,664.71500 AS OF 12/24/13		2,173.45	



DANIEL & FLAVIA GERNATT FAMILY FOUNDATION

ID# 22-2914177

2013 FROM 990-PF

AFFIDAVIT OF PUBLICATION ATTACHMENT

LEGAL NOTICE
The annual report of the Dan and Flavia Gernatt Family Foundation is available for inspection during regular business hours by any citizen who requests it within 180 days after March 14, 2014 at its principal office, Taylor Hollow Road, Collins, NY.

Daniel R. Gernatt Sr
Principal Manager

AFFIDAVIT OF PUBLICATION

State of New York)
) SS
County of Erie)

The undersigned is the billing supervisor of The SUN, a weekly newspaper published in the county of Erie, in the state of New York.

A notice regarding LEGALNOTICETHEANNUALREPOR was published in said newspaper commencing on: 3/13/14

and ending on: 3/13/14

The text of the notice as published in said newspaper is as set forth below, or in the annexed exhibit.

Linda Bridges

Sworn to before me on 18th day of March, 20 14.

Mary E. Manger

NOTARY PUBLIC
STATE OF NEW YORK
COMMISSION EXPIRES 12/31/14