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Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

▶ **Do not enter Social Security numbers on this form as it may be made public. By law, the IRS cannot redact the information on the form.**

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

OMB No 1545-0052

2013

Open to Public Inspection

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

Name of foundation
THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC
% PAUL F MCLAUGHLIN

A Employer identification number
22-3842614

Number and street (or P O box number if mail is not delivered to street address) Room/suite
505 OCEAN AVENUE
Suite

B Telephone number (see instructions)
(908) 719-3105

City or town, state or province, country, and ZIP or foreign postal code
SEA GIRT, NJ 08750

C If exemption application is pending, check here ▶ ☐

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

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

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

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

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)*▶$ 604,928

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))*

	Line	Description	(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)	0			
	2	Check ▶ ☐ if the foundation is **not** required to attach Sch B				
	3	Interest on savings and temporary cash investments				
	4	Dividends and interest from securities	9,974	9,974	9,974	
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	28,572			
	b	Gross sales price for all assets on line 6a 169,173				
	7	Capital gain net income (from Part IV, line 2)		28,572		
	8	Net short-term capital gain			3,687	
	9	Income modifications				
	10a	Gross sales less returns and allowances				
	b	Less Cost of goods sold				
	c	Gross profit or (loss) (attach schedule)				
	11	Other income (attach schedule)				
	12	**Total.** Add lines 1 through 11	38,546	38,546	13,661	
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	0			
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach schedule)	3,500	3,500	3,500	
	c	Other professional fees (attach schedule)	8,318	8,318	8,318	
	17	Interest				
	18	Taxes (attach schedule) (see instructions)	280	280	280	
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule)				
	24	**Total operating and administrative expenses.** Add lines 13 through 23	12,098	12,098	12,098	0
	25	Contributions, gifts, grants paid	82,070			82,070
	26	**Total expenses and disbursements.** Add lines 24 and 25	94,168	12,098	12,098	82,070
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	-55,622			
	b	**Net investment income** (if negative, enter -0-)		26,448		
	c	**Adjusted net income** (if negative, enter -0-)			1,563	

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

			Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing			
	2	Savings and temporary cash investments	38,053	5,370	5,370
	3	Accounts receivable ▶ ______ Less allowance for doubtful accounts ▶ ______			
	4	Pledges receivable ▶ ______ Less allowance for doubtful accounts ▶ ______			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶ ______ Less allowance for doubtful accounts ▶ ______			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	531,378	512,506	599,558
	c	Investments—corporate bonds (attach schedule)			
	11	Investments—land, buildings, and equipment basis ▶ ______ Less accumulated depreciation (attach schedule) ▶ ______			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment basis ▶ ______ Less accumulated depreciation (attach schedule) ▶ ______			
	15	Other assets (describe ▶ ______)			
	16	**Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I)	569,431	517,876	604,928
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ ______)			
	23	**Total liabilities** (add lines 17 through 22)		0	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here** ▶ ☐ **and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☑ **and complete lines 27 through 31.**			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	569,431	517,876	
	30	**Total net assets or fund balances** (see page 17 of the instructions)	569,431	517,876	
	31	**Total liabilities and net assets/fund balances** (see page 17 of the instructions)	569,431	517,876	

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	569,431
2	Enter amount from Part I, line 27a	2	-55,622
3	Other increases not included in line 2 (itemize) ▶ ______	3	4,067
4	Add lines 1, 2, and 3	4	517,876
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	517,876

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	OPPENHEIMER #438	P		
b	OPPENHEIMER #438	P		
c				
d				
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	44,368		40,681	3,687
b	118,299		99,920	18,379
c				
d				
e				

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h))
	(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a				3,687
b				18,379
c				
d				
e				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 }	2	28,572
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8	3	

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☑ No
If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2012	86,835	610,700	0 142189
2011	84,574	601,070	0 140706
2010	97,170	700,262	0 138762
2009	90,750	707,883	0 128199
2008	75,062	875,903	0 085697

2	**Total** of line 1, column (d).	2	0 635553
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 127111
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	0
5	Multiply line 4 by line 3.	5	0
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	264
7	Add lines 5 and 6.	7	264
8	Enter qualifying distributions from Part XII, line 4.	8	82,070

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1 Date of ruling or determination letter ____________ **(attach copy of letter if necessary–see instructions)**		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☑ and enter 1% of Part I, line 27b	1	264
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	2	
3	Add lines 1 and 2	3	264
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	4	
5	**Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0-	5	264
6	Credits/Payments		
a	2013 estimated tax payments and 2012 overpayment credited to 2013 — 6a: 232		
b	Exempt foreign organizations—tax withheld at source — 6b		
c	Tax paid with application for extension of time to file (Form 8868) — 6c: 600		
d	Backup withholding erroneously withheld — 6d		
7	Total credits and payments Add lines 6a through 6d	7	832
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** ▶	9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶	10	568
11	Enter the amount of line 10 to be **Credited to 2014 estimated tax** ▶ 568 **Refunded** ▶	11	0

Part VII-A Statements Regarding Activities

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

		Line	Yes	No
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 ▶PAUL F MCLAUGHLIN Telephone no ▶(908) 719-3105

Located at ▶505 OCEAN AVENUE SEA GIRT NJ ZIP+4 ▶08750

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

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

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

	File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.		Line	Yes	No
1a	During the year did the foundation (either directly or indirectly)				
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ Yes ☑ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes ☑ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ Yes ☑ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☐ Yes ☑ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ Yes ☑ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days).	☐ Yes ☑ No			
b	If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)?		1b		
	Organizations relying on a current notice regarding disaster assistance check here. ▶ ☐				
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?		1c		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?	☐ Yes ☑ No			
	If "Yes," list the years ▶ 20___, 20___, 20___, 20___				
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement—see instructions)		2b		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ 20___, 20___, 20___, 20___				
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☑ No			
b	If "Yes," did it have excess business holdings in 2013 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969, **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.)*		3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?		4b		No

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

5a	During the year did the foundation pay or incur any amount to			
	(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ **Yes** ☑ **No**			
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ **Yes** ☑ **No**			
	(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ **Yes** ☑ **No**			
	(4) Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ **Yes** ☑ **No**			
	(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ **Yes** ☑ **No**			
b	If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)?	**5b**		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ **Yes** ☐ **No**			
	If "Yes," attach the statement required by Regulations section 53.4945–5(d).			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ **Yes** ☑ **No**			
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	**6b**		**No**
	If "Yes" to 6b, file Form 8870.			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ **Yes** ☑ **No**			
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?	**7b**		

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

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

(a) Name and address	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation **(If not paid, enter -0-)**	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances
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
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
ALAN LANGER CPA 270 MADISON AVE NEW YORK, NY 10016	tax prep	3,500
Total number of others receiving over $50,000 for professional services. . . . . ▶		0

Part IX-A **Summary of Direct Charitable Activities**

List the foundation's four largest direct charitable activities during the tax year Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc	Expenses
1 N/A	
2	
3	
4	

Part IX-B **Summary of Program-Related Investments** (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 NONE	
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	0
b	Average of monthly cash balances		1b	0
c	Fair market value of all other assets (see instructions)		1c	0
d	**Total** (add lines 1a, b, and c)		1d	0
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	0
3	Subtract line 2 from line 1d		3	0
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions)		4	0
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4		5	0
6	**Minimum investment return.** Enter 5% of line 5		6	0

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	0
2a	Tax on investment income for 2013 from Part VI, line 5	2a	264		
b	Income tax for 2013 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	264
3	Distributable amount before adjustments Subtract line 2c from line 1			3	0
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	0
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	0

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	82,070
b	Program-related investments—total from Part IX-B	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes	2	0
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	0
b	Cash distribution test (attach the required schedule)	3b	0
4	**Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	82,070
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	264
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	81,806

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				0
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only.			0	
b Total for prior years 2011, 2010, 2009		0		
3 Excess distributions carryover, if any, to 2013				
a From 2008. 32,343				
b From 2009. 55,621				
c From 2010. 63,017				
d From 2011. 56,372				
e From 2012. 56,618				
f **Total** of lines 3a through e.	263,971			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ $ 82,070				
a Applied to 2012, but not more than line 2a			0	
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.				0
e Remaining amount distributed out of corpus	82,070			
5 Excess distributions carryover applied to 2013 *(If an amount appears in column (d), the same amount must be shown in column (a).)*	0			0
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	346,041			
b Prior years' undistributed income Subtract line 4b from line 2b		0		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b Taxable amount —see instructions		0		
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions			0	
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)				
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions) . . .	32,343			
9 **Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a	313,698			
10 Analysis of line 9				
a Excess from 2009. . . . 55,621				
b Excess from 2010. . . . 63,017				
c Excess from 2011. . . . 56,372				
d Excess from 2012. . . . 56,618				
e Excess from 2013. . . . 82,070				

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2013, enter the date of the ruling. . . . . . . ▶

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

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

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

1 Information Regarding Foundation Managers:

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

NA

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

NA

2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:

Check here ▶☐ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds If the foundation makes gifts, grants, etc (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d

a The name, address, and telephone number or e-mail address of the person to whom applications should be addressed

PAUL MCLAUGHLIN
505 OCEAN AVENUE
SEA GIRT,NJ 08750
(908) 719-3105

b The form in which applications should be submitted and information and materials they should include

N/A

c Any submission deadlines

N/A

d Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors

N/A

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
See Additional Data Table				
Total . . . . ▶ **3a**				82,070
b *Approved for future payment*				
Total . . . . ▶ **3b**				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments. . . .					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities. . . .		9,974	14		
5 Net rental income or (loss) from real estate					
a Debt-financed property.					
b Not debt-financed property.					
6 Net rental income or (loss) from personal property					
7 Other investment income.					
8 Gain or (loss) from sales of assets other than inventory		28,572	18		
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory. .					
11 Other revenue a MERRILL LYNCH CLASS ACTION SETTLEMENT			14		
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e). .		38,546			

13 Total. Add line 12, columns (b), (d), and (e). 13 38,546

(See worksheet in line 13 instructions to verify calculations)

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

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

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

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

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

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

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

b If "Yes," complete the following schedule

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

Sign Here

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

******	2014-05-05	******
Signature of officer or trustee	Date	Title

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed	PTIN
ALAN LANGER		2014-05-13	☑	

Firm's name ▶	ALAN LANGER CPA	Firm's EIN ▶
Firm's address ▶	270 MADISON AVE SUITE 1500 NEW YORK, NY 100160601	Phone no (212) 481-2222

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
PAUL F MCLAUGHLIN 505 OCEAN AVE SEA GIRT, NJ 08750	PRESIDENT/TREASURER 10 0	0	0	0
MARY ANNE MCLAUGHLIN 505 OCEAN AVENUE SEA GIRT, NJ 08750	VICE PRES/SECRETARY 10 0	0	0	0
SCOTT C MCLAUGHLIN 16 TURNBERRY DRIVE HORSEHEADS, NY 14845	ASST TREASURER 10 0	0	0	0
BETHANY R MCLAUGHLIN 16 TURNBERRY DRIVE HORSEHEADS, NY 14845	DIRECTOR 10 0	0	0	0
LYNNE M MCLAUGHLIN 29 GLOUSTER STREET APT 1-R BOSTON, MA 02115	ASST SECRETARY 10 0	0	0	0
LAURIE A MOORE 34 SCHOOL STREET NEWTON, MA 02485	DIRECTOR 10 0	0	0	0
CHRISTOPHER H MOORE 34 SCHOOL STREET NEWTON, MA 02485	DIRECTOR 10 0	0	0	0

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
SKIDMORE COLLEGE 815 NORTH BROADWAY SARATOGA SPRINGS, NY 12866	NONE	PC	GENERAL / CHARITABLE	500
NEWTON WELLESLEY CHARITABLE FOUNDATION 2014 WASHINGTON STREET NEWTON, MA 02462	NONE	PC	GENERAL / CHARITABLE	3,350
HOSPITAL FOR SPECIAL SURGERY FUND INC 535 East 70th Street NEW YORK, NY 10021	NONE	PC	GENERAL / CHARITABLE	500
SEA GIRT FIRE COMPANY BALTIMORE AND 4TH AVE SEA GIRT, NJ 08750	NONE	PC	GENERAL / CHARITABLE	500
AFS-USA INC 198 Madison Avenue 8th Floor NEW YORK, NY 10016	NONE	PC	GENERAL / CHARITABLE	500
VILLANOVA UNIVERSITY 800 LANCASTER AVE VILLANOVA, PA 19085	NONE	PC	GENERAL / CHARITABLE	3,000
ROSIE'S PLACE 889 HARRISON AVE BOSTON, MA 02118	NONE	PC	GENERAL / CHARITABLE	3,000
MANASQUAN FIRST AID SQUAD INC 65 BROAD STREET MANASQUAN, NJ 08736	NONE	PC	GENERAL / CHARITABLE	500
EASTER SEALS - NEW JERSEY 25 KENNEDY BLVD SUITE 600 EAST BRUNSWICK, NJ 08816	NONE	PC	GENERAL / CHARITABLE	3,270
OUR PROMISE TO NICHOLAS FOUNDATION 111 AMHERST STREET MANCHESTER, NH 03110	NONE	PC	GENERAL / CHARITABLE	2,000
AMERICAN CANCER SOCIETY 250 WILLIAMS STREET NW ATLANTA, GA 303031002	NONE	PC	GENERAL / CHARITABLE	2,000
HARVARD BUSINESS SCHOOL SOLDIERS FIELD BOSTON, MA 02163	NONE	PC	CHARITABLE	2,500
BENTLEY UNIVERSITY OFFICE OF DEVELOPMENT LEWIS HAL 175 FOREST ST WALTHAM, MA 024524705	NONE	PC	GENERAL/ CHARITABLE	1,000
ST CATHERINE'S CATHOLIC CHURCH c/o Mclaughlin 505 OCEAN AVE Sea Girt, NJ 08750	none	PC	general/ charitable	11,000
RPI 110 Eighth St Troy, NY 12180	none	PC	general/ charitable	7,500
Total . . . . ▶ **3a**				82,070

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
LEHIGH UNIVERSITY 27 MEMORIAL DRIVE W BETHLEHEM,PA 18015	none	PC	charity	5,000
NATIONAL BRAIN TUMOR FND SUITE 612 22 BATTERY STREET SAN FRANCISCO,CA 94111	none	PC	CHARITY	5,450
THE ONE FUND BOSTON 800 BOYLSTON STREET BOSTON,MA 02199	NONE	PC	CHARITY	10,000
SEA GIRT COMMUNITY APPEAL PO BOX 105 SEA GIRT,NJ 08750	NONE	PC	CHARITY	500
SEA GIRT BOARDWALK RECOVERY MUNICIPAL BLDG PO BOX 296 321 BAL SEA GIRT,NJ 08750	NONE		CHARITY	15,000
SEA GIRT LIFEGUARDS MUNICIPAL BLDG PO BOX 296 321 BALT SEA GIRT,NJ 08750	NONE	PC	CHARITY	5,000
Total . . . . ▶ **3a**				82,070

TY 2013 Accounting Fees Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
TAX PREP DELOITTE				
TAX PREP ALAN LANGER CPA				

TY 2013 All Other Program Related Investments Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

Category	Amount
NONE	

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2013 Depreciation Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

Description of Property	Date Acquired	Cost or Other Basis	Prior Years' Depreciation	Computation Method	Rate / Life (# of years)	Current Year's Depreciation Expense	Net Investment Income	Adjusted Net Income	Cost of Goods Sold Not Included

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2013 Gain/Loss from Sale of Other Assets Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

Name	Date Acquired	How Acquired	Date Sold	Purchaser Name	Gross Sales Price	Basis	Basis Method	Sales Expenses	Total (net)	Accumulated Depreciation
OPPENHEIMER CAP GAIN DIST					6,506				6,506	

TY 2013 General Explanation Attachment

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

Identifier	Return Reference	Explanation
Capital gains	Capital gains 2013	

TY 2013 Investments Corporate Stock Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

Name of Stock	End of Year Book Value	End of Year Fair Market Value
COST VALUE OF SECURITIES	512,506	

TY 2013 Investments - Land Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

TY 2013 Land, Etc. Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

TY 2013 Other Expenses Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
CHECK BOOK FEE				

TY 2013 Other Income Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
UNITED STATES OIL FUND, L P (PTP)			
CURRENT YEAR DISALLOWED LOSS			

efile GRAPHIC print - DO NOT PROCESS	As Filed Data -	DLN: 93491135012094

TY 2013 Other Increases Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

Description	Amount
PRIOR PERIOD ADJ	4,067

efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93491135012094

TY 2013 Other Professional Fees Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT MGMNT	8,318	8,318	8,318	

TY 2013 Taxes Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL TAX EXPENSE				
FOREIGN TAXES PAID				

Oppenheimer & Co. Inc.	Income Summary Statement Account A810750438	Statement Date: 02/25/2014	2013
85 Broad Street New York, NY 10004 Customer Service: 212-668-8000	PAUL F MCLAUGHLIN & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION/IAS PLACEMARK 505 OCEAN AVE SEA GIRT, NJ 08750	FINANCIAL ADVISOR RUBINSTEIN/GELBMAN 609-734-0400 Office Code: 81 Rep Code: G9Y	
PAYER'S Federal ID No: 13-5657518	RECIPIENT'S ID No: XX-XXX2614		

Dividends and Distributions

		Not reported to the IRS*
1a- Total ordinary dividends (includes line 1b)		9,974.79
1b- Qualified dividends		6,418.34
2a- Total capital gain distributions (includes lines 2b, 2c, 2d)		8,506.34
2b- Unrecaptured Section 1250 gain		10.52
2c- Section 1202 gain		0.00
2d- Collectibles (28%) gain		0.00
3- Nondividend distributions		35.94
4- Federal income tax withheld		0.00
5- Investment expenses		0.00
7- Foreign country or US possession: Various	6- Foreign tax paid:	280.38
8- Cash liquidation distributions		0.00
9- Noncash liquidation distributions		0.00
10- Exempt-interest dividends (includes line 11)		0.00
11- Specified private activity bond interest dividends (AMT)		0.00
12- State:	13- State ID number:	
14- State tax withheld		0.00

Interest Income

		Not reported to the IRS*
1- Interest income (not included in line 3)		0.00
2- Early withdrawal penalty		0.00
3- Interest on US Savings Bonds & Treasury obligations		0.00
4- Federal income tax withheld		0.00
5- Investment expenses		0.00
7- Foreign country or US possession:	6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)		0.00
9- Specified private activity bond interest (AMT)		0.00
10- Tax-exempt bond CUSIP number (see instructions)		
11- State:	12- State ID number:	
13- State tax withheld		0.00

Lines 8 & 9 include tax-exempt interest and original issue discount.

Regulated Futures Contracts

	Not reported to the IRS*
9- Profit (loss) realized in 2013-closed contracts	0.00
10- Unrealized profit (loss)-open contracts 12/31/2012	0.00
11- Unrealized profit (loss)-open contracts 12/31/2013	0.00
12- Aggregate profit (loss) on contracts	0.00

If applicable, summaries and details of proceeds from sale transactions appear in subsequent sections of this document.

Miscellaneous Income

		Not reported to the IRS*
2- Royalties		0.00
3- Other income		0.00
4- Federal income tax withheld		0.00
8- Substitute payments in lieu of dividends or interest		0.00
12- Foreign country or US possession:	11- Foreign tax paid:	0.00
16- State tax withheld		0.00
17- State:	Payer's state ID number:	
18- State income		0.00

*** This statement displays all activity for this account. Any transactions that are being furnished to the IRS will also be provided on separate Forms 1099, which may be packaged with this statement or sent separately. Because this statement is formatted similarly to Forms 1099, we have provided the related instructions at the conclusion of this document.**

ORIGINAL ISSUE DISCOUNT SUMMARY

Use bond-by-bond details from the following pages to determine reportable amounts of Original Issue Discount income for your tax return(s). The informational totals shown below appear for reference only.

Original issue discount for 2013		0.00
Other periodic interest		0.00
Early withdrawal penalty		0.00
Federal income tax withheld		0.00
Foreign country or US possession:	Foreign tax paid:	0.00

Original issue discount on US Treasury obligations		0.00
Investment expenses		0.00
State:	State ID number:	
State tax withheld		0.00

Changes to dividend tax classifications processed after your original tax form is issued for 2013 may require an amended form.

Oppenheimer & Co. Inc. Account A810750438

Supplemental Information

2013

SUMMARY OF PROCEEDS, GAINS & LOSSES AND TAX WITHHELD

Refer to the PROCEEDS NOT REPORTED to the IRS pages to ensure that you consider all relevant items to determine the correct gains and losses. The amounts shown below are for informational purposes.

Term*	Category	Detail Schedule	Gross Proceeds#	Cost Basis+	Wash Sale Loss Disallowed	Net Gain/Loss
Short	C (Form 1099-B not received)	Proceeds not reported to IRS	44,368.19	40,680.79	0.00	3,687.41
Long	F (Form 1099-B not received)	Proceeds not reported to IRS	118,298.52	99,919.51	0.00	18,379.02
Undetermined	C or F (Form 1099-B not received)	Proceeds not reported to IRS	0.00	0.00	0.00	0.00
		Total Category C, F	162,666.71	140,600.30	0.00	22,066.43
		Grand total	162,666.71	140,600.30	0.00	22,066.43

Withholding from Proceeds

Federal income tax withheld	0.00
State tax withheld	0.00

SUMMARY OF INCOME, FEES, EXPENSES AND EXPENDITURES

Interest Payments and Other Adjustments

Taxable accrued interest paid	0.00
Tax-exempt accrued interest paid	0.00
Tax-exempt accrued interest paid AMT	0.00
Taxable accrued interest paid on OID bonds	0.00
Non qualified interest	0.00
Taxable non qualified interest paid	0.00
Projected interest shortfall on contingent payment debt	0.00

Other Receipts

Partnership distributions	0.00
Foreign tax paid - partnership distributions	0.00
Return of principal distributions	0.00
Deferred income payment	0.00

Expenses

Margin interest	0.00
Dividends paid - short position	0.00
Interest paid - short position	0.00
Non reportable distribution expense	0.00
Other expenses	0.00
Severance tax	0.00

Fees and Payments Received

Deemed premium	0.00
Organizational expense	0.00
Income accrual - UIT	0.00
Miscellaneous fees	8,318.39
Basis adjustments	0.00
Tax-exempt investment expense	0.00
Foreign tax withholding paid in excess of treaty rate	0.00

Options Transactions

Sales	0.00
Short sales	0.00
Purchases	0.00
Purchases to close	0.00

*Amounts of undetermined-term must be reviewed to establish the correct acquisition date and whether the gains/losses are short-term or long-term.
Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital charges.
+Cost basis totals include only amounts that were available to us.

Oppenheimer & Co. Inc. | **Proceeds Not Reported to the IRS** | Account A810750438

2013

SHORT-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
ALLISON TRANSMISSION HLDGS INC / CUSIP: 01973R101 / Symbol: ALSN							
04/01/13	1.000	23.34	02/06/13	23.10	...	0.24	Sale
05/28/13	1.000	23.96	02/06/13	23.10	...	0.86	Sale
10/09/13	1.000	24.55	02/06/13	23.10	...	1.45	Sale
Security total:		71.85		69.30	0.00	2.55	
ALLSTATE CORP / CUSIP: 020002101 / Symbol: ALL							
10/09/13	6.000	306.11	06/07/13	283.28	...	22.83	Sale
AMAZON COM INC / CUSIP: 023135106 / Symbol: AMZN							
05/02/13	2.000	503.92	08/16/12	484.52	...	19.40	Sale
AMERICAN INTL GROUP INC COM NEW / CUSIP: 026874784 / Symbol: AIG							
2 tax lots for 01/28/13.							
	6.000	*223.61*	*10/05/12*	*211.38*	...	*12.23*	*Sale*
	4.000	*149.07*	*10/11/12*	*142.92*	...	*6.15*	*Sale*
01/28/13	10.000	372.68	VARIOUS	354.30	0.00	18.38	Total of 2 lots
10/09/13	2.000	95.79	10/11/12	71.46	...	24.33	Sale
11/04/13	8.000	392.95	01/23/13	291.20	...	101.75	Sale
Security total:		861.42		716.96	0.00	144.46	
AMERICAN RLTY CAP TR INC REIT / CUSIP: 02917L101 / Symbol: ARCT							
01/28/13	85.000	29.75	03/09/12	0.00	...	29.75	Tender
AMERISOURCEBERGEN CORP / CUSIP: 03073E105 / Symbol: ABC							
04/01/13	2.000	102.95	09/14/12	74.83	...	28.12	Sale
04/12/13	4.000	216.43	04/09/13	212.23	...	4.20	Sale
04/15/13	6.000	325.08	09/14/12	224.48	...	100.60	Sale
05/22/13	5.000	272.49	09/14/12	187.07	...	85.42	Sale
2 tax lots for 11/12/13.							
	6.000	*408.57*	*04/09/13*	*318.34*	...	*90.23*	*Sale*
	1.000	*68.10*	*04/19/13*	*55.75*	...	*12.35*	*Sale*
11/12/13	7.000	476.67	VARIOUS	374.09	0.00	102.58	Total of 2 lots
11/19/13	3.000	206.60	04/19/13	167.25	...	39.35	Sale

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. | Account- A810750438

Proceeds Not Reported to the IRS

2013 (continued)

SHORT-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol Date of Sale or exchange	Quantity	Proceeds of# stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional Informatic
AMERISOURCEBERGEN CORP / CUSIP: 03073E105 / Symbol: ABC (cont'd)							
	3 tax lots for 11/25/13.						
	1.000	*70.69*	*04/19/13*	*55.75*	...	*14.94*	*Sale*
	6.000	*424.19*	*04/19/13*	*334.49*	...	*89.69*	*Sale*
	4.000	*282.79*	*11/18/13*	*276.88*	...	*5.91*	*Sale*
11/25/13	11.000	777.67	VARIOUS	667.12	0.00	110.54	Total of 3 lots
Security total:		2,377.89		1,907.07	0.00	470.81	
AMGEN INC / CUSIP: 031162100 / Symbol: AMGN							
04/25/13	1.000	107.99	04/17/13	109.49	...	-1.50	Sale
05/01/13	3.000	314.48	04/17/13	328.46	...	-13.98	Sale
Security total:		422.47		437.95	0.00	-15.48	
ANADARKO PETE CORP / CUSIP: 032511107 / Symbol: APC							
10/09/13	1.000	92.55	04/12/13	85.51	...	7.04	Sale
11/07/13	3.000	270.77	04/12/13	256.53	...	14.24	Sale
	4 tax lots for 12/11/13.						
	1.000	*84.00*	*04/25/13*	*84.97*	...	*-0.97*	*Sale*
	3.000	*252.00*	*04/25/13*	*254.92*	...	*-2.92*	*Sale*
	3.000	*252.01*	*08/29/13*	*276.65*	...	*-24.64*	*Sale*
	4.000	*336.01*	*08/29/13*	*368.86*	...	*-32.85*	*Sale*
12/11/13	11.000	924.02	VARIOUS	985.40	0.00	-61.38	Total of 4 lots
Security total:		1,287.34		1,327.44	0.00	-40.10	
APPLE INC / CUSIP: 037833100 / Symbol: AAPL							
04/09/13	1.000	426.21	04/05/13	422.83	...	3.38	Sale
04/12/13	1.000	430.16	04/05/13	422.83	...	7.33	Sale
04/17/13	1.000	404.32	04/15/13	421.33	...	-17.01	Sale
04/19/13	1.000	394.67	04/10/13	435.22	...	-40.55	Sale
Security total:		1,655.36		1,702.21	0.00	-46.85	
ARCHER DANIELS MIDLAND CO / CUSIP: 039483102 / Symbol: ADM							
04/01/13	4.000	134.63	10/26/12	108.57	...	26.06	Sale
04/15/13	73.000	2,329.84	10/26/12	1,981.36	...	348.48	Sale
Security total:		2,464.47		2,089.93	0.00	374.54	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. Account A810750438

Proceeds Not Reported to the IRS

2013 (continued)

SHORT-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part I, with Box C checked

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
BANK OF AMERICA CORPORATION / CUSIP: 060505104 / Symbol: BAC							
04/01/13	10.000	121.69	11/27/12	98.10	...	23.59	Sale
05/28/13	6.000	80.15	11/27/12	58.86	...	21.29	Sale
10/09/13	3.000	41.69	11/27/12	29.43	...	12.26	Sale
	Security total:	243.53		186.39	0.00	57.14	
BED BATH & BEYOND INC / CUSIP: 075896100 / Symbol: BBBY							
04/01/13	1.000	63.78	11/30/12	58.66	...	5.12	Sale
04/10/13	14.000	915.36	11/30/12	821.24	...	94.12	Sale
	Security total:	979.14		879.90	0.00	99.24	
BIOGEN IDEC INC / CUSIP: 09062X103 / Symbol: BIIB							
08/14/13	1.000	212.10	08/22/12	144.60	...	67.50	Sale
BLACKROCK INC / CUSIP: 09247X101 / Symbol: BLK							
	2 tax lots for 06/24/13.						
	1.000	*247.81*	*11/08/12*	*188.44*	...	*59.37*	*Sale*
	1.000	*247.81*	*11/21/12*	*194.01*	...	*53.81*	*Sale*
06/24/13	2.000	495.62	VARIOUS	382.45	0.00	113.18	Total of 2 lots
	3 tax lots for 06/26/13						
	1.000	*257.77*	*11/21/12*	*194.01*	...	*63.76*	*Sale*
	1.000	*257.77*	*01/16/13*	*232.88*	...	*24.89*	*Sale*
	1.000	*257.77*	*06/25/13*	*251.33*	...	*6.44*	*Sale*
06/26/13	3.000	773.31	VARIOUS	678.22	0.00	95.09	Total of 3 lots
	Security total:	1,268.93		1,060.67	0.00	208.27	
BRISTOL MYERS SQUIBB CO / CUSIP: 110122108 / Symbol: BMY							
	3 tax lots for 01/10/13.						
	8.000	*272.15*	*07/11/12*	*276.08*	...	*-3.93*	*Sale*
	10.000	*340.19*	*07/13/12*	*352.60*	...	*-12.41*	*Sale*
	9.000	*306.17*	*07/19/12*	*325.26*	...	*-19.09*	*Sale*
01/10/13	27.000	918.51	VARIOUS	953.94	0.00	-35.43	Total of 3 lots

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes

Oppenheimer & Co. Inc.
2013

Account A810750438

Proceeds Not Reported to the IRS
(continued)

SHORT-TERM TRANSACTIONS ***NOT reported on Form 1099-B***
Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
CME GROUP INC / CUSIP: 12572Q105 / Symbol: CME							
10/09/13	1.000	72.27	06/26/13	76.23	...	-3.96	Sale
CANADIAN PAC RY LTD / CUSIP: 13645T100 / Symbol: CP							
05/28/13	1.000	135.20	04/08/13	122.23	...	12.97	Sale
	2 tax lots for 06/14/13.						
	2.000	*247.67*	*04/08/13*	*244.45*	...	*3.22*	*Sale*
	1.000	*123.84*	*04/10/13*	*122.[illegible]*	...	*1.72*	*Sale*
06/14/13	3.000	371.51	VARIOUS	366.56	0.06	4.94	Total of 2 lots
Security total:		506.71		488.79	0.00	17.91	
CAPITAL ONE FINL CORP / CUSIP: 14040H105 / Symbol: COF							
02/13/13	8.000	442.11	03/16/12	435.28	...	6.83	Sale
CARMAX INC / CUSIP: 143130102 / Symbol: KMX							
01/17/13	7.000	268.93	06/26/12	179.36	...	89.57	Sale
04/01/13	1.000	41.24	06/26/12	25.62	...	15.62	Sale
05/06/13	20.000	924.31	06/26/12	512.44	...	411.87	Sale
Security total:		1,234.48		717.42	0.00	517.06	
CELGENE CORP / CUSIP: 151020104 / Symbol: CELG							
04/01/13	1.000	116.72	02/12/13	99.02	...	17.70	Sale
CISCO SYS INC / CUSIP: 17275R102 / Symbol: CSCO							
05/28/13	3.000	71.63	02/13/13	62.99	...	8.64	Sale
10/23/13	10.000	222.69	02/13/13	209.96	...	12.73	Sale
11/15/13	26.000	558.75	02/13/13	545.89	...	12.86	Sale
11/19/13	25.000	535.49	02/13/13	524.89	...	10.60	Sale
Security total:		1,388.56		1,343.73	0.00	44.83	
CORRECTIONS CORP AMER NEW COM NEW / CUSIP: 22025Y407 / Symbol: CXW							
10/09/13	1.000	33.98	09/12/13	34.27	...	-0.29	Sale
EATON VANCE CORP COM NON VTG / CUSIP: 278265103 / Symbol: EV							
02/19/13	11.000	448.23	11/02/12	322.01	...	126.22	Sale
04/01/13	1.000	41.40	11/02/12	29.27	...	12.13	Sale

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. | **Proceeds Not Reported to the IRS** (continued) | Account A810750438

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SHORT-TERM TRANSACTIONS *NOT reported on Form 1099-B*

Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of# stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional inform
EATON VANCE CORP COM NON VTG / CUSIP: 278265103 / Symbol: EV (cont'd)							
05/28/13	1.000	42.77	11/02/12	29.27	...	13.50	Sale
	Security total:	532.40		380.55	0.00	151.85	
ENTERGY CORP NEW / CUSIP: 29364G103 / Symbol: ETR							
04/01/13	1.000	63.40	06/22/12	66.76	...	-3.36	Sale
05/28/13	1.000	69.00	06/22/12	66.76	...	2.24	Sale
	Security total:	132.40		133.52	0.00	-1.12	
EXPEDITORS INTL WASH INC / CUSIP: 302130109 / Symbol: EXPD							
10/09/13	2.000	84.75	05/08/13	78.06	...	6.69	Sale
FEDEX CORP / CUSIP: 31428X106 / Symbol: FDX							
03/20/13	7.000	694.13	02/11/13	741.41	...	-47.28	Sale
FIFTH THIRD BANCORP / CUSIP: 316773100 / Symbol: FITB							
04/01/13	3.000	48.38	06/18/12	39.03	...	9.35	Sale
05/28/13	3.000	55.34	06/18/12	39.03	...	16.31	Sale
	Security total:	103.72		78.06	0.00	25.66	
FREEPORT-MCMORAN COPPER & GOLD / CUSIP: 35671D857 / Symbol: FCX							
	2 tax lots for 03/20/13.						
	7.000	*233.44*	*07/02/12*	*236.04*	...	*-2.60*	*Sale*
	8.000	*266.79*	*08/22/12*	*291.28*	...	*-24.49*	*Sale*
03/20/13	15.000	500.23	VARIOUS	527.32	0.00	-27.09	Total of 2 lots
05/28/13	1.000	30.90	08/22/12	36.41	...	-5.51	Sale
	3 tax lots for 06/21/13.						
	1.000	*28.19*	*08/22/12*	*36.41*	...	*-8.22*	*Sale*
	9.000	*253.71*	*10/17/12*	*379.44*	...	*-125.73*	*Sale*
	9.000	*253.71*	*11/02/12*	*356.22*	...	*-102.51*	*Sale*
06/21/13	19.000	535.61	VARIOUS	772.07	0.00	-236.46	Total of 3 lots
	Security total:	1,066.74		1,335.80	0.00	-269.06	
GENERAL MTRS CO / CUSIP: 37045V100 / Symbol: GM							
01/17/13	6.000	176.89	01/27/12	146.40	...	30.49	Sale

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. | Account A810750438

Proceeds Not Reported to the IRS

(continued)

2013

SHORT-TERM TRANSACTIONS ***NOT reported on Form 1099-B***

Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of* stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
GENERAL MTRS CO / CUSIP: 37045V100 / Symbol: GM (cont'd)							
04/01/13	1.000	27.77	09/11/12	23.08	---	4.69	Sale
04/10/13	9.000	255.15	09/11/12	207.72	---	47.43	Sale
05/28/13	3.000	101.93	09/11/12	69.24	---	32.69	Sale
Security total:		561.74		446.44	0.00	115.30	
GOLDMAN SACHS GROUP INC / CUSIP: 38141G104 / Symbol: GS							
04/01/13	3.000	437.24	10/12/12	362.67	...	74.57	Sale
HALLIBURTON CO / CUSIP: 406216101 / Symbol: HAL							
03/20/13	6.000	236.08	08/03/12	202.98	...	33.10	Sale
04/01/13	1.000	40.07	08/03/12	33.83	...	6.24	Sale
	2 tax lots for 05/28/13						
	1.000	*43.34*	*08/03/12*	*33.83*	...	*9.51*	*Sale*
	1.000	*43.34*	*08/09/12*	*35.14*	..	*8.20*	*Sale*
05/28/13	2.000	86.68	VARIOUS	68.97	0.00	17.71	Total of 2 lots
Security total:		362.83		305.78	0.00	57.05	
HOLOGIC INC / CUSIP: 436440101 / Symbol: HOLX							
10/09/13	1.000	21.41	07/15/13	19.83	---	1.58	Sale
HOME DEPOT INC / CUSIP: 437076102 / Symbol: HD							
04/01/13	1.000	69.76	08/22/12	56.61	...	13.15	Sale
KLA-TENCOR CORP / CUSIP: 482480100 / Symbol: KLAC							
04/01/13	2.000	103.29	03/22/13	103.45		-0.16	Sale
05/28/13	1.000	55.73	03/22/13	51.73	...	4.00	Sale
Security total:		159.02		155.18	0.00	3.84	
KOHLS CORP / CUSIP: 500255104 / Symbol: KSS							
01/11/13	6.000	253.10	07/30/12	299.76	...	-46.66	Sale
KRAFT FOODS GROUP INC / CUSIP: 50076Q106 / Symbol: KRFT							
05/03/13	2.000	106.21	03/07/13	98.06	...	8.15	Sale

\# Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. — Account A810750438

2013

Proceeds Not Reported to the IRS
(continued)

SHORT-TERM TRANSACTIONS — NOT reported on Form 1099-B
Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
LENDER PROCESSING SVCS INC / CUSIP: 52602E102 / Symbol: LPS							
11/15/13	13.000	446.98	04/15/13	324.95	...	122.03	Sale
LIBERTY GLOBAL INC COM SER A / CUSIP: 530555101 / Symbol:							
02/12/13	5.000	339.59	02/07/13	340.23	...	-0.64	Sale
04/01/13	1.000	73.30	03/27/13	71.81	...	1.49	Sale
Security total:		412.89		412.04	0.00	0.85	
LIFE TECHNOLOGIES CORP / CUSIP: 53217V109 / Symbol: LIFE							
01/31/13	5.000	324.19	05/16/12	213.90	...	110.29	Sale
04/01/13	1.000	64.53	05/16/12	42.78	...	21.75	Sale
04/15/13	18.000	1,168.61	05/16/12	684.48	...	484.13	Sale
Security total:		1,557.33		941.16	0.00	616.17	
LILLY ELI & CO / CUSIP: 532457108 / Symbol: LLY							
01/22/13	6.000	319.79	01/10/13	319.41	...	0.38	Sale
04/01/13	1.000	56.66	01/10/13	53.24	...	3.42	Sale
2 tax lots for 05/21/13.							
	4.000	*220.62*	*01/10/13*	*212.94*	...	*7.68*	*Sale*
	8.000	*441.25*	*01/17/13*	*426.80*	...	*14.45*	*Sale*
05/21/13	12.000	661.87	VARIOUS	639.74	0.00	22.13	Total of 2 lots
Security total:		1,038.32		1,012.39	0.00	25.93	
LINKEDIN CORP COM CL A / CUSIP: 53578A108 / Symbol: LNKD							
11/01/13	1.000	219.60	10/11/13	227.91	...	-8.31	Sale
11/07/13	1.000	212.83	10/11/13	227.91	...	-15.07	Sale
11/15/13	1.000	231.55	11/04/13	224.60	...	6.95	Sale
12/17/13	1.000	224.35	11/14/13	220.68	...	3.67	Sale
Security total:		888.33		901.10	0.00	-12.76	
LOWES COS INC / CUSIP: 548661107 / Symbol: LOW							
2 tax lots for 04/01/13.							
	4.000	*150.31*	*08/02/12*	*99.37*	...	*50.94*	*Sale*
	1.000	*37.57*	*12/20/12*	*35.23*	...	*2.34*	*Sale*
04/01/13	5.000	187.88	VARIOUS	134.60	0.00	53.28	Total of 2 lots

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc.

Account. A810750438

2013

Proceeds Not Reported to the IRS

(continued)

SHORT-TERM TRANSACTIONS ***NOT reported on Form 1099-B***

Report on Form 8949, Part I, with Box C checked

Date of Sale or exchange	Quantity	Proceeds of# stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
Description / CUSIP / Symbol							
LOWES COS INC / CUSIP: 548661107 / Symbol: LOW (cont'd)							
05/28/13	6.000	257.27	08/02/12	149.05	...	108.22	Sale
06/24/13	8.000	318.31	08/02/12	198.74	...	119.57	Sale
08/21/13	11.000	503.11	12/20/12	387.52	...	115.60	Sale
	Security total:	1,256.57		869.91	0.00	396.67	
MACK CALI RLTY CORP REIT / CUSIP: 554489104 / Symbol: CLI							
10/30/13	8.000	165.04	04/17/13	216.80	...	-51.76	Sale
MACYS INC / CUSIP: 55616P104 / Symbol: M							
09/13/13	15.000	664.95	08/14/13	702.03	...	-37.08	Sale
MARSH & MCLENNAN COS INC / CUSIP: 571748102 / Symbol: MMC							
04/01/13	2.000	75.43	07/31/12	66.71	...	8.72	Sale
05/28/13	1.000	40.53	07/31/12	33.35	...	7.18	Sale
	Security total:	115.96		100.06	0.00	15.90	
MCDONALDS CORP / CUSIP: 580135101 / Symbol: MCD							
04/01/13	1.000	99.27	06/14/12	89.08	...	10.19	Sale
05/28/13	1.000	101.21	06/14/12	89.08	...	12.13	Sale
	Security total:	200.48		178.16	0.00	22.32	
METLIFE INC / CUSIP: 59156R108 / Symbol: MET							
04/01/13	5.000	187.99	06/14/12	145.61	...	42.38	Sale
05/28/13	3.000	128.63	06/14/12	87.37	...	41.26	Sale
	Security total:	316.62		232.98	0.00	83.64	
MICROSOFT CORP / CUSIP: 594918104 / Symbol: MSFT							
	3 tax lots for 07/22/13						
	10.000	*318.91*	*05/22/13*	*345.30*	...	*-26.39*	*Sale*
	11.000	*350.80*	*06/06/13*	*380.27*	...	*-29.47*	*Sale*
	10.000	*318.91*	*06/28/13*	*346.13*	...	*-27.22*	*Sale*
07/22/13	31.000	988.62	VARIOUS	1,071.70	0.00	-83.08	Total of 3 lots

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. Account A810750438

Proceeds Not Reported to the IRS

2013 (continued)

SHORT-TERM TRANSACTIONS NOT reported on Form 1099-B

Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
NII HLDGS INC CL B NEW / CUSIP: 62913F201 / Symbol: NIHD							
	2 tax lots for 02/06/13.						
	14.000	*81.54*	*02/27/12*	*267.68*	...	*-186.14*	*Sale*
	26.000	*151.44*	*07/30/12*	*176.02*	...	*-24.58*	*Sale*
02/06/13	40.000	232.98	VARIOUS	443.70	0.00	-210.72	Total of 2 lots
NETAPP INC / CUSIP: 64110D104 / Symbol: NTAP							
01/17/13	7.000	241.98	12/07/12	233.03	...	8.95	Sale
04/01/13	1.000	34.11	12/07/12	33.29	...	0.82	Sale
	2 tax lots for 05/23/13.						
	2.000	*74.08*	*12/07/12*	*66.58*	...	*7.50*	*Sale*
	16.000	*592.63*	*12/21/12*	*540.64*	...	*51.99*	*Sale*
05/23/13	18.000	666.71	VARIOUS	607.22	0.00	59.49	Total of 2 lots
Security total:		942.80		873.54	0.00	69.26	
NEWS CORP NEW CL A / CUSIP: 65249B109 / Symbol: NWSA							
07/01/13	0.000	7.39	07/01/13	0.00	...	7.39	Cash in lieu
ORACLE CORP / CUSIP: 68389X105 / Symbol: ORCL							
	2 tax lots for 04/01/13.						
	2.000	*64.79*	*01/10/13*	*69.60*	...	*-4.81*	*Sale*
	1.000	*32.39*	*01/17/13*	*34.68*	...	*-2.29*	*Sale*
04/01/13	3.000	97.18	VARIOUS	104.28	0.00	-7.10	Total of 2 lots
	2 tax lots for 05/28/13.						
	1.000	*34.48*	*01/10/13*	*34.80*	...	*-0.31*	*Sale*
	1.000	*34.48*	*01/17/13*	*34.68*	...	*-0.20*	*Sale*
05/28/13	2.000	68.96	VARIOUS	69.48	0.00	-0.51	Total of 2 lots
06/24/13	15.000	453.89	01/17/13	520.20	...	-66.31	Sale
Security total:		620.03		693.96	0.00	-73.92	
PEABODY ENERGY CORP / CUSIP: 704549104 / Symbol: BTU							
03/20/13	12.000	254.45	12/14/12	333.42	...	-78.97	Sale

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc.

Account A810750438

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Proceeds Not Reported to the IRS

(continued)

SHORT-TERM TRANSACTIONS ***NOT reported on Form 1099-B***

Report on Form 8949, Part I, with Box C checked

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
Description / CUSIP / Symbol							
PEPSICO INC / CUSIP: 713448108 / Symbol: PEP							
	2 tax lots for 01/04/13.						
	5.000	*347.26*	*05/17/12*	*344.20*	...	*3.06*	*Sale*
	9.000	*625.06*	*05/31/12*	*612.54*	...	*12.52*	*Sale*
01/04/13	14.000	972.32	VARIOUS	956.74	0.00	15.58	Total of 2 lots
PFIZER INC / CUSIP: 717081103 / Symbol: PFE							
	2 tax lots for 04/01/13.						
	7.000	*201.39*	*05/09/12*	*155.55*	...	*45.84*	*Sale*
	1.000	*28.76*	*10/03/12*	*25.28*	...	*3.48*	*Sale*
04/01/13	8.000	230.15	VARIOUS	180.83	0.00	49.32	Total of 2 lots
QUALCOMM INC / CUSIP: 747525103 / Symbol: QCOM							
07/09/13	6.000	357.47	08/22/12	371.66	...	-14.19	Sale
07/16/13	11.000	679.12	09/11/12	683.60	...	-4.48	Sale
	Security total:	1,036.59		1,055.26	0.00	-18.67	
REALTY INCOME CORP REIT / CUSIP: 756109104 / Symbol: O							
	2 tax lots for 01/30/13.						
	24.000	*1,042.62*	*03/08/12*	*884.85*	...	*157.77*	*Sale*
	0.000	*18.22*	*01/30/13*	*0.00*	...	*18.22*	*Cash in lieu*
01/30/13	24.000	1,060.84	VARIOUS	884.85	0.00	175.99	Total of 2 lots
REGENERON PHARMACEUTICALS / CUSIP: 75886F107 / Symbol: REGN							
12/23/13	1.000	276.03	11/25/13	294.30	...	-18.27	Sale
RIO TINTO PLC SPONSORED ADR / CUSIP: 767204100 / Symbol: RIO							
	2 tax lots for 02/21/13.						
	7.000	*374.42*	*12/17/12*	*395.19*	...	*-20.77*	*Sale*
	5.000	*267.44*	*12/19/12*	*285.99*	...	*-18.55*	*Sale*
02/21/13	12.000	641.86	VARIOUS	681.18	0.00	-39.32	Total of 2 lots

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. Account A810750438

Proceeds Not Reported to the IRS

(continued)

2013

SHORT-TERM TRANSACTIONS *NOT reported on Form 1099-B*

Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
RYMAN HOSPITALITY PPTYS INC / CUSIP: 78377T107 / Symbol: RHP							
04/01/13	2.000	91 61	01/23/13	80 70	...	10.91	Sale
05/28/13	1.000	40.29	01/23/13	40 35	.	-0.06	Sale
10/09/13	1.000	35.04	01/23/13	40.35	...	-5.31	Sale
Security total:		166.94		161.40	0 00	5.54	
SALESFORCE COM INC / CUSIP: 79466L302 / Symbol: CRM							
10/18/13	6.000	323.63	10/11/13	306.24	...	17.39	Sale
SANOFI SPONSORED ADR / CUSIP: 80105N105 / Symbol: SNY							
04/01/13	4.000	204.07	03/25/13	200.43	...	3.84	Sale
05/28/13	4.000	222.63	03/25/13	200.43	..	22.20	Sale
10/09/13	1.000	48.73	03/25/13	50.11	...	-1.38	Sale
Security total:		475.43		450 97	0.00	24 46	
STANLEY BLACK & DECKER INC / CUSIP: 854502101 / Symbol: SWK							
10/18/13	12.000	928.06	04/25/13	911.22	.	16.84	Sale
TARGET CORP / CUSIP: 87612E106 / Symbol: TGT							
	2 tax lots for 01/04/13.						
	3.000	*181.31*	*11/16/12*	*187 35*	...	*-6.04*	*Sale*
	12.000	*725.28*	*11/21/12*	*763.44*	...	*-38.16*	*Sale*
01/04/13	15.000	906.59	VARIOUS	950.79	0.00	-44.20	Total of 2 lots
TEXAS INSTRS INC / CUSIP: 882508104 / Symbol: TXN							
08/29/13	4.000	155.11	08/16/13	155.20	..	-0.09	Sale
TIME WARNER CABLE INC / CUSIP: 88732J207 / Symbol: TWC							
	2 tax lots for 02/07/13.						
	5.000	*438.29*	*07/12/12*	*411.35*	..	*26.94*	*Sale*
	5.000	*438.29*	*09/27/12*	*476.55*	..	*-38.26*	*Sale*
02/07/13	10.000	876 58	VARIOUS	887.90	0.00	-11.32	Total of 2 lots
04/01/13	1.000	96 06	04/17/12	81 95	...	14.11	Sale
Security total:		972 64		969.85	0.00	2.79	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital charges

Oppenheimer & Co. Inc. | Account A810750438

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Proceeds Not Reported to the IRS
(continued)

SHORT-TERM TRANSACTIONS *NOT reported on Form 1099-B*
Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
UNIVERSAL HLTH SVCS INC CL B / CUSIP: 913903100 / Symbol: UHS							
01/30/13	5.000	284.05	07/02/12	214.40	...	69.65	Sale
03/22/13	4.000	249.91	07/02/12	171.52	...	78.39	Sale
05/28/13	1.000	68.53	07/02/12	42.88	...	25.65	Sale
Security total:		602.49		428.80	0.00	173.69	
VALASSIS COMMUNICATIONS INC / CUSIP: 918866104 / Symbol: VCI							
05/07/13	16.000	391.43	07/30/12	357.04	...	34.39	Sale
WHITING PETE CORP NEW / CUSIP: 966387102 / Symbol: WLL							
04/01/13	2.000	100.73	11/29/12	83.64	...	17.09	Sale
05/28/13	1.000	45.60	11/29/12	41.82	...	3.78	Sale
10/04/13	7.000	453.31	11/29/12	292.75	...	160.56	Sale
Security total:		599.64		418.21	0.00	181.43	
WILLIAMS COS INC DEL / CUSIP: 969457100 / Symbol: WMB							
04/01/13	2.000	76.27	01/04/13	68.26	...	8.01	Sale
06/26/13	18.000	588.71	01/04/13	614.37	...	-25.66	Sale
Security total:		664.98		682.63	0.00	-17.65	
WPX ENERGY INC / CUSIP: 98212B103 / Symbol: WPX							
04/01/13	6.000	95.27	03/21/13	95.95	...	-0.68	Sale
05/28/13	2.000	39.65	03/21/13	31.98	...	7.67	Sale
10/09/13	1.000	19.01	03/21/13	15.99	...	3.02	Sale
Security total:		153.93		143.92	0.00	10.01	
ZEBRA TECHNOLOGIES CORP CL A / CUSIP: 989207105 / Symbol: ZBRA							
01/29/13	3.000	124.74	06/18/12	97.30	...	27.44	Sale
04/01/13	2.000	91.65	06/18/12	64.86	...	26.79	Sale
05/28/13	1.000	46.78	06/18/12	32.43	...	14.35	Sale
Security total:		263.17		194.59	0.00	68.58	
ENSCO PLC SHS CLASS A / CUSIP: G3157S106 / Symbol: ESV							
08/29/13	2.000	112.21	10/04/12	109.00	...	3.21	Sale
LIBERTY GLOBAL PLC SHS CL A / CUSIP: G5480U104 / Symbol: LBTYA							
06/19/13	4.000	285.03	02/07/13	272.18	...	12.85	Sale

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. Account A810750438

Proceeds Not Reported to the IRS

2013 (continued)

SHORT-TERM TRANSACTIONS *NOT reported on Form 1099-B*

Report on Form 8949, Part I, with Box C checked

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
LIBERTY GLOBAL PLC SHS CL A / CUSIP: G5480U104 / Symbol: LBTYA (cont'd)							
10/09/13	1.000	75.03	02/07/13	68.04	...	6.98	Sale
Security total:		360.06		340.22	0.00	19.83	
NOBLE CORPORATION BAAR NAMEN -AKT / CUSIP: H5833N103 / Symbol:							
04/01/13	1.000	37.91	11/15/12	33.97	...	3.94	Sale
05/28/13	2.000	80.99	11/15/12	67.95	...	13.04	Sale
Security total:		118.90		101.92	0.00	16.98	
TRANSOCEAN LTD REG SHS / CUSIP: H8817H100 / Symbol: RIG							
05/28/13	3.000	156.56	05/20/13	161.33	...	-4.77	Sale
10/09/13	1.000	44.51	05/20/13	53.78	.	-9.27	Sale
Security total:		201.07		215.11	0.00	-14.04	
AVAGO TECHNOLOGIES LTD / CUSIP: Y0486S104 / Symbol: AVGO							
04/01/13	1.000	35.32	02/12/13	35.14	...	0.18	Sale
05/28/13	1.000	34.44	02/12/13	35.14	...	-0.70	Sale
10/23/13	7.000	318.35	02/12/13	246.00	...	72.35	Sale
12/16/13	5.000	263.20	02/12/13	175.71	...	87.49	Sale
Security total:		651.31		491.99	0.00	159.32	
Totals:		44,368.19		40,680.79	0.00	3,687.41	

LONG-TERM TRANSACTIONS *NOT reported on Form 1099-B*

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

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
ASTON/MONTAG & CLDWL GRTH-N OPEN END / CUSIP: 00078H299 / Symbol: MCGFX							
04/01/13	173.946	4,557.39	03/22/11	4,256.46	...	300.93	Sale
05/28/13	162.463	4,479.10	03/22/11	3,975.47	...	503.63	Sale
10/09/13	61.769	1,660.35	03/22/11	1,511.49	...	148.86	Sale
Security total:		10,696.84		9,743.42	0.00	953.42	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc.

Account A810750438

2013

Proceeds Not Reported to the IRS

(continued)

LONG-TERM TRANSACTIONS *NOT reported on Form 1099-B*

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

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
AFLAC INC / CUSIP: 001055102 / Symbol: AFL							
04/01/13	2.000	103.75	10/28/11	93.63	—	10.12	Sale
05/28/13	2.000	110.53	10/28/11	93.63	—	16.90	Sale
	Security total:	214.28		187.26	0.00	27.02	
AGL RES INC / CUSIP: 001204106 / Symbol: GAS							
04/01/13	5.000	208.39	03/22/11	196.75	...	11.64	Sale
05/28/13	1.000	42.37	03/22/11	39.35	...	3.02	Sale
	Security total:	250.76		236.10	0.00	14.66	
AT&T INC / CUSIP: 00206R102 / Symbol: T							
04/01/13	4.000	148.71	03/22/11	112.60	...	36.11	Sale
10/09/13	4.000	135.79	03/22/11	112.60	...	23.19	Sale
	Security total:	284.50		225.20	0.00	59.30	
ALTRIA GROUP INC / CUSIP: 02209S103 / Symbol: MO							
04/01/13	4.000	137.11	03/22/11	101.92	—	35.19	Sale
05/28/13	3.000	110.84	03/22/11	76.44	—	34.40	Sale
10/09/13	2.000	69.07	03/22/11	50.96	—	18.11	Sale
	Security total:	317.02		229.32	0.00	87.70	
AMERICAN EXPRESS CO / CUSIP: 025816109 / Symbol: AXP							
05/28/13	3.000	228.83	03/26/11	152.55	...	76.28	Sale
10/09/13	1.000	72.49	05/26/11	50.85	...	21.64	Sale
	Security total:	301.32		203.40	0.00	97.92	
AMERICAN FINL GROUP INC OHIO / CUSIP: 025932104 / Symbol: AFG							
04/01/13	1.000	47.27	03/22/11	34.64	...	12.63	Sale
05/28/13	2.000	97.69	03/22/11	69.28	...	28.41	Sale
	Security total:	144.96		103.92	0.00	41.04	
AMERICAN INTL GROUP INC COM NEW / CUSIP: 026874784 / Symbol: AIG							
	2 tax lots for 11/04/13.						
	1.000	*49.12*	*10/11/12*	*35.73*	...	*13.39*	*Sale*
	6.000	*294.71*	*10/11/12*	*214.38*	..	*80.33*	*Sale*
11/04/13	7.000	343.83	VARIOUS	250.11	0.00	93.72	Total of 2 lots

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. — Account A810750438

2013

Proceeds Not Reported to the IRS
(continued)

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B

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

Date of Sale or exchange	Quantity	Proceeds of# stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional Information
AMERICAN TOWER CORP NEW REIT / CUSIP: 03027X100 / Symbol: AMT							
04/01/13	1.000	77.52	03/22/11	48.33	...	29.19	Sale
05/28/13	1.000	81.34	03/22/11	48.33	...	33.01	Sale
08/14/13	3.000	209.03	03/22/11	144.99	...	64.04	Sale
Security total:		367.89		241.65	0.00	126.24	
AMERISOURCEBERGEN CORP / CUSIP: 03073E105 / Symbol: ABC							
10/09/13	1.000	61.19	09/14/12	37.41	...	23.78	Sale
10/23/13	12.000	766.06	09/14/12	448.96	...	317.10	Sale
Security total:		827.25		486.37	0.00	340.88	
APPLE INC / CUSIP: 037833100 / Symbol: AAPL							
01/17/13	1.000	504.59	03/22/11	340.19	...	164.40	Sale
01/28/13	1.000	450.33	03/22/11	340.19	...	110.14	Sale
04/01/13	1.000	433.35	03/22/11	340.19	...	93.16	Sale
04/09/13	1.000	426.21	03/22/11	340.19	...	86.02	Sale
Security total:		1,814.48		1,360.76	0.00	453.72	
APPLIED MATLS INC / CUSIP: 038222105 / Symbol: AMAT							
04/01/13	7.000	93.59	03/22/11	106.05	...	-12.46	Sale
05/28/13	6.000	88.79	03/22/11	90.90	...	-2.11	Sale
10/09/13	3.000	52.25	03/22/11	45.45	...	6.80	Sale
Security total:		234.63		242.40	0.00	-7.77	
ASHLAND INC NEW / CUSIP: 044209104 / Symbol: ASH							
05/28/13	1.000	89.34	04/09/12	59.69	...	29.65	Sale
BOK FINL CORP COM NEW / CUSIP: 05561Q201 / Symbol: BOKF							
04/01/13	1.000	62.14	03/22/11	51.69	...	10.45	Sale
05/28/13	1.000	64.98	03/22/11	51.69	...	13.29	Sale
Security total:		127.12		103.38	0.00	23.74	
BIOGEN IDEC INC / CUSIP: 09062X103 / Symbol: BIIB							
04/01/13	1.000	192.28	03/28/12	124.83	...	67.45	Sale
06/04/13	3.000	658.56	03/22/12	361.35	...	297.21	Sale

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc.

Proceeds Not Reported to the IRS
(continued)

Account A810750438

2013

LONG-TERM TRANSACTIONS ***NOT reported on Form 1099-B***

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

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
BIOGEN IDEC INC / CUSIP: 09062X103 / Symbol: BIIB (cont'd)							
	2 tax lots for 06/06/13.						
	1.000	*218.20*	*03/28/12*	*124.83*	...	*93.37*	*Sale*
	1.000	*218.20*	*04/11/12*	*126.12*	...	*92.08*	*Sale*
06/06/13	2.000	436.40	VARIOUS	250.95	0.00	185.45	Total of 2 lots
08/14/13	1.000	212.10	04/11/12	126.12	...	85.97	Sale
	Security total:	1,499.34		883.25	0.00	636.08	
BLACKROCK INC / CUSIP: 09247X101 / Symbol: BLK							
02/01/13	15.000	3,541.55	10/28/11	2,549.97	...	991.58	Sale
BOEING CO / CUSIP: 097023105 / Symbol: BA							
04/01/13	1.000	85.27	08/11/11	59.23	...	26.04	Sale
05/28/13	1.000	100.33	12/28/11	73.33	.	27.00	Sale
	Security total:	185.60		132.56	0.00	53.04	
CVS CAREMARK CORPORATION / CUSIP: 126650100 / Symbol: CVS							
04/01/13	2.000	108.91	08/03/11	76.04	...	32.87	Sale
	2 tax lots for 05/21/13.						
	2.000	*119.14*	*08/03/11*	*76.04*	...	*43.10*	*Sale*
	4.000	*238.29*	*08/25/11*	*136.55*	.	*101.74*	*Sale*
05/21/13	6.000	357.43	VARIOUS	212.59	0.00	144.84	Total of 2 lots
05/28/13	3.000	180.65	08/25/11	102.41	...	78.24	Sale
	4 tax lots for 08/29/13.						
	3.000	*173.91*	*08/25/11*	*102.41*	...	*71.50*	*Sale*
	11.000	*637.69*	*09/08/11*	*407.33*	...	*230.36*	*Sale*
	14.000	*811.60*	*09/18/11*	*508.76*	...	*302.84*	*Sale*
	6.000	*347.83*	*08/22/12*	*273.89*	...	*73.94*	*Sale*
08/29/13	34.000	1,971.03	VARIOUS	1,292.39	0.00	678.64	Total of 4 lots
	Security total:	2,618.02		1,683.43	0.00	934.59	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. — **Proceeds Not Reported to the IRS** (continued) — Account A810750438

2013

LONG-TERM TRANSACTIONS *NOT reported on Form 1099-B*

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

Description / CUSIP / Symbol Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
CAPITAL ONE FINL CORP / CUSIP: 14040H105 / Symbol: COF							
	2 tax lots for 01/23/13.						
	7.000	*393.32*	*09/16/11*	*298.44*	...	*94.88*	*Sale*
	5.000	*280.94*	*10/12/11*	*220.20*	...	*60.74*	*Sale*
01/23/13	12.000	674.26	VARIOUS	518.64	0.00	156.62	Total of 2 lots
	2 tax lots for 02/13/13.						
	3.000	*165.79*	*10/12/11*	*132.12*	...	*33.67*	*Sale*
	4.000	*221.05*	*02/03/12*	*197.15*	...	*23.90*	*Sale*
02/13/13	7.000	386.84	VARIOUS	329.27	0.00	57.57	Total of 2 lots
Security total:		1,061.10		847.91	0.00	213.19	
CARLISLE COS INC / CUSIP: 142339100 / Symbol: CSL							
05/28/13	1.000	66.72	03/22/11	43.02	...	23.70	Sale
12/31/13	4.000	317.06	03/22/11	172.08	...	144.98	Sale
Security total:		383.78		215.10	0.00	168.68	
CENTURYLINK INC / CUSIP: 156700106 / Symbol: CTL							
02/20/13	80.000	2,720.37	03/22/11	3,273.59	...	-553.22	Sale
CHEVRON CORP NEW / CUSIP: 166764100 / Symbol: CVX							
04/01/13	1.000	119.51	03/22/11	105.64	...	13.87	Sale
05/28/13	1.000	126.06	03/22/11	105.64	...	20.42	Sale
Security total:		245.57		211.28	0.00	34.29	
CITIGROUP INC COM NEW / CUSIP: 172967424 / Symbol: C							
04/01/13	7.000	307.64	11/01/11	208.91	...	98.73	Sale
05/28/13	4.000	205.35	11/01/11	119.37	...	85.98	Sale
	2 tax lots for 06/24/13.						
	11.000	*503.78*	*03/15/12*	*399.96*	...	*103.82*	*Sale*
	3.000	*137.39*	*04/18/12*	*105.81*	...	*31.58*	*Sale*
06/24/13	14.000	641.17	VARIOUS	505.77	0.00	135.40	Total of 2 lots
10/09/13	2.000	96.41	04/18/12	70.54	...	25.87	Sale
Security total:		1,250.57		904.59	0.00	345.98	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. | Account A81075C

Proceeds Not Reported to the IRS

2013 | (continued)

LONG-TERM TRANSACTIONS *NOT reported on Form 1099-B*
Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional ir
CONOCOPHILLIPS / CUSIP: 20825C104 / Symbol: COP							
04/01/13	3.000	181.70	09/28/11	146.52	...	35.18	Sale
05/28/13	3.000	188.48	09/28/11	146.52	...	41.96	Sale
10/09/13	1.000	70.03	09/28/11	48.84	...	21.19	Sale
Security total:		440.21		341.88	0.00	98.33	
DST SYS INC DEL / CUSIP: 233326107 / Symbol: DST							
04/01/13	1.000	70.88	03/22/11	50.60	...	20.28	Sale
05/28/13	1.000	69.01	03/22/11	50.60	...	18.41	Sale
11/26/13	5.000	439.68	04/26/11	241.79	...	197.89	Sale
Security total:		579.57		342.99	0.00	236.58	
DENBURY RES INC COM NEW / CUSIP: 247916208 / Symbol: DNR							
04/01/13	4.000	73.07	08/16/11	62.84	...	10.23	Sale
05/28/13	4.000	74.03	08/16/11	62.84	...	11.19	Sale
Security total:		147.10		125.68	0.00	21.42	
DISNEY WALT CO COM DISNEY / CUSIP: 254687106 / Symbol: DIS							
04/01/13	1.000	56.60	03/22/11	41.49	...	15.11	Sale
05/17/13	10.000	663.27	03/22/11	414.90	...	248.37	Sale
05/28/13	1.000	66.56	03/22/11	41.49	...	25.07	Sale
Security total:		786.43		497.88	0.00	288.55	
E M C CORP MASS / CUSIP: 268648102 / Symbol: EMC							
04/01/13	2.000	47.35	10/20/11	47.82	...	-0.47	Sale
04/12/13	9.000	207.98	10/25/11	215.73	...	-7.75	Sale
05/28/13	1.000	23.74	10/25/11	23.97	...	-0.23	Sale
3 tax lots for 10/24/13.							
	4.000	*94.84*	*10/25/11*	*95.88*	...	*-1.04*	*Sale*
	14.000	*331.93*	*09/11/12*	*384.02*	...	*-52.09*	*Sale*
	18.000	*426.77*	*09/19/12*	*499.14*	...	*-72.37*	*Sale*
10/24/13	36.000	853.54	VARIOUS	979.04	0.00	-125.50	Total of 3 lots
Security total.		1,132.61		1,266.56	0.00	-133.95	
EAGLE SER SMALL CAP GROWTH FD A / CUSIP: 269858106 / Symbol: HRSCX							
04/01/13	53.222	2,474.82	03/22/11	2,101.74	...	373.08	Sale

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. Account A810750438

Proceeds Not Reported to the IRS

2013 (continued)

LONG-TERM TRANSACTIONS ***NOT reported on Form 1099-B***

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

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of# stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
EAGLE SER SMALL CAP GROWTH FD A / CUSIP: 269858106 / Symbol: HRSCX (cont'd)							
05/28/13	48.368	2,387.93	03/22/11	1,910.05	...	477.88	Sale
10/09/13	20.404	1,061.21	03/22/11	805.75	...	255.46	Sale
	Security total:	5,923.96		4,817.54	0.00	1,106.42	
EBAY INC / CUSIP: 278642103 / Symbol: EBAY							
	2 tax lots for 07/19/13.						
	11.000	*576.38*	*05/29/12*	*454.75*	...	*121.64*	*Sale*
	3.000	*157.20*	*06/04/12*	*117.12*	...	*40.08*	*Sale*
07/19/13	14.000	733.58	VARIOUS	571.87	0.00	161.72	Total of 2 lots
10/18/13	3.000	156.77	06/04/12	117.12	...	39.65	Sale
	Security total:	890.35		688.99	0.00	201.37	
ENTERGY CORP NEW / CUSIP: 29364G103 / Symbol: ETR							
10/09/13	6.000	386.57	06/22/12	400.54	...	-13.97	Sale
EXELIS INC / CUSIP: 30162A108 / Symbol: XLS							
04/01/13	5.000	54.44	01/20/12	50.21	...	4.23	Sale
05/28/13	4.000	48.11	01/20/12	40.16	...	7.95	Sale
11/01/13	17.000	266.48	01/20/12	170.70	...	95.78	Sale
	Security total:	369.03		261.07	0.00	107.96	
EXPRESS SCRIPTS HLDG CO / CUSIP: 30219G108 / Symbol: ESRX							
04/01/13	1.000	57.68	03/22/11	53.15	...	4.53	Sale
05/28/13	2.000	126.99	03/22/11	106.30	...	20.69	Sale
	2 tax lots for 09/24/13.						
	2.000	*123.70*	*03/22/11*	*106.30*	...	*17.40*	*Sale*
	3.000	*185.54*	*08/03/11*	*153.36*	...	*32.19*	*Sale*
09/24/13	5.000	309.24	VARIOUS	259.66	0.00	49.59	Total of 2 lots
	3 tax lots for 10/28/13.						
	1.000	*61.72*	*08/03/11*	*51.12*	...	*10.60*	*Sale*
	2.000	*123.43*	*08/03/11*	*102.24*	...	*21.19*	*Sale*
	3.000	*185.15*	*02/08/12*	*151.29*	...	*33.86*	*Sale*
10/28/13	6.000	370.30	VARIOUS	304.65	0.00	65.65	Total of 3 lots
	Security total:	864.21		723.76	0.00	140.46	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital charges.

Oppenheimer & Co. Inc. | Account A810750438

2013

Proceeds Not Reported to the IRS
(continued)

LONG-TERM TRANSACTIONS *NOT reported on Form 1099-B*

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

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of# stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
EXXON MOBIL CORP / CUSIP: 30231G102 / Symbol: XOM							
	2 tax lots for 04/01/13						
	2.000	*181.59*	*04/05/11*	*171.56*	—	*10.03*	*Sale*
	1.000	*90.79*	*04/07/11*	*85.50*	—	*5.29*	*Sale*
04/01/13	3.000	272.38	VARIOUS	257.06	0.00	15.32	Total of 2 lots
	2 tax lots for 04/19/13						
	3.000	*261.21*	*04/05/11*	*257.34*	...	*3.87*	*Sale*
	5.000	*435.35*	*04/07/11*	*427.50*	..	*7.85*	*Sale*
04/19/13	8.000	696.56	VARIOUS	684.84	0.00	11.72	Total of 2 lots
04/25/13	4.000	353.98	04/07/11	342.00	—	11.98	Sale
	Security total:	1,322.92		1,283.90	0.00	39.02	
FIFTH THIRD BANCORP / CUSIP: 316773100 / Symbol: FITB							
10/09/13	1.000	17.76	06/18/12	13.01	—	4.75	Sale
FULTON FINL CORP PA / CUSIP: 360271100 / Symbol: FULT							
04/01/13	6.000	69.05	03/22/11	65.56	--	3.49	Sale
05/28/13	4.000	46.67	03/22/11	43.71	--	2.96	Sale
	Security total:	115.72		109.27	0.00	6.45	
WHV INTL EQUITY FUND CLASS A OPEN END / CUSIP: 360873871 / Symbol: WHVAX							
04/01/13	96.546	1,964.71	03/22/11	2,077.67	..	-112.96	Sale
05/28/13	89.556	1,867.24	03/22/11	1,927.25		-60.01	Sale
10/09/13	35.579	743.25	03/22/11	765.66	.	-22.41	Sale
	Security total:	4,575.20		4,770.58	0.00	-195.38	
GENERAL ELECTRIC CO / CUSIP: 369604103 / Symbol: GE							
03/05/13	13.000	307.31	12/22/11	234.52	..	72.79	Sale
04/01/13	7.000	161.49	10/26/11	114.83	..	46.66	Sale
04/17/13	14.000	318.35	12/22/11	252.56	...	65.79	Sale
05/28/13	11.000	259.81	10/26/11	180.45	...	79.36	Sale
10/09/13	2.000	47.31	10/26/11	32.81	...	14.50	Sale
	Security total:	1,094.27		815.17	0.00	279.10	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. Account A810750438

2013

Proceeds Not Reported to the IRS
(continued)

LONG-TERM TRANSACTIONS *NOT reported on Form 1099-B*

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

Date of Sale or exchange	Quantity	Proceeds of# stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
Description / CUSIP / Symbol							
GENERAL MTRS CO / CUSIP: 37045V100 / Symbol: GM							
01/17/13	10 000	294.83	01/09/12	229 77	...	65.06	Sale
04/01/13	4.000	111.11	01/27/12	97.60	...	13.51	Sale
04/10/13	3.000	85.04	01/27/12	73.20	...	11.84	Sale
Security total:		490.98		400.57	0.00	90.41	
GILEAD SCIENCES INC / CUSIP: 375558103 / Symbol: GILD							
2 tax lots for 04/01/13.							
	1.000	*47 95*	*12/06/11*	*20.00*	...	*27 95*	*Sale*
	1.000	*47.95*	*12/06/11*	*20.00*	-	*27.95*	*Sale*
04/01/13	2.000	95.90	VARIOUS	40.00	0 00	55.90	Total of 2 lots
05/28/13	3.000	167.51	02/08/12	81 48	...	86.03	Sale
3 tax lots for 06/04/13							
	2.000	*104.64*	*02/08/12*	*54.32*	...	*50.33*	*Sale*
	5 000	*261.61*	*02/08/12*	*135.79*	...	*125.81*	*Sale*
	5 000	*261.61*	*04/13/12*	*114.68*	...	*146.93*	*Sale*
06/04/13	12.000	627.86	VARIOUS	304.79	0.00	323.07	Total of 3 lots
06/06/13	6.000	303.88	04/13/12	137.61	...	166.27	Sale
10/09/13	4.000	237.91	04/13/12	91.74	...	146.17	Sale
Security total:		1,433.06		655.62	0.00	777.44	
GOLDMAN SACHS GROUP INC / CUSIP: 38141G104 / Symbol: GS							
10/24/13	2.000	320.25	10/16/12	246.62	...	73.63	Sale
GOOGLE INC CL A / CUSIP: 38259P508 / Symbol: GOOG							
10/09/13	1 000	854.97	08/31/11	540.79	...	314 18	Sale
GREAT PLAINS ENERGY INC / CUSIP: 391164100 / Symbol: GXP							
04/01/13	2.000	45.97	03/22/11	38.70	...	7.27	Sale
05/28/13	2.000	45.39	03/22/11	38.70	...	6.69	Sale
Security total:		91.36		77.40	0.00	13.96	
GREIF INC CL A / CUSIP: 397624107 / Symbol: GEF							
03/15/13	5.000	261.14	08/09/11	247.90	---	13.24	Sale
04/01/13	1 000	53.75	09/02/11	50.00	---	3.75	Sale

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. | Account: A810750438

2013

Proceeds Not Reported to the IRS
(continued)

LONG-TERM TRANSACTIONS *NOT reported on Form 1099-B*

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

Date of Sale or exchange	Quantity	Proceeds of# stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
Description / CUSIP / Symbol							
GREIF INC CL A / CUSIP: 397624107 / Symbol: GEF (cont'd)							
05/28/13	1.000	51.30	08/09/11	49.58	...	1.72	Sale
07/10/13	4.000	216.36	09/02/11	200.00	...	16.36	Sale
Security total:		582.55		547.48	0.00	35.07	
HALLIBURTON CO / CUSIP: 406216101 / Symbol: HAL							
10/09/13	1.000	48.86	08/09/12	35.14	...	13.72	Sale
HOME DEPOT INC / CUSIP: 437076102 / Symbol: HD							
04/01/13	2.000	139.53	10/20/11	71.59	...	67.94	Sale
10/23/13	6.000	450.38	10/20/11	214.76	...	235.62	Sale
Security total:		589.91		286.35	0.00	303.56	
INTEL CORP / CUSIP: 458140100 / Symbol: INTC							
04/01/13	5.000	106.99	03/22/11	100.39	...	6.60	Sale
05/28/13	15.000	361.04	03/22/11	301.16	...	59.88	Sale
10/09/13	3.000	67.82	03/22/11	60.23	...	7.59	Sale
Security total:		535.85		461.78	0.00	74.07	
INTERNATIONAL BUSINESS MACHS / CUSIP: 459200101 / Symbol: IBM							
01/17/13	2.000	387.43	03/22/11	316.02	...	71.41	Sale
04/01/13	1.000	212.19	03/22/11	158.01	...	54.18	Sale
05/22/13	1.000	206.97	03/22/11	158.01	...	48.96	Sale
07/22/13	1.000	194.18	03/22/11	158.01	...	36.17	Sale
08/08/13	1.000	187.64	03/22/11	158.01	...	29.63	Sale
Security total:		1,188.41		948.06	0.00	240.35	
INTERNATIONAL FLAVORS&FRAGRANC / CUSIP: 459506101 / Symbol: IFF							
04/01/13	1.000	75.46	11/28/11	53.16	...	22.30	Sale
05/16/13	7.000	570.59	11/28/11	372.15	...	198.44	Sale
Security total:		646.05		425.31	0.00	220.74	
IVY ASSET STRATEGY FD A OPEN END / CUSIP: 466000759 / Symbol: WASAX							
04/01/13	43.402	1,169.25	03/22/11	1,066.82	...	102.43	Sale
05/28/13	40.440	1,136.77	03/22/11	994.02	...	142.75	Sale
10/09/13	16.584	484.42	03/22/11	407.63	...	76.79	Sale
Security total:		2,790.44		2,468.47	0.00	321.97	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes

Oppenheimer & Co. Inc. — Account A810750438

2013

Proceeds Not Reported to the IRS
(continued)

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B
Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
JPMORGAN CHASE & CO COM / CUSIP: 46625H100 / Symbol: JPM							
04/01/13	4.000	191.67	06/28/11	157.79	...	33.88	Sale
05/28/13	8.000	434.23	06/28/11	315.58	...	118.65	Sale
09/20/13	8.000	423.67	06/28/11	315.58	...	108.09	Sale
10/09/13	1.000	51.00	06/28/11	39.45	...	11.55	Sale
10/24/13	14.000	734.84	06/28/11	552.27	...	182.57	Sale
Security total:		1,835.41		1,380.67	0.00	454.74	
JOHNSON & JOHNSON / CUSIP: 478160104 / Symbol: JNJ							
04/01/13	2.000	163.71	03/22/11	117.66	...	46.05	Sale
05/28/13	3.000	262.34	03/22/11	176.49	...	85.85	Sale
10/09/13	1.000	86.15	03/22/11	58.83	...	27.32	Sale
Security total:		512.20		352.98	0.00	159.22	
KOHLS CORP / CUSIP 500255104 / Symbol: KSS							
01/11/13	13.000	546.39	09/29/11	627.38	...	-78.99	Sale
KRAFT FOODS GROUP INC / CUSIP: 50076Q106 / Symbol: KRFT							
03/05/13	3.000	147.92	12/22/11	107.54	...	40.38	Sale
2 tax lots for 05/03/13.							
	1.000	*53.10*	*12/22/11*	*35.85*	...	*17.25*	*Sale*
	3.000	*159.32*	*01/18/12*	*121.91*	...	*37.41*	*Sale*
05/03/13	4.000	212.42	VARIOUS	157.76	0.00	54.67	Total of 2 lots
Security total:		360.34		265.30	0.00	95.05	
KROGER CO / CUSIP: 501044101 / Symbol: KR							
03/14/13	11.000	345.39	03/22/11	259.38	...	86.01	Sale
04/01/13	1.000	32.60	03/22/11	23.58	...	9.02	Sale
05/28/13	2.000	68.91	03/22/11	47.16	...	21.75	Sale
07/29/13	10.000	398.25	03/22/11	235.80	...	162.45	Sale
Security total:		845.15		565.92	0.00	279.23	
LAS VEGAS SANDS CORP / CUSIP: 517834107 / Symbol: LVS							
04/01/13	1.000	55.37	03/02/12	56.64	...	-1.27	Sale
05/28/13	1.000	58.72	03/02/12	56.64	...	2.08	Sale
10/09/13	1.000	65.23	03/02/12	56.64	...	8.59	Sale
Security total:		179.32		169.92	0.00	9.40	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc. | **Proceeds Not Reported to the IRS** (continued) | Account A810750438

2013

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B

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

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
Description / CUSIP / Symbol							
LENDER PROCESSING SVCS INC / CUSIP: 52602E102 / Symbol: LPS							
04/01/13	3.000	75.02	03/22/11	97.56	...	-22.54	Sale
05/28/13	8.000	267.75	03/22/11	260.16	...	7.59	Sale
10/30/13	23.000	789.17	07/13/11	467.86	...	321.31	Sale
	2 tax lots for 11/15/13.						
	2.000	*68.76*	*07/13/11*	*40.68*	...	*28.08*	*Sale*
	10.000	*343.83*	*11/12/12*	*242.80*	...	*101.03*	*Sale*
11/15/13	12.000	412.59	VARIOUS	283.48	0.00	129.11	Total of 2 lots
Security total:		1,544.53		1,109.06	0.00	435.47	
LORD ABBETT INVT TR TOTAL RETURN A / CUSIP: 543916845 / Symbol: LTRAX							
04/01/13	433.519	4,660.33	03/22/11	4,647.32	...	13.01	Sale
05/28/13	410.965	4,380.89	03/22/11	4,405.54	...	-24.65	Sale
10/09/13	155.570	1,607.04	03/22/11	1,667.71	...	-60.67	Sale
Security total:		10,648.26		10,720.57	0.00	-72.31	
LOWES COS INC / CUSIP: 548661107 / Symbol: LOW							
08/21/13	55.000	2,515.58	08/02/12	1,366.31	.	1,149.27	Sale
MACK CALI RLTY CORP REIT / CUSIP: 554489104 / Symbol: CLI							
05/28/13	5.000	135.10	02/09/12	143.46	...	-8.36	Sale
	2 tax lots for 10/30/13.						
	3.000	*61.88*	*02/09/12*	*86.08*	...	*-24.20*	*Sale*
	24.000	*495.11*	*02/09/12*	*688.61*	...	*-193.50*	*Sale*
10/30/13	27.000	556.99	VARIOUS	774.69	0.00	-217.70	Total of 2 lots
Security total:		692.09		918.15	0.00	-226.06	
MCDONALDS CORP / CUSIP: 580135101 / Symbol: MCD							
10/09/13	1.000	93.40	06/14/12	89.08	...	4.32	Sale
MERCK & CO INC NEW / CUSIP: 58933Y105 / Symbol: MRK							
04/01/13	5.000	221.29	05/19/11	186.32	...	34.97	Sale
05/28/13	4.000	190.51	05/19/11	149.06	...	41.45	Sale
10/09/13	1.000	47.48	05/19/11	37.26	...	10.22	Sale
11/27/13	77.000	3,834.61	05/19/11	2,869.32	...	965.29	Sale
Security total:		4,293.89		3,241.96	0.00	1,051.93	

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes

Oppenheimer & Co. Inc. | Account A810750438

2013

Proceeds Not Reported to the IRS
(continued)

LONG-TERM TRANSACTIONS *NOT reported on Form 1099-B*
Report on Form 8949, Part II, with Box E checked

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
MERGER FUND-SBI OPEN END SBI/CBI / CUSIP: 589509108 / Symbol: MERFX							
04/01/13	85.719	1,042.96	03/22/11	1,055.45	...	-12.49	Sale
05/28/13	62.172	992.89	03/22/11	998.48	...	-5.59	Sale
10/09/13	25.529	412.55	03/22/11	410.00	...	2.55	Sale
	Security total:	2,448.40		2,463.93	0.00	-15.53	
METLIFE INC / CUSIP: 59156R108 / Symbol: MET							
10/09/13	2.000	92.99	06/14/12	58.24	...	34.75	Sale
MID-AMER APT CMNTYS INC REIT / CUSIP: 59522J103 / Symbol: MAA							
05/28/13	1.000	71.04	10/03/11	57.56	...	13.48	Sale
MOLEX INC CL A / CUSIP: 608554200 / Symbol: MOLXA							
04/01/13	1.000	23.90	03/22/11	20.32	...	3.58	Sale
05/28/13	2.000	49.21	03/22/11	40.64	...	8.57	Sale
08/21/13	10.000	246.85	03/22/11	203.20	...	43.65	Sale
09/10/13	30.000	1,148.68	03/22/11	609.60	...	539.08	Sale
	Security total:	1,468.64		873.76	0.00	594.88	
MOLSON COORS BREWING CO CL B / CUSIP: 60871R209 / Symbol: TAP							
04/01/13	3.000	154.94	07/14/11	133.59	...	21.35	Sale
05/28/13	2.000	102.97	07/14/11	89.06	...	13.91	Sale
10/09/13	1.000	50.06	07/14/11	44.53	...	5.53	Sale
	Security total:	307.97		267.18	0.00	40.79	
MONDELEZ INTL INC CL A / CUSIP: 609207105 / Symbol: MDLZ							
	3 tax lots for 02/15/13.						
	1.000	*26.64*	*09/08/11*	*35.16*	...	*-8.52*	*Sale*
	11.000	*293.14*	*12/22/11*	*267.13*	...	*26.01*	*Sale*
	9.000	*239.84*	*01/19/12*	*227.12*	...	*12.72*	*Sale*
02/15/13	21.000	559.62	VARIOUS	529.41	0.00	30.21	Total of 3 lots
NII HLDGS INC CL B NEW / CUSIP: 62913F201 / Symbol: NIHD							
	3 tax lots for 02/06/13.						
	10.000	*58.24*	*06/07/11*	*411.96*	...	*-353.72*	*Sale*

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Oppenheimer & Co. Inc. | Account A810750438

Proceeds Not Reported to the IRS

2013 (continued)

LONG-TERM TRANSACTIONS *NOT reported on Form 1099-B*

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

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
NII HLDGS INC CL B NEW / CUSIP: 62913F201 / Symbol: NIHD (cont'd)							
	10.000	*58.24*	*10/11/11*	*253.90*	...	*-195.66*	*Sale*
	14.000	*81.54*	*10/31/11*	*328.06*	...	*-246.52*	*Sale*
02/06/13	34.000	198.02	VARIOUS	993.92	0.00	-795.90	Total of 3 lots
NEWS CORP CL A / CUSIP: 65248E104 / Symbol:							
02/11/13	15.000	422.99	08/16/11	256.30	...	166.69	Sale
04/01/13	3.000	90.80	08/16/11	51.26	...	39.54	Sale
05/28/13	4.000	132.59	08/16/11	68.35	...	64.24	Sale
Security total:		646.38		375.91	0.00	270.47	
NEWS CORP NEW CL A / CUSIP: 65249B109 / Symbol: NWSA							
10/09/13	1.000	15.87	08/16/11	8.80	...	7.07	Sale
NUCOR CORP / CUSIP: 670346105 / Symbol: NUE							
04/01/13	3.000	135.26	03/22/11	136.29	...	-1.03	Sale
05/28/13	2.000	92.15	03/22/11	90.86	...	1.29	Sale
10/09/13	1.000	47.76	03/22/11	45.43	...	2.33	Sale
Security total:		275.17		272.58	0.00	2.59	
OMNICOM GROUP INC / CUSIP: 681919106 / Symbol: OMC							
03/28/13	8.000	353.94	03/22/11	284.64	...	69.30	Sale
05/28/13	1.000	63.28	03/22/11	47.44	...	15.84	Sale
	2 tax lots for 12/04/13.						
	3.000	*208.34*	*03/22/11*	*142.32*	...	*66.02*	*Sale*
	3.000	*208.34*	*09/26/11*	*112.89*	...	*95.45*	*Sale*
12/04/13	6.000	416.68	VARIOUS	255.21	0.00	161.47	Total of 2 lots
Security total:		833.90		587.29	0.00	246.81	
PNC FINL SVCS GROUP INC / CUSIP: 693475105 / Symbol: PNC							
04/01/13	3.000	197.39	08/02/11	160.91	...	36.48	Sale
05/28/13	3.000	212.96	08/02/11	160.91	...	52.05	Sale
07/25/13	34.000	2,579.70	08/02/11	1,823.69	...	756.01	Sale
Security total:		2,990.05		2,145.51	0.00	844.54	

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Oppenheimer & Co. Inc. — Account A810750438

Proceeds Not Reported to the IRS
(continued)

2013

LONG-TERM TRANSACTIONS ***NOT reported on Form 1099-B***

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

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of* stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
PPL CORP / CUSIP: 69351T106 / Symbol: PPL							
04/01/13	5.000	156.49	09/07/11	141.85	...	14.64	Sale
05/10/13	93.000	2,944.37	09/07/11	2,638.47	...	305.90	Sale
	Security total:	3,100.86		2,780.32	0.00	320.54	
PATTERSON COMPANIES INC / CUSIP: 703395103 / Symbol: PDCO							
04/01/13	1.000	37.80	03/22/11	31.33	...	6.47	Sale
05/28/13	2.000	79.39	03/22/11	62.66	...	16.73	Sale
08/15/13	5.000	208.29	03/22/11	156.65	...	51.64	Sale
	Security total:	325.48		250.64	0.00	74.84	
PEOPLES UNITED FINANCIAL INC / CUSIP: 712704105 / Symbol: PBCT							
04/01/13	5.000	66.64	04/15/11	64.81	...	1.83	Sale
05/28/13	4.000	55.43	04/15/11	51.85	...	3.58	Sale
07/29/13	21.000	318.98	04/15/11	272.19	...	46.79	Sale
	Security total:	441.05		388.85	0.00	52.20	
PEPSICO INC / CUSIP: 713448108 / Symbol: PEP							
04/01/13	2.000	158.19	03/22/11	128.00	...	30.19	Sale
05/28/13	1.000	82.35	03/22/11	64.00	...	18.35	Sale
10/09/13	1.000	79.72	03/22/11	64.00	...	15.72	Sale
	Security total:	320.26		256.00	0.00	64.26	
PERKINELMER INC / CUSIP: 714046109 / Symbol: PKI							
	2 tax lots for 01/30/13.						
	2.000	*69.99*	*03/22/11*	*51.36*	...	*18.63*	*Sale*
	3.000	*104.99*	*08/04/11*	*65.28*	...	*39.71*	*Sale*
01/30/13	5.000	174.98	VARIOUS	116.64	0.00	58.34	Total of 2 lots
04/01/13	1.000	33.33	08/04/11	21.76	...	11.57	Sale
05/28/13	1.000	31.97	08/04/11	21.76	...	10.21	Sale
	Security total:	240.28		160.16	0.00	80.12	
PFIZER INC / CUSIP: 717081103 / Symbol: PFE							
04/01/13	5.000	143.85	03/22/11	99.25	...	44.60	Sale

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Oppenheimer & Co. Inc. — Account A810750438

Proceeds Not Reported to the IRS
(continued)

2013

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B
Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional infor
SCHLUMBERGER LTD / CUSIP: 806857108 / Symbol: SLB							
04/01/13	2.000	148.09	03/22/11	177.18	...	-29.09	Sale
05/28/13	1.000	75.57	03/22/11	88.59	...	-13.02	Sale
10/09/13	1.000	87.34	03/22/11	88.59	...	-1.25	Sale
4 tax lots for 12/23/13.							
	1.000	*87.39*	*03/22/11*	*88.59*	...	*-1.20*	*Sale*
	2.000	*174.79*	*03/22/11*	*177.18*	...	*-2.39*	*Sale*
	1.000	*87.39*	*06/07/11*	*84.05*	...	*3.34*	*Sale*
	4.000	*349.58*	*08/05/11*	*326.24*	...	*23.34*	*Sale*
12/23/13	8.000	699.15	VARIOUS	676.06	0.00	23.09	Total of 4 lots
Security total:		1,010.15		1,030.42	0.00	-20.27	
SCHWAB CHARLES CORP NEW / CUSIP: 808513105 / Symbol: SCHW							
04/01/13	5.000	87.24	03/08/12	69.55	...	17.69	Sale
05/28/13	1.000	19.68	03/08/12	13.91	...	5.77	Sale
Security total:		106.92		83.46	0.00	23.46	
SIGMA ALDRICH CORP / CUSIP: 826552101 / Symbol: SIAL							
04/01/13	1.000	76.68	03/22/11	63.31	...	13.37	Sale
05/28/13	1.000	84.97	03/22/11	63.31	...	21.66	Sale
06/03/13	3.000	250.97	03/22/11	189.93	...	61.04	Sale
3 tax lots for 12/23/13.							
	1.000	*91.16*	*03/22/11*	*63.31*	...	*27.85*	*Sale*
	2.000	*182.34*	*03/22/11*	*126.62*	...	*55.72*	*Sale*
	5.000	*455.84*	*08/16/11*	*318.74*	...	*137.10*	*Sale*
12/23/13	8.000	729.34	VARIOUS	508.67	0.00	220.67	Total of 3 lots
Security total:		1,141.96		825.22	0.00	316.74	
SYNOPSYS INC / CUSIP: 871607107 / Symbol: SNPS							
04/01/13	3.000	106.13	01/17/12	84.06	...	22.07	Sale
05/28/13	2.000	72.01	01/17/12	56.04	...	15.97	Sale
Security total:		178.14		140.10	0.00	38.04	
TD AMERITRADE HLDG CORP / CUSIP: 87236Y108 / Symbol: AMTD							
04/01/13	3.000	60.98	03/22/11	62.28	...	-1.30	Sale

Proceeds are the net sale amount received and may be adjusted for option premiums or specific tax treatment of capital changes.

Oppenheimer & Co. Inc.

Account A810750438

2013

Proceeds Not Reported to the IRS

(continued)

LONG-TERM TRANSACTIONS *NOT reported on Form 1099-B*

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

Description / CUSIP / Symbol Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
TD AMERITRADE HLDG CORP / CUSIP: 87236Y108 / Symbol: AMTD (cont'd)							
05/28/13	3.000	70.13	03/22/11	62.28	...	7.35	Sale
06/03/13	20.000	460 99	03/22/11	415.20	.	45.79	Sale
	2 tax lots for 07/16/13.						
	15.000	*386.89*	*03/22/11*	*311.40*	...	*75.49*	*Sale*
	20.000	*515.85*	*07/28/11*	*372.20*	...	*143.65*	*Sale*
07/16/13	35.000	902.74	VARIOUS	683.60	0.00	219.14	Total of 2 lots
Security total:		1,494.84		1,223.36	0.00	271 48	
TARGET CORP / CUSIP: 87612E106 / Symbol: TGT							
04/01/13	3.000	205.70	06/21/11	142.57	...	63.13	Sale
05/28/13	2.000	138.61	06/21/11	95.05	...	43.56	Sale
10/09/13	1.000	62.73	06/21/11	47.52	...	15.21	Sale
Security total:		407.04		285.14	0.00	121.90	
THORNBURG INTL VALUE FD-A OPEN END / CUSIP: 885215657 / Symbol: TGVAX							
04/01/13	89.971	2,519.19	03/22/11	2,574.07	..	-54.88	Sale
05/28/13	86.475	2,538 91	03/22/11	2,474.05	...	64.86	Sale
10/09/13	22.233	655.21	03/22/11	636.09	...	19.12	Sale
Security total:		5,713.31		5,684 21	0.00	29.10	
TIME WARNER CABLE INC / CUSIP: 88732J207 / Symbol: TWC							
05/28/13	2.000	191.57	04/17/12	163.90	...	27.67	Sale
TOTAL S A SPONSORED ADR / CUSIP: 89151E109 / Symbol: TOT							
04/01/13	5.000	240.69	03/22/11	295 90	...	-55.21	Sale
05/28/13	3.000	153.86	03/22/11	177.54	...	-23.68	Sale
10/09/13	2.000	116.37	03/22/11	118 36	...	-1.99	Sale
Security total:		510.92		591.80	0.00	-80 88	
TOWERS WATSON & CO CL A / CUSIP: 891894107 / Symbol: TW							
04/01/13	2.000	137.27	01/03/12	119.96	...	17.31	Sale
08/25/13	6.000	477.65	01/03/12	359.89	...	117.76	Sale
	2 tax lots for 09/16/13.						
	2.000	*185.40*	*01/03/12*	*119.96*	.	*65.43*	*Sale*

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Oppenheimer & Co. Inc.

2013

Proceeds Not Reported to the IRS (continued)

Account A810750438

LONG-TERM TRANSACTIONS *NOT reported on Form 1099-B*

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

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
TOWERS WATSON & CO CL A / CUSIP: 891894107 / Symbol: TW (cont'd)							
	2.000	*185.40*	*02/08/12*	*128.04*	...	*57.35*	*Sale*
09/16/13	4.000	370.80	VARIOUS	248.00	0.00	122.78	Total of 2 lots
	2 tax lots for 09/25/13.						
	3.000	*317.50*	*02/08/12*	*192.06*	...	*125.44*	*Sale*
	7.000	*740.84*	*08/15/12*	*376.81*	...	*364.03*	*Sale*
09/25/13	10.000	1,058.34	VARIOUS	568.87	0.00	489.47	Total of 2 lots
	Security total:	2,044.06		1,296.72	0.00	747.32	
TRAVELERS COMPANIES INC / CUSIP: 89417E109 / Symbol: TRV							
04/01/13	1.000	83.82	03/22/11	58.49	...	25.33	Sale
05/28/13	2.000	166.02	03/22/11	116.98	...	49.04	Sale
	Security total:	249.84		175.47	0.00	74.37	
TWENTY FIRST CENTY FOX INC CL A / CUSIP: 90130A101 / Symbol: FOXA							
10/09/13	1.000	32.28	08/16/11	15.06	...	17.22	Sale
UNION PAC CORP / CUSIP: 907818108 / Symbol: UNP							
04/01/13	1.000	140.22	03/22/11	94.64	...	45.58	Sale
10/18/13	2.000	304.15	03/22/11	189.28	...	114.87	Sale
	Security total:	444.37		283.92	0.00	160.45	
UNITED PARCEL SERVICE INC CL B / CUSIP: 911312106 / Symbol: UPS							
04/01/13	2.000	168.91	03/22/11	144.28	...	24.63	Sale
05/28/13	1.000	86.44	03/22/11	72.14	...	14.30	Sale
10/09/13	1.000	88.89	03/22/11	72.14	...	16.75	Sale
	Security total:	344.24		288.56	0.00	55.68	
UNITED TECHNOLOGIES CORP / CUSIP: 913017109 / Symbol: UTX							
04/01/13	3.000	278.63	03/22/11	242.10	...	36.53	Sale
05/28/13	1.000	95.71	03/22/11	80.70	...	15.01	Sale
	2 tax lots for 10/09/13.						
	1.000	*102.97*	*03/22/11*	*80.70*	...	*22.27*	*Sale*

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Oppenheimer & Co. Inc. Account A810750438

2013

Proceeds Not Reported to the IRS
(continued)

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B
Report on Form 8949, Part II, with Box F checked

Description / CUSIP / Symbol Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
UNITED TECHNOLOGIES CORP / CUSIP: 913017109 / Symbol: UTX (cont'd)							
	2.000	*205.93*	*08/16/11*	*145.02*	...	*60.91*	*Sale*
10/09/13	3.000	308.90	VARIOUS	225.72	0.00	83.18	Total of 2 lots
Security total:		683.24		548.52	0.00	134.72	
UNIVERSAL HLTH SVCS INC CL B / CUSIP: 913903100 / Symbol: UHS							
10/09/13	5.000	381.13	07/02/12	214.40	...	166.73	Sale
VALASSIS COMMUNICATIONS INC / CUSIP: 918866104 / Symbol: VCI							
04/01/13	2.000	56.49	05/02/11	56.54	...	-0.05	Sale
2 tax lots for 05/07/13.							
	4.000	*97.86*	*05/02/11*	*113.08*	...	*-15.22*	*Sale*
	13.000	*318.04*	*05/24/11*	*361.23*	...	*-43.19*	*Sale*
05/07/13	17.000	415.90	VARIOUS	474.31	0.00	-58.41	Total of 2 lots
Security total:		472.39		530.85	0.00	-58.46	
VECTREN CORP / CUSIP: 92240G101 / Symbol: VVC							
04/01/13	3.000	105.26	05/25/11	84.24	...	21.02	Sale
04/22/13	10.000	368.73	05/25/11	280.79	...	87.94	Sale
05/28/13	4.000	139.71	05/25/11	112.31	...	27.40	Sale
Security total:		613.70		477.34	0.00	136.36	
WELLS FARGO & CO NEW / CUSIP: 949746101 / Symbol: WFC							
04/01/13	6.000	221.26	03/15/12	203.31	...	17.95	Sale
05/28/13	5.000	202.84	03/15/12	169.42	...	33.42	Sale
07/19/13	4.000	177.51	03/15/12	135.54	...	41.97	Sale
09/25/13	15.000	626.38	03/15/12	508.27	...	118.11	Sale
10/09/13	2.000	80.89	03/15/12	67.77	...	13.12	Sale
Security total:		1,308.88		1,084.31	0.00	224.57	
ZEBRA TECHNOLOGIES CORP CL A / CUSIP: 989207105 / Symbol: ZBRA							
2 tax lots for 01/29/13.							
	10.000	*415.82*	*03/22/11*	*370.30*	...	*45.52*	*Sale*

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Oppenheimer & Co. Inc. Account A810750438

2013

Proceeds Not Reported to the IRS

(continued)

LONG-TERM TRANSACTIONS NOT reported on Form 1099-B

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

Description / CUSIP / Symbol

Date of Sale or exchange	Quantity	Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis	Wash sale loss disallowed	Gain or loss(-)	Additional information
ZEBRA TECHNOLOGIES CORP CL A / CUSIP: 989207105 / Symbol: ZBRA (cont'd)							
	9.000	*374.24*	*09/26/11*	*263.95*	...	*110.29*	*Sale*
01/29/13	19.000	790.06	VARIOUS	634.25	0.00	155.81	Total of 2 lots
ENSCO PLC SHS CLASS A / CUSIP: G3157S106 / Symbol: ESV							
04/01/13	1.000	59.07	10/12/11	44.99	...	14.08	Sale
05/28/13	1.000	62.50	10/12/11	44.99	...	17.51	Sale
	2 tax lots for 08/29/13.						
	3.000	*168.31*	*10/12/11*	*134.97*	...	*33.34*	*Sale*
	5.000	*280.52*	*05/21/12*	*241.02*	...	*39.51*	*Sale*
08/29/13	8.000	448.83	VARIOUS	375.99	0.00	72.85	Total of 2 lots
	Security total:	570.40		465.97	0.00	104.44	
	Totals:	**118,298.52**		**99,919.51**	**0.00**	**18,379.02**	

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