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

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning

and ending

Name of foundation

A Employer identification number

RICHARD C MARQUARDT FAMILY FOUNDATION

MAY 12 2014

23-2896467

Number and street (or P.O. box number if mail is not delivered to street address)

PO BOX 26

B Telephone number

570-563-1140

City or town, state or province, country, and ZIP or foreign postal code

WAVERLY, PA 18471-0026

G Check all that apply

☐

Initial return

☐

Initial return of a former public charity

☐

Final return

☐

Amended return

☐

Address change

☐

Name change

H Check type of organization

☒

Section 501(c)(3) exempt private foundation

☐

Section 4947(a)(1) nonexempt charitable trust

☐

Other taxable private foundation

I Fair market value of all assets at end of year

(from Part II, col (c), line 16)

\$ 1,653,041. (Part I, column (d) must be on cash basis.)

J Accounting method

☒

Cash

☐

Accrual

Other (specify)

C If exemption application is pending, check here

D 1. Foreign organizations, check here

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

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

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

Part I Analysis of Revenue and Expenses

(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a).)

	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received	3,547.		N/A	
2 Check ☒ if the foundation is not required to attach Sch. B				
3 Interest on savings and temporary cash investments	9.	9.		STATEMENT 1
4 Dividends and interest from securities	37,691.	37,691.		STATEMENT 2
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	110,813.			
b Gross sales price for all assets on line 6a	947,660.			
7 Capital gain net income (from Part IV, line 2)		110,813.		
8 Net short-term capital gain				
9 Income modifications				
10a Gross sales less returns and allowances				
b Less Cost of goods sold				
c Gross profit or (loss)				
11 Other income				
12 Total. Add lines 1 through 11	152,060.	148,513.		
13 Compensation of officers, directors, trustees, etc.	0.	0.		0.
14 Other employee salaries and wages				
15 Pension plans, employee benefits				
16a Legal fees STMT 3	1,305.	0.		0.
b Accounting fees STMT 4	4,195.	0.		0.
c Other professional fees				
17 Interest				
18 Taxes STMT 5	2,433.	0.		0.
19 Depreciation and depletion				
20 Occupancy				
21 Travel, conferences, and meetings				
22 Printing and publications				
23 Other expenses STMT 6	16,729.	0.		0.
24 Total operating and administrative expenses. Add lines 13 through 23	24,662.	0.		0.
25 Contributions, gifts, grants paid	73,400.			73,400.
26 Total expenses and disbursements. Add lines 24 and 25	98,062.	0.		73,400.
27 Subtract line 26 from line 12	53,998.			
a Excess of revenue over expenses and disbursements		148,513.		
b Net investment income (if negative, enter -0-)				
c Adjusted net income (if negative, enter -0-)			N/A	

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value		
Assets	1	Cash - non-interest-bearing		63,515.	41,225.	41,225.
	2	Savings and temporary cash investments				
	3	Accounts receivable				
		Less: allowance for doubtful accounts				
	4	Pledges receivable				
		Less: allowance for doubtful accounts				
	5	Grants receivable				
	6	Receivables due from officers, directors, trustees, and other disqualified persons				
	7	Other notes and loans receivable				
		Less: allowance for doubtful accounts				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges		840.	2,200.	2,200.
	10a	Investments - U.S. and state government obligations	STMT 7	323,480.	300,998.	300,401.
	b	Investments - corporate stock	STMT 8	751,965.	855,460.	1,125,130.
	c	Investments - corporate bonds	STMT 9	191,726.	185,641.	184,085.
	11	Investments - land, buildings, and equipment: basis				
	Less: accumulated depreciation					
12	Investments - mortgage loans					
13	Investments - other					
14	Land, buildings, and equipment: basis					
	Less: accumulated depreciation					
15	Other assets (describe)					
16	Total assets (to be completed by all filers - see the instructions. Also, see page 1, item 1)		1,331,526.	1,385,524.	1,653,041.	
Liabilities	17	Accounts payable and accrued expenses				
	18	Grants payable				
	19	Deferred revenue				
	20	Loans from officers, directors, trustees, and other disqualified persons				
	21	Mortgages and other notes payable				
	22	Other liabilities (describe)				
23	Total liabilities (add lines 17 through 22)		0.	0.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ☐					
	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		0.	0.	
28	Paid-in or capital surplus, or land, bldg., and equipment fund		0.	0.		
29	Retained earnings, accumulated income, endowment, or other funds		1,331,526.	1,385,524.		
30	Total net assets or fund balances		1,331,526.	1,385,524.		
31	Total liabilities and net assets/fund balances		1,331,526.	1,385,524.		

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	1,331,526.
2	Enter amount from Part I, line 27a	2	53,998.
3	Other increases not included in line 2 (itemize)	3	0.
4	Add lines 1, 2, and 3	4	1,385,524.
5	Decreases not included in line 2 (itemize)	5	0.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	1,385,524.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a SALES OF SECURITIES - SEE ATTACHED	P		
b			
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 947,660.		836,847.	110,813.
b			
c			
d			
e			

(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
a			110,813.
b			
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	110,813.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) If (loss), enter -0- in Part I, line 8 }	3	N/A

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

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

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

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

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2012	36,520.	1,442,158.	.025323
2011	93,741.	1,461,670.	.064133
2010	103,314.	1,414,845.	.073021
2009	98,762.	1,355,721.	.072848
2008	44,675.	1,575,326.	.028359

2 Total of line 1, column (d)	2	.263684
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	.052737
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	1,522,117.
5 Multiply line 4 by line 3	5	80,272.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	1,485.
7 Add lines 5 and 6	7	81,757.
8 Enter qualifying distributions from Part XII, line 4	8	73,400.

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 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	2,970.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	2,970.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	2,970.
6 Credits/Payments			
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a	2,200.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	2,200.	
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	770.	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10		
11 Enter the amount of line 10 to be credited to 2014 estimated tax ☐ Refunded ☐	11		

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
1c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation ☐ \$ 0. (2) On foundation managers ☐ \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ☐ \$ 0.		
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		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ☐ NONE		
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	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

N/A

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
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		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	13	X	
14	The books are in care of ► DEBRA L. JOHNSON, CPA Telephone no ► 570-563-1140 Located at ► 1310 LACKAWANNA TRAIL, CLARKS SUMMIT, PA ZIP+4 ► 18411			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year ► 15 N/A			
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country ►	16	Yes	No X

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

	Yes	No
1a During the year did the foundation (either directly or indirectly)		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ 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 instructions)? Organizations relying on a current notice regarding disaster assistance check here	N/A	1b
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?		1c X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
a At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? If "Yes," list the years ►	☐ Yes ☒ No	
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions)	N/A	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 ►		
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)	N/A	3b
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a X
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 X

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

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

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

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

N/A

☐ Yes ☐ No

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

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

☐ Yes ☒ No

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

6b

X

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?

N/A

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.

(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
SALLY W. MARQUARDT PO BOX 26 WAVERLY, PA 18471	PRESIDENT & TREASURER 0.00	0.	0.	0.
RICHARD C. MARQUARDT, JR PO BOX 26 WAVERLY, PA 18471	VICE PRESIDENT & SECRETARY 0.00	0.	0.	0.
JUDY GRAZIANO PO BOX 26 WAVERLY, PA 18471	DIRECTOR 0.00	0.	0.	0.

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

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

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

0

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
a	Average monthly fair market value of securities	1a	1,504,405.
b	Average of monthly cash balances	1b	40,891.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	1,545,296.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	1,545,296.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	23,179.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	1,522,117.
6	Minimum investment return. Enter 5% of line 5	6	76,106.

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	76,106.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	2,970.
b	Income tax for 2013 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	2,970.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	73,136.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	73,136.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	73,136.

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	73,400.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	73,400.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	73,400.

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				73,136.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			0.	
b Total for prior years		0.		
3 Excess distributions carryover, if any, to 2013				
a From 2008				
b From 2009				
c From 2010				32,285.
d From 2011				22,275.
e From 2012				
f Total of lines 3a through e	54,560.			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 73,400.				
a Applied to 2012, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2013 distributable amount				73,136.
e Remaining amount distributed out of corpus	264.			
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	54,824.			
b Prior years' undistributed income Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b Taxable amount - see instructions		0.		
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount - see instr			0.	
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	54,824.			
10 Analysis of line 9				
a Excess from 2009				
b Excess from 2010				32,285.
c Excess from 2011				22,275.
d Excess from 2012				
e Excess from 2013				264.

N/A

- ☐ 4942(j)(3) or ☐ 4942(j)(5)

- [illegible]

Form **990-PF** (2013)

Part XV Supplementary Information (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
CLARKS SUMMIT FIRE CO 321 BEDFORD ST. CLARKS SUMMIT, PA 18411		PUBLIC	TO FURTHER DESIGNATED WORK OF ORGANIZATIONS	200.
UNITED WAY 615 JEFFERSON AVE. SCRANTON, PA 18510		PUBLIC	TO FURTHER DESIGNATED WORK OF ORGANIZATIONS	15,000.
WAVERLY COMMUNITY HOUSE 1115 N ABINGTON RD WAVERLY, PA 18471		PUBLIC	TO FURTHER DESIGNATED WORK OF ORGANIZATIONS	2,000.
COVENANT PRESBYTERIAN CHURCH 550 MADISON AVENUE SCRANTON, PA 18510		PUBLIC	TO FURTHER DESIGNATED WORK OF ORGANIZATIONS	12,500.
DALTON FIRE CO 109 S TURNPIKE RD DALTON, PA 18414		PUBLIC	TO FURTHER DESIGNATED WORK OF ORGANIZATIONS	200.
Total			SEE CONTINUATION SHEET(S) ▶ 3a	73,400.
b Approved for future payment				
NONE				
Total			▶ 3b	0.

Part XVI-A **Analysis of Income-Producing Activities**

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income
	(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount	
1 Program service revenue					
a _____					
b _____					
c _____					
d _____					
e _____					
f _____					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	9.	
4 Dividends and interest from securities			14	37,691.	
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			18	110,813.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue					
a _____					
b _____					
c _____					
d _____					
e _____					
12 Subtotal. Add columns (b), (d), and (e)		0.		148,513.	0.
13 Total. Add line 12, columns (b), (d), and (e)				13	148,513.

(See worksheet in line 13 instructions to verify calculations)

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

[illegible]

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

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

[illegible]

- 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
N/A		

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) is based on all information of which preparer has any knowledge.				May the IRS discuss this return with the preparer shown below (see instr)? ☒ Yes ☐ No		
	Signature of officer or trustee <i>Frank W. Marquardt</i>		Date <i>5-5-14</i>			Title PRESIDENT & TREASURER	
Paid Preparer Use Only	Print/Type preparer's name FRANCIS J. MERKEL, CPA		Preparer's signature <i>F. J. Merkel</i>		Date <i>04/29/14</i>	Check ☐ if self-employed	PTIN P01249556
	Firm's name ▶ MCGRAIL MERKEL QUINN & ASSOCIATES, P.C.					Firm's EIN ▶ 23-2226550	
	Firm's address ▶ 1173 CLAY AVENUE SCRANTON, PA 18510					Phone no (570) 961-0345	

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

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
MERRILL LYNCH	9.	9.	
TOTAL TO PART I, LINE 3	9.	9.	

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
MERRILL LYNCH	37,691.	0.	37,691.	37,691.	
TO PART I, LINE 4	37,691.	0.	37,691.	37,691.	

FORM 990-PF LEGAL FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEES	1,305.	0.		0.
TO FM 990-PF, PG 1, LN 16A	1,305.	0.		0.

FORM 990-PF ACCOUNTING FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	4,195.	0.		0.
TO FORM 990-PF, PG 1, LN 16B	4,195.	0.		0.

FORM 990-PF	TAXES	STATEMENT	5
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES PAID	246.	0.		0.
TAX ON INVESTMENT INCOME	2,187.	0.		0.
TO FORM 990-PF, PG 1, LN 18	2,433.	0.		0.

FORM 990-PF	OTHER EXPENSES	STATEMENT	6
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
MERRILL LYNCH INVESTMENT EXPENSES	16,729.	0.		0.
TO FORM 990-PF, PG 1, LN 23	16,729.	0.		0.

FORM 990-PF	U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS	STATEMENT	7
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DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE
MERRILL LYNCH ACCOUNT 6UY-04035 - GOVERNMENT	X		300,998.	300,401.
TOTAL U.S. GOVERNMENT OBLIGATIONS			300,998.	300,401.
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS				
TOTAL TO FORM 990-PF, PART II, LINE 10A			300,998.	300,401.

FORM 990-PF	CORPORATE STOCK	STATEMENT	8
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
MERRILL LYNCH ACCOUNT 6UY-04034 - STOCK	711,387.	956,524.
MERRILL LYNCH ACCOUNT 6UY-04105 - STOCK	144,073.	168,606.
TOTAL TO FORM 990-PF, PART II, LINE 10B	855,460.	1,125,130.

FORM 990-PF	CORPORATE BONDS	STATEMENT	9
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
MERRILL LYNCH ACCOUNT 6UY-04035 - CORPORATE	185,641.	184,085.
TOTAL TO FORM 990-PF, PART II, LINE 10C	185,641.	184,085.

FORM 990-PF

GRANT APPLICATION SUBMISSION INFORMATION
PART XV, LINES 2A THROUGH 2D

STATEMENT 10

NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTED

CAWLEY, JOHNSON & SANDERS, P.C. C/O DEBRA JOHNSON, CPA
1310 LACKAWANNA TRAIL
CLARKS SUMMIT, PA 18411

TELEPHONE NUMBER

570-563-1140

FORM AND CONTENT OF APPLICATIONS

REQUESTS ON LETTERHEAD OF ORGANIZATION, DIRECT MAIL SOLICITATIONS, PHONE
SOLICITATIONS ALL FOLLOWED BY RECEIPT OF LETTER OF ACKNOWLEDGMENT FROM THE
ORGANIZATION AS REQUIRED BY THE IRS SUBSTANTIATION RULES

ANY SUBMISSION DEADLINES

NONE

RESTRICTIONS AND LIMITATIONS ON AWARDS

NONE

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
WOMEN'S RESOURCE CENTER 18 MAPLE ST MONTROSE, PA 18801		PUBLIC	TO FURTHER DESIGNATED WORK OF ORGANIZATIONS	10,000.
GEISINGER HEALTH SYSTEM FOUNDATION 100 N ACADEMY AVENUE DANVILLE, PA 17822		PUBLIC	TO FURTHER DESIGNATED WORK OF ORGANIZATIONS	1,000.
THE HILL SCHOOL 860 BEECH STREET POTTSTOWN, PA 19464		PUBLIC	TO FURTHER DESIGNATED WORK OF ORGANIZATIONS	500.
TELESPOND SENIOR SVC 1200 SAGINAW ST SCRANTON, PA 18505		PUBLIC	TO FURTHER DESIGNATED WORK OF ORGANIZATIONS	10,000.
KEYSTONE COLLEGE 1 COLLEGE ROAD LA PLUME, PA 18440		PUBLIC	TO FURTHER DESIGNATED WORK OF ORGANIZATIONS	1,000.
UNITED WAY 615 JEFFERSON AVE. SCRANTON, PA 18510		PUBLIC	TO FURTHER DESIGNATED WORK OF ORGANIZATIONS	16,000.
SAFETY NET 550 MADISON AVENUE SCRANTON, PA 18510		PUBLIC	TO FURTHER DESIGNATED WORK OF ORGANIZATIONS	5,000.
Total from continuation sheets				43,500.

RICHARD C MARQUARDT FAMILY FOUNDATION
DECEMBER 31, 2013

<u>PER 1099'S</u>	<u>LESS:</u>		<u>TOTAL</u>	
	<u>SALES</u>	<u>PRIN</u>	<u>PROCEEDS</u>	<u>COST</u>
	<u>PROCEEDS</u>	<u>PAYDOWN</u>	<u>PROCEEDS</u>	
6UY-04082				
6UY-04034	355,241.65		355,241.65	287,288.96
6UY-04035	290,847.02	(29,835.75)	261,011.27	255,226.03
6UY-04105	331,406.82		331,406.82	294,332.26
	977,495.49	(29,835.75)	947,659.74	836,847.25
				110,812.49

THE RICHARD C MARQUARDT

2013 ANNUAL STATEMENT SUMMARY

The following sections are provided to facilitate your review and the preparation of your tax return.

The 2013 Proceeds from Broker and Barter Exchange Transactions section includes both sales of positions for "covered securities" and "noncovered securities." A covered security includes those with a purchase date within the following timeline: Equities acquired on or after January 1, 2011 and Mutual Funds acquired on or after January 1, 2012. Legislation requires reporting the gross proceeds of the sales of "covered" and "noncovered" securities and the adjusted cost basis for "covered securities." Any sale of a security that is considered a "noncovered security" will still be included in this section with the adjusted cost basis (where available).

In calculating gain (loss), unless otherwise noted, it was assumed that the oldest position was liquidated first, and that you have made an election to amortize the premium paid on the purchase of taxable bonds. Under the Cost Basis Reporting Regulations, brokers need not track wash sale activity for substantially identical securities, transactions across accounts, or between covered and non-covered securities. However, you as a taxpayer still have to track and report wash sales as you have in the past which would include all of the aforementioned transaction types. Securities identified from a retirement account reflect the tax basis on the date of distribution. Other methods for calculating gain (loss) are available. The cost basis for most Original Issue Discount ("OID") obligations includes the accretion of OID. For purposes of allocating original purchase price to the components of an equity unit consisting of a purchase contract and a debt security subject to a remarketing event, we assumed that the fair market value of the debt security on purchase date was equal to its adjusted issue price. The difference between your original cost and the amount allocable to the debt component was allocated to the purchase contract. In making adjustments to the cost basis of the purchase contract, it was assumed that the unit holder included contract adjustment payments in income when received.

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-B

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e. Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a. Amount	3 Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
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SHORT TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.

COVERED TRANSACTIONS - 1099-B Line 6b. (cost basis reported to the IRS)

AGILENT TECHNOLOGIES INC	CUSIP Number	00846U101						
575.0000 Sale	04/10/12	03/01/13	24,063.21	24,210.72	0.00	(147.51)		
50.0000 Sale	07/18/12	03/01/13	2,092.45	1,915.50	0.00	176.95		
57.0000 Sale	10/19/12	03/01/13	2,385.40	2,040.60	0.00	344.80		
Security Subtotal			28,541.06	28,166.82	0.00	374.24		
CARDINAL HEALTH INC OHIO	CUSIP Number	14149Y108						
215.0000 Sale	10/28/13	11/07/13	13,065.34	12,048.99	0.00	1,016.35		
C.H. ROBINSON WORLDWIDE, INC. NEW	CUSIP Number	12541W209						
331.0000 Sale	10/19/12	07/23/13	19,847.73	20,104.09	0.00	(256.36)		
CITIGROUP INC COM NEW	CUSIP Number	172967424						
51.0000 Sale	10/19/12	07/23/13	2,697.88	1,901.28	0.00	796.60		
CST BRANDS INC SHS	CUSIP Number	12646R105						
Cash/Lieu	04/03/13	05/13/13	10.40	10.05	0.00	0.35		
68.0000 Sale	04/03/13	05/14/13	2,229.67	2,050.90	0.00	178.77		
Security Subtotal			2,240.07	2,060.95	0.00	179.12		

THE RICHARD C MARQUARDT

2013 ANNUAL STATEMENT SUMMARY

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
	DOMINION RES INC NEW VA 55 0000 Sale	CUSIP Number 07/01/13	25746U109 11/07/13	3,608 49	3,093.74	0 00	514.75	
	FEDEX CORP DELAWARE COM 18 0000 Sale	CUSIP Number 07/23/13	31428X106 11/07/13	2,366 96	1,924 24	0 00	442.72	
	HESS CORP 46.0000 Sale	CUSIP Number 08/12/13	42809H107 11/07/13	3,649.12	3,464.15	0.00	184 97	
	MICROSOFT CORP 88 0000 Sale	CUSIP Number 10/19/12	594918104 04/17/13	2,538.31	2,518 56	0.00	19.75	
	OCCIDENTAL PETE CORP CAL 46 0000 Sale	CUSIP Number 10/19/12	674599105 04/03/13	3,726 24	3,870 44	0 00	(144 20)	
	THERMO FISHER SCIENTIFIC INC 85.0000 Sale	CUSIP Number 03/01/13	883556102 11/07/13	8,227 86	6,313 66	0 00	1,914 20	
	VALERO ENERGY CORP NEW 125 0000 Sale	CUSIP Number 04/03/13	91913Y100 11/07/13	4,998 04	4,658 61	0 00	339 43	
	Covered Short Term Capital Gains and Losses Subtotal			195,507.10	90,125.53	0.00	5,381.57	
	SHORT TERM CAPITAL GAINS AND LOSSES			95,507.10	90,125.53	0.00	5,381.57	

LONG TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.

COVERED TRANSACTIONS - 1099-B Line 6b. (cost basis reported to the IRS)

COMCAST CORP NEW CL A 86.0000 Sale	CUSIP Number 07/18/12	20030N101 11/07/13	4,084 94	2,776 55	0.00	1,308.39
CVS CAREMARK CORP 115 0000 Sale	CUSIP Number 09/02/11	126650100 11/07/13	7,307 48	4,084 80	0 00	3,222.68
CITIGROUP INC COM NEW 50.0000 Sale	CUSIP Number 10/19/12	172967424 11/07/13	2,435 96	1,864.00	0.00	571.96

THE RICHARD C MARQUARDT

2013 ANNUAL STATEMENT SUMMARY

1099-B

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e. Quantity	Transaction Description	1b Date of Acquisition	1a. Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
DIGITAL RLTY TR INC 85.0000 Sale		CUSIP Number 06/06/11	253868103 02/13/13	5,564.84	5,243.62	0.00	321.22	
HOME DEPOT INC) 37.0000 Sale		CUSIP Number 06/14/12	437076102 11/07/13	2,816.76	1,919.56	0.00	897.20	
INTUIT INC 115.0000 Sale 314.0000 Sale 21.0000 Sale	COM	CUSIP Number 12/29/11 12/29/11 02/10/12	461202103 04/17/13 05/14/13 05/14/13	7,309.25 18,586.00 1,243.02	6,054.87 16,532.41 1,188.29	0.00 0.00 0.00	1,254.38 2,053.59 54.73	
Security Subtotal				27,138.27	23,775.57	0.00	3,362.70	
MCKESSON CORPORATION COM 194.0000 Sale 16.0000 Sale		CUSIP Number 07/31/12 10/19/12	58155Q103 10/28/13 10/28/13	29,761.33 2,454.55	17,640.42 1,436.00	0.00 0.00	12,120.91 1,018.55	
Security Subtotal				32,215.88	19,076.42	0.00	13,139.46	
MONSANTO CO NEW DEL COM 10.0000 Sale		CUSIP Number 07/31/12	61166W101 11/07/13	1,043.08	856.39	0.00	186.69	
MARATHON OIL CORP 135.0000 Sale 325.0000 Sale 24.0000 Sale 200.0000 Sale		CUSIP Number 02/15/11 07/07/11 02/10/12 07/18/12	565849106 08/12/13 08/12/13 08/12/13 08/12/13	4,685.08 11,278.90 832.90 6,940.87	3,872.88 10,684.21 785.28 5,313.00	0.00 0.00 0.00 0.00	812.20 594.69 47.62 1,627.87	
Security Subtotal				23,737.75	20,655.37	0.00	3,082.38	
MICROSOFT CORP 180.0000 Sale		CUSIP Number 02/17/11	594978104 04/17/13	5,191.99	4,915.13	0.00	276.86	
NIKE INC CL B 85.0000 Sale		CUSIP Number 05/04/11	654106103 11/07/13	6,476.90	3,496.04	0.00	2,980.86	
OCCIDENTAL PETE CORP CAL 195.0000 Sale 11.0000 Sale		CUSIP Number 06/06/11 02/10/12	674599105 04/03/13 04/03/13	15,795.99 891.05	19,936.80 1,126.07	0.00 0.00	(4,140.81) (235.02)	
Security Subtotal				16,687.04	21,062.87	0.00	(4,375.83)	
VISA INC CL A SHRS 27.0000 Sale		CUSIP Number 01/10/12	92826C839 11/07/13	5,318.37	2,697.30	0.00	2,621.07	

THE RICHARD C MARQUARDT

2013 ANNUAL STATEMENT SUMMARY

1099-B

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3 Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
37 0000	WISCONSIN ENERGY CORP Sale	02/10/12	07/01/13	1,483.77	1,264.29	0.00	219.48	
86.0000	WELLS FARGO & CO NEW DEL Sale	02/10/12	11/07/13	3,618.85	2,599.33	0.00	1,019.52	
Covered Long Term Capital Gains and Losses Subtotal				(1)145,121.88	(2)116,287.24	0.00	28,834.64	

NONCOVERED TRANSACTIONS - 1099-B Line 6a. (cost basis not reported to the IRS)

AMER EXPRESS COMPANY	CUSIP Number	025816109					
14 0000 Sale	06/18/10	07/23/13	1,044.38	588.38	0.00	456.00	
11 0000 Sale	06/18/10	07/23/13	820.59	462.33	0.00	358.26	
71 0000 Sale	06/18/10	11/07/13	5,794.24	2,984.11	0.00	2,810.13	
19 0000 Sale	06/18/10	11/07/13	1,550.58	798.57	0.00	752.01	
Security Subtotal			9,209.79	4,833.39	0.00	4,376.40	
AMERICAN WTR WKS CO INC NEW	CUSIP Number	030420103					
30 0000 Sale	12/28/09	11/07/13	1,306.48	671.37	0.00	635.11	
COSTCO WHOLESALE CRP DEL 40 0000 Sale	CUSIP Number 04/23/10	22160K105 11/07/13	4,915.11	2,405.49	0.00	2,509.62	
C DIEN PLC SHS NEW 60 0000 Sale	CUSIP Number 12/09/09	G2554F113 11/07/13	3,907.13	2,563.04	0.00	1,344.09	
DIGITAL RLTY TR INC 175 0000 Sale 50 0000 Sale	CUSIP Number 12/09/09 11/24/10	253868103 02/13/13 02/13/13	11,457.01 3,273.43	8,370.09 2,603.49	0.00 0.00	3,086.92 669.94	
Security Subtotal			14,730.44	10,973.58	0.00	3,756.86	
HONEYWELL INTL INC DEL 35 0000 Sale 70 0000 Sale	CUSIP Number 12/09/09 12/09/09	438516106 07/23/13 11/07/13	2,920.00 6,010.86	1,404.53 2,809.07	0.00 0.00	1,515.47 3,201.79	
Security Subtotal			8,930.86	4,213.60	0.00	4,717.26	
MARATHON OIL CORP 216 0000 Sale	CUSIP Number 11/12/10	565849106 08/12/13	7,496.12	4,353.16	0.00	3,142.96	

THE RICHARD C MARQUARDT

2013 ANNUAL STATEMENT SUMMARY

1099-B

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
	MALLINCKRODT PLC SHS	CUSIP Number	G5785G107					
19.0000	Sale	12/09/09	07/08/13	819.64	622.04	0.00	197.60	
29.0000	Sale	03/01/10	07/08/13	1,251.04	1,002.49	0.00	248.55	
10.0000	Sale	11/24/10	07/08/13	431.40	298.29	0.00	133.11	
	Cash/Lieu	11/24/10	07/15/13	20.70	17.31	0.00	3.39	
	Security Subtotal			2,522.78	1,940.13	0.00	582.65	
	MCDONALDS CORP COM	CUSIP Number	580135101					
5.0000	Sale	12/09/09	11/07/13	485.89	304.05	0.00	181.84	
	MICROSOFT CORP	CUSIP Number	594918104					
206.0000	Sale	07/18/05	04/17/13	5,941.93	5,279.79	0.00	662.14	
161.0000	Sale	11/09/09	04/17/13	4,643.94	4,637.59	0.00	6.35	
162.0000	Sale	11/16/09	04/17/13	4,672.78	4,799.41	0.00	(126.63)	
26.0000	Sale	11/17/09	04/17/13	749.95	776.21	0.00	(26.26)	
404.0000	Sale	12/09/09	04/17/13	11,653.13	11,962.08	0.00	(308.95)	
	Security Subtotal			27,661.73	27,455.08	0.00	206.65	
	SCHLUMBERGER LTD	CUSIP Number	806857108					
26.0000	Sale	09/28/10	11/07/13	2,413.27	1,561.38	0.00	851.89	
17.0000	Sale	09/28/10	11/07/13	1,577.92	1,021.00	0.00	556.92	
	Security Subtotal			3,991.19	2,582.38	0.00	1,408.81	
	UNITED TECHS CORP COM	CUSIP Number	913017109					
37.0000	Sale	12/09/09	07/23/13	3,889.74	2,478.17	0.00	1,411.57	
30.0000	Sale	12/09/09	11/07/13	3,241.74	2,009.32	0.00	1,232.42	
	Security Subtotal			7,131.48	4,487.49	0.00	2,643.99	
	ACE LIMITED	CUSIP Number	H0023R105					
5.0000	Sale	04/27/09	11/07/13	487.99	223.98	0.00	264.01	
15.0000	Sale	05/11/09	11/07/13	1,463.98	639.81	0.00	824.17	
	Security Subtotal			1,951.97	863.79	0.00	1,088.18	
	WISCONSIN ENERGY CORP	CUSIP Number	976657106					
98.0000	Sale	03/01/10	07/01/13	3,929.97	2,411.54	0.00	1,518.43	
250.0000	Sale	03/01/10	07/01/13	10,025.44	6,152.50	0.00	3,872.94	
160.0000	Sale	09/28/10	07/01/13	6,416.29	4,665.60	0.00	1,750.69	
	Security Subtotal			20,371.70	13,229.64	0.00	7,142.06	

THE RICHARD C MARQUARDT

2013 ANNUAL STATEMENT SUMMARY

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3 Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
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Noncovered Long Term Capital Gains and Losses Subtotal				(114,612.67)	(80,876.19)	0.00	33,736.48	
--	--	--	--	--------------	-------------	------	-----------	--

LONG TERM CAPITAL GAINS AND LOSSES				259,734.55	197,163.43	0.00	62,571.12	
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TOTAL SALES PROCEEDS FOR CAPITAL GAINS AND LOSSES				355,241.65	240,000.00	287,288.96		
TOTAL REPORTED SALES PROCEEDS				355,241.65				

2013 REALIZED CAPITAL GAIN AND LOSS SUMMARY

COVERED SHORT TERM GAINS/LOSSES	NONCOVERED SHORT TERM GAINS/LOSSES	COVERED LONG TERM GAINS/LOSSES	NONCOVERED LONG TERM GAINS/LOSSES
(5,381.57)	0.00	(28,834.64)	33,736.48

Σ 67,952.69
T.B



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The following sections are provided to facilitate your review and the preparation of your tax return.

The 2013 Proceeds from Broker and Barter Exchange Transactions section includes both sales of positions for "covered securities" and "noncovered securities." A covered security includes those with a purchase date within the following timeline: Equities acquired on or after January 1, 2011 and Mutual Funds acquired on or after January 1, 2012. Legislation requires reporting the gross proceeds of the sales of "covered" and "noncovered" securities and the adjusted cost basis for "covered securities." Any sale of a security that is considered a "noncovered security" will still be included in this section with the adjusted cost basis (where available).

In calculating gain (loss), unless otherwise noted, it was assumed that the oldest position was liquidated first, and that you have made an election to amortize the premium paid on the purchase of taxable bonds. Under the Cost Basis Reporting Regulations, brokers need not track wash sale activity for substantially identical securities, transactions across accounts, or between covered and non-covered securities. However, you as a taxpayer still have to track and report wash sales as you have in the past which would include all of the aforementioned transaction types. Securities distributed from a retirement account reflect the tax basis on the date of distribution. Other methods for calculating gain (loss) are available. The cost basis for most Original Issue Discount ("OID") obligations includes the accretion of OID. For purposes of allocating original purchase price to the components of an equity unit consisting of a purchase contract and a debt security subject to a remarketing event, we assumed that the fair market value of the debt security on purchase date was equal to its adjusted issue price. The difference between your original cost and the amount allocable to the debt component was allocated to the purchase contract. In making adjustments to the cost basis of the purchase contract, it was assumed that the unit holder included contract adjustment payments in income when received.

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-B

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
SHORT TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.								
NONCOVERED TRANSACTIONS - 1099-B Line 6a. (cost basis not reported to the IRS)								
WATSON PHARMACEUTICALS								
GLB			CUSIP Number	942683AF0				
03 250% OCT 01 2022		10/01/12	06/24/13	917.34	1,013.60	0.00	(96.26)	
1000.0000 Sale								
APPLE INC								
GLB			CUSIP Number	037833AJ9				
01 000% MAY 03 2018		05/01/13	11/08/13	968.94	1,001.01	0.00	(32.07)	
1000.0000 Sale								
BRISTOL-MYERS SQUIBB CO								
GLB			CUSIP Number	110122AT5				
02 000% AUG 01 2022		07/30/12	03/04/13	5,706.72	5,921.04	0.00	(214.32)	
6000.0000 Sale								
BANK OF AMERICA CORP								
GLB			CUSIP Number	06051GEX3				
02 600% JAN 15 2019		10/21/13	11/08/13	999.87	1,004.65	0.00	(4.78)	
1000.0000 Sale								

THE RICHARD C MARQUARDT

2013 ANNUAL STATEMENT SUMMARY 2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3 Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
HCP INC GLB			CUSIP Number 40414LAH2					
02 625%	FEB 01 2020	11/16/12	11/08/13	958.46	995.99 -	0.00	(37.53)	
1000.0000	Sale							
CVS CAREMARK CORP GLB			CUSIP Number 126650BZ2					
02 750%	DEC 01 2022	11/29/12	10/21/13	5,590.56	6,008.52 -	0.00	(417.96)	
6000.0000	Sale							
CITIGROUP INC GLB			CUSIP Number 172967GS4					
01 750%	MAY 01 2018	05/01/13	10/21/13	7,837.44	8,017.33 -	0.00	(179.89)	
8000.0000	Sale							
JPMORGAN CHASE & CO GLB			CUSIP Number 46625HJG6					
01 800%	JAN 25 2018	05/01/13	06/24/13	957.39	1,015.00 -	0.00	(57.61)	
1000.0000	Sale	05/01/13	10/21/13	7,930.16	8,111.66 -	0.00	(181.50)	
8000.0000	Sale			8,887.55	9,126.66	0.00	(239.11)	
Security Subtotal								
KINDER MORGAN ENER PART			CUSIP Number 494550BQ8					
03.500%	SEP 01 2023	02/22/13	06/24/13	920.71	1,008.66 -	0.00	(87.95)	
1000.0000	Sale							
MORGAN STANLEY GLB			CUSIP Number 61746BDG8					
01 750%	FEB 25 2016	02/22/13	11/08/13	1,011.43	1,001.99 -	0.00	9.44	
1000.0000	Sale							
UNITEDHEALTH GROUP INC GLB			CUSIP Number 91324PCB6					
01.625%	MAR 15 2019	03/04/13	11/08/13	967.89	1,003.17 -	0.00	(35.28)	
1000.0000	Sale							
WAL-MART STORES INC GLB			CUSIP Number 931142DF7					
01 125%	APR 11 2018	04/05/13	11/08/13	977.80	1,002.67 -	0.00	(24.87)	
1000.0000	Sale							

THE RICHARD C MARQUARDT

2013 ANNUAL STATEMENT SUMMARY

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
USD BP CAPITAL PLC								
2	750% MAY 10 2023							
5000.0000	Sale	05/22/13	08/13/13	4,585.70	4,873.75	0.00	(288.05)	
BD TOTAL CAPITAL								
2	125% AUG 10 2018							
1000.0000	Sale	08/08/13	11/08/13	1,009.14	1,006.30	0.00	2.84	
U.S. TREASURY NOTE								
1	750% MAY 15 2023							
023	3000.0000 Sale	05/22/13	11/07/13	2,788.82	2,934.03	0.00	(145.21)	
U.S. TREASURY NOTE								
0	250% MAR 31 2014							
00.250%	MAR 31 2014							
1000.0000	Sale	04/04/12	03/04/13	1,000.70	998.09	0.00	2.61	
18000.0000	Sale	04/20/12	03/04/13	18,012.60	17,993.73	0.00	18.87	
9000.0000	Sale	04/20/12	04/05/13	9,007.70	8,996.87	0.00	10.83	
Security Subtotal				28,021.00	27,988.69	0.00	32.31	
U.S. TREASURY NOTE								
1	000% MAR 31 2017							
1000.0000	Sale	07/30/12	06/24/13	995.50	1,015.61	0.00	(20.11)	
1000.0000	Sale	07/30/12	07/19/13	1,004.65	1,015.30	0.00	(10.65)	
Security Subtotal				2,000.15	2,030.91	0.00	(30.76)	
U.S. TREASURY NOTE								
0	250% MAY 31 2014							
4000.0000	Sale	06/06/12	05/22/13	4,004.67	3,999.70	0.00	4.97	
16000.0000	Sale	06/06/12	06/04/13	16,014.95	15,998.80	0.00	16.15	
Security Subtotal				20,019.62	19,998.50	0.00	21.12	
U.S. TREASURY NOTE								
0	625% OCT 15 2016							
00.625%	OCT 15 2016							
2000.0000	Sale	10/21/13	11/07/13	2,005.23	2,000.48	0.00	4.75	

THE RICHARD C MARQUARDT

2013 ANNUAL STATEMENT SUMMARY
2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e. Quantity	Transaction Description	1b Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
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U S TREASURY NOTE
1 250% AUG 31 2015
01 250% AUG 31 2015
1000.0000 Sale

CUSIP Number 912828NV8

U S TREASURY NOTE
1 250% APR 15 2014
01 250% APR 15 2014
1000.0000 Sale
11000.0000 Sale
1000.0000 Sale

CUSIP Number 912828QC7

Security Subtotal

Noncovered Short Term Capital Gains and Losses Subtotal

NET SHORT TERM CAPITAL GAINS AND LOSSES

LONG TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.

NONCOVERED TRANSACTIONS - 1099-B Line 6a. (cost basis not reported to the IRS)

AETNA INC
GLB
02.750% NOV 15 2022
1000.0000 Sale

CUSIP Number 008117AP8

INTL PAPER CO
GLB
04.750% FEB 15 2022
1000.0000 Sale

CITIGROUP INC
GLB
03.953% JUN 15 2016
4000.0000 Sale

CUSIP Number 460146CG6

CUSIP Number 172967FS5

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2013 ANNUAL STATEMENT SUMMARY
2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e Quantity	Transaction Description	1b. Date of Acquisition	CUSIP Number	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
CAPITAL ONE FINANCIAL CO									
GLB									
04	750% JUL 15 2021								
1000.0000	Sale	10/21/11		11/08/13	1,064.08	1,012.58	0.00	51.50	
COMCAST CORP									
COMPANY GUARNT									
05	850% NOV 15 2015								
1000.0000	Sale	10/29/09		11/08/13	1,100.51	1,028.01	0.00	72.50	
CISCO SYSTEMS INC									
GLB									
05	500% FEB 22 2016								
1000.0000	Sale	05/03/10		06/24/13	1,113.34	1,060.49	0.00	52.85	
1000.0000	Sale	05/03/10		11/08/13	1,108.15	1,052.11	0.00	56.04	
Security Subtotal					2,221.49	2,112.60	0.00	108.89	
DIRECTV HLDG/FIN INC									
COMPANY GUARNT									
03	500% MAR 01 2016								
1000.0000	Sale	09/06/11		11/08/13	1,049.34	1,027.38	0.00	21.96	
GOLDMAN SACHS GROUP INC									
GLB									
05	150% JAN 15 2014								
5000.0000	Sale	06/07/07		05/01/13	5,158.10	4,811.60	0.00	346.50	
GEORGIA POWER COMPANY									
04	300% MAR 15 2042								
5000.0000	Sale	03/07/12		09/26/13	4,500.30	5,091.67	0.00	(591.37)	
JPMORGAN CHASE & CO									
SUBORDINATED GLB									
05	125% SEP 15 2014								
7000.0000	Sale	07/20/05		05/01/13	7,407.74	7,013.23	0.00	394.51	
1000.0000	Sale	02/28/06		05/01/13	1,058.25	984.12	0.00	74.13	
1000.0000	Sale	03/09/06		05/01/13	1,058.25	968.53	0.00	89.72	
3000.0000	Sale	05/07/08		05/01/13	3,174.76	3,000.35	0.00	174.41	
Security Subtotal					12,699.00	11,966.23	0.00	732.77	



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2013 ANNUAL STATEMENT SUMMARY
2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
	ORACLE CORP/OZARK HLDG GLB	CUSIP Number	68402LAC8					
	05 250% JAN 15 2016							
	1000.0000 Sale	07/16/09	06/24/13	1,104.68	1,023.22	0.00	81.46	
	PFIZER INC	CUSIP Number	717081DA8					
	5.35% DUE 3/15/2015	07/21/09	11/08/13	1,063.72	1,028.28	0.00	35.44	
	1000.0000 Sale	CUSIP Number	78387GAP8					
	AT&T INC GLB							
	05 100% SEP 15 2014	10/29/09	06/24/13	1,051.23	1,019.18	0.00	32.05	
	1000.0000 Sale	CUSIP Number	822582AF9					
	SHELL INTERNATIONAL FIN COMPANY GUARNT GLB							
	04 000% MAR 21 2014	04/14/09	06/24/13	1,024.78	1,005.48	0.00	19.30	
	1000.0000 Sale	CUSIP Number	88732JAX6					
	TIME WARNER CABLE INC COMPANY GUARNT							
	04 125% FEB 15 2021	09/06/11	02/22/13	5,332.80	5,119.56	0.00	213.24	
	5000.0000 Sale	09/06/11	05/01/13	5,440.65	5,117.07	0.00	323.58	
	5000.0000 Sale			10,773.45	10,236.63	0.00	536.82	
	Security Subtotal							
	FELLS FARGO & COMPANY SER MTN GLB	CUSIP Number	94974BFC9					
	03 500% MAR 08 2022							
	1000.0000 Sale	03/07/12	11/08/13	1,000.39	1,005.17	0.00	(4.78)	
	AMERICAN EXPRESS CREDIT SER MTN	CUSIP Number	0258M0DD8					
	02 375% MAR 24 2017							
	1000.0000 Sale	04/20/12	11/08/13	1,034.70	1,011.54	0.00	23.16	
	FEDERAL NATL MTG ASSOC NOTES	CUSIP Number	3135G0GY3					
	01 250% JAN 30 2017							
	2000.0000 Sale	02/01/12	11/08/13	2,029.24	2,017.86	0.00	11.38	



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2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
U.S. TREASURY NOTE								
0 875% NOV 30 2016								
00 875% NOV 30 2016								
1000.0000 Sale		12/06/11	06/24/13	996.79	997.19-	0.00	(0.40)	
10000.0000 Sale		12/06/11	06/25/13	9,982.39	9,971.91-	0.00	10.48	
Security Subtotal				10,979.18	10,969.10	0.00	10.08	
U.S. TREASURY NOTE								
1 000% MAR 31 2017								
1000.0000 Sale		07/30/12	11/07/13	1,009.22	1,014.05-	0.00	(4.83)	
U.S. TREASURY BOND								
3 000% MAY 15 2042								
1000.0000 Sale		06/06/12	11/07/13	874.49	1,068.99-	0.00	(194.50)	
U.S. TREASURY NOTE								
0 250% MAY 31 2014								
5000.0000 Sale		06/06/12	06/25/13	5,003.69	4,999.63-	0.00	4.06	
U.S. TRSY INFLATION BOND								
2.375% JAN 15 2025								
02.375% JAN 15 2025								
1000.0000 Sale		02/03/09	11/07/13	1,478.54	1,225.50-	0.00	253.04	
U.S. TREASURY NOTE								
3.125% MAY 15 2019								
03.125% MAY 15 2019								
12000.0000 Sale		06/19/09	10/21/13	13,017.13	11,357.81-	0.00	1,659.32	
1000.0000 Sale		10/29/09	10/21/13	1,084.77	969.81-	0.00	114.96	
Security Subtotal				14,101.90	12,327.62	0.00	1,774.28	
U.S. TREASURY BOND								
4 750% FEB 15 2037								
04 750% FEB 15 2037								
4000.0000 Sale		06/07/07	04/05/13	5,477.80	3,757.81-	0.00	1,719.99	
U.S. TREASURY BOND								
4 375% MAY 15 2040								
04 375% MAY 15 2040								
1000.0000 Sale		07/12/10	07/19/13	1,157.96	1,059.55-	0.00	98.41	



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2013 ANNUAL STATEMENT SUMMARY

1099-B 2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
CUSIP Number 912828ND8								
U.S. TREASURY NOTE 3.500% MAY 15 2020 03.500% MAY 15 2020 1000.0000 Sale		07/12/10	11/07/13	1,106.05	1,027.93 -	0.00	78.12	
CUSIP Number 912828QC7								
U.S. TREASURY NOTE 1.250% APR 15 2014 01.250% APR 15 2014 2000.0000 Sale 16000.0000 Sale		10/16/12 10/16/12	11/07/13 11/26/13	2,009.76 16,066.82	2,008.35 - 16,058.50 -	0.00 0.00	1.41 8.32	
Security Subtotal				18,076.58	18,066.85	0.00	9.73	

Noncovered Long Term Capital Gains and Losses Subtotal

(12,443.44) 107,039.05

5,404.39

NET LONG TERM CAPITAL GAINS AND LOSSES

112,443.44

5,404.39

TOTAL SALES PROCEEDS FOR CAPITAL GAINS AND LOSSES (L) = 222,695.74 + 38,315.53 = 261,011.27
TOTAL REPORTED SALES PROCEEDS 222,695.74 FNMA 6.125 To B

Σ(2, 219,115.31)
+ 36,110.72 FNMA cost
255,226.03
To B

2013 REALIZED CAPITAL GAIN AND LOSS SUMMARY

COVERED SHORT TERM GAINS/LOSSES	NONCOVERED SHORT TERM GAINS/LOSSES	COVERED LONG TERM GAINS/LOSSES	NONCOVERED LONG TERM GAINS/LOSSES
0.00	(1,823.96)	0.00	5,404.39

(incl 1099+2) → Σ(1) = 5,785.24 To B

REALIZED COST BASIS INFORMATION FOR SECURITIES SUBJECT TO AMORTIZATION/ACCRETION AS OF DECEMBER 31, 2013

Security Description	Quantity	Date Acquired	Adjusted Cost Basis	Amortization/Accretion Year-To-Date	Life-To-Date	Sales Price
WATSON PHARMACEUTICALS	1000.0000	10/01/12	1,013.60	(0.62)	(0.92)	917.34
APPLE INC	1000.0000	05/01/13	1,001.01	(0.11)	(0.11)	968.94



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2013 SUPPLEMENTAL ANNUAL STATEMENT SUMMARY

The following sections are provided to facilitate your review and the preparation of your tax return.

Your Supplemental Tax Information Statement that follows is a summary of the gains and losses on your Widely Held Fixed Investment Trust (WHFIT) securities. This section includes your pro-rata share of principal payments made by Real Estate Mortgage Investment Conduits (REMICs) and Collateralized Debt Obligations (CDOs).

The 2013 Proceeds from Broker and Barter Exchange Transactions section includes both sales of positions for "covered securities" and "noncovered securities." A covered security includes those with a purchase date within the following timeline: Equities acquired on or after January 1, 2011 and Mutual Funds acquired on or after January 1, 2012. Legislation requires reporting the gross proceeds of the sales of "covered" and "noncovered" securities and the adjusted cost basis for "covered securities." Any sale of a security that is considered a "noncovered security" will still be included in this section with the adjusted cost basis (where available).

calculating gain (loss), unless otherwise noted, it was assumed that the oldest position was liquidated first, and that you have made an election to amortize the premium paid on the purchase of taxable bonds. Under the Cost Basis Reporting Regulations, brokers need not track wash sale activity for substantially identical securities, transactions across accounts, or between covered and non-covered securities. However, you as a taxpayer still have to track and report wash sales as you have in the past which would include all of the aforementioned transaction types. Securities distributed from a retirement account reflect the tax basis on the date of distribution. Other methods for calculating gain (loss) are available. The cost basis for most Original Issue Discount ("OID") obligations includes the accretion of OID.

1099-B

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
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SHORT TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.

NONCOVERED TRANSACTIONS - 1099-B Line 6a. (cost basis not reported to the IRS)

FNMA PMA0583 04%2040 AMORTIZED FACTOR 0.50101	CUSIP Number	31417YUHH8						
Prin Payment	02/25/13	273.20	273.20	273.20	0.00	0.00	0.00	
Prin Payment	03/25/13	235.39	235.39	235.39	0.00	0.00	0.00	
Prin Payment	04/25/13	222.19	222.19	222.19	0.00	0.00	0.00	
Prin Payment	05/28/13	217.91	217.91	217.91	0.00	0.00	0.00	
Prin Payment	06/25/13	204.80	204.80	204.80	0.00	0.00	0.00	
Prin Payment	07/25/13	171.04	171.04	171.04	0.00	0.00	0.00	
Prin Payment	08/26/13	135.47	135.47	135.47	0.00	0.00	0.00	
Prin Payment	09/25/13	95.81	95.81	95.81	0.00	0.00	0.00	
Prin Payment	10/25/13	52.37	52.37	52.37	0.00	0.00	0.00	
Prin Payment	11/25/13	50.04	50.04	50.04	0.00	0.00	0.00	
Prin Payment	12/26/13	64.57	64.57	64.57	0.00	0.00	0.00	
Prin Payment	01/27/14	59.05	59.05	59.05	0.00	0.00	0.00	
Security Subtotal		1,781.84	1,781.84	1,781.84	0.00	0.00	0.00	

FNMA P725027 05%2033 AMORTIZED VALUE 270202 AMORTIZED FACTOR 0.15839

CUSIP Number 31402CPL0

Prin Payment	02/25/13	557.67	557.67	557.67	0.00	0.00	0.00	
Prin Payment	03/25/13	495.53	495.53	495.53	0.00	0.00	0.00	
Prin Payment	04/25/13	479.69	479.69	479.69	0.00	0.00	0.00	



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2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
CUSIP Number 31402CPL0								
FNMA P725027 05%2033	AMORTIZED VALUE 270202							
	AMORTIZED FACTOR 0.15839							
	Prin Payment	05/28/13	05/28/13	513.91	513.91	0.00	0.00	
	Prin Payment	06/25/13	06/25/13	474.96	474.96	0.00	0.00	
	Prin Payment	07/25/13	07/25/13	436.35	436.35	0.00	0.00	
	Prin Payment	08/26/13	08/26/13	385.06	385.06	0.00	0.00	
	Security Subtotal			3,343.17	3,343.17	0.00	0.00	
CUSIP Number 3138A2CF4								
FNMA PAH0969 03 50%2025	AMORTIZED FACTOR 0.57184							
	Prin Payment	02/25/13	02/25/13	213.82	213.82	0.00	0.00	
	Prin Payment	03/25/13	03/25/13	211.33	211.33	0.00	0.00	
	Prin Payment	04/25/13	04/25/13	183.23	183.23	0.00	0.00	
	Prin Payment	05/28/13	05/28/13	174.87	174.87	0.00	0.00	
	Prin Payment	06/25/13	06/25/13	212.15	212.15	0.00	0.00	
	Prin Payment	07/25/13	07/25/13	202.96	202.96	0.00	0.00	
	Prin Payment	08/26/13	08/26/13	127.26	127.26	0.00	0.00	
	Prin Payment	09/25/13	09/25/13	100.68	100.68	0.00	0.00	
	Prin Payment	10/25/13	10/25/13	81.86	81.86	0.00	0.00	
	Prin Payment	11/25/13	11/25/13	80.62	80.62	0.00	0.00	
	Prin Payment	12/26/13	12/26/13	79.56	79.56	0.00	0.00	
	Prin Payment	01/27/14	01/27/14	102.76	102.76	0.00	0.00	
	Security Subtotal			1,771.10	1,771.10	0.00	0.00	
CUSIP Number 312945ZD3								
FLMC A9 7040 04%2041	AMORTIZED FACTOR 0.68347							
	Prin Payment	02/15/13	02/15/13	774.47	774.47	0.00	0.00	
	Prin Payment	03/15/13	03/15/13	712.06	712.06	0.00	0.00	
	Prin Payment	04/15/13	04/15/13	645.52	645.52	0.00	0.00	
	Prin Payment	05/15/13	05/15/13	627.26	627.26	0.00	0.00	
	Prin Payment	06/17/13	06/17/13	505.83	505.83	0.00	0.00	
	Prin Payment	07/15/13	07/15/13	604.11	604.11	0.00	0.00	
	Prin Payment	08/15/13	08/15/13	394.22	394.22	0.00	0.00	
	Prin Payment	09/16/13	09/16/13	225.23	225.23	0.00	0.00	
	Prin Payment	10/15/13	10/15/13	163.78	163.78	0.00	0.00	
	Prin Payment	11/15/13	11/15/13	178.92	178.92	0.00	0.00	
	Prin Payment	12/16/13	12/16/13	157.52	157.52	0.00	0.00	
	Prin Payment	01/15/14	01/15/14	171.61	171.61	0.00	0.00	
	Security Subtotal			5,160.53	5,160.53	0.00	0.00	



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
CUSIP Number 3138A7FZ6								
FNMA PAH5583 04 50%2041	Prin Payment	02/25/13	02/25/13	286.41	286.41	0.00	0.00	
AMORTIZED FACTOR 0.63508	Prin Payment	03/25/13	03/25/13	226.33	226.33	0.00	0.00	
	Prin Payment	04/25/13	04/25/13	225.61	225.61	0.00	0.00	
	Prin Payment	05/28/13	05/28/13	223.23	223.23	0.00	0.00	
	Prin Payment	06/25/13	06/25/13	186.47	186.47	0.00	0.00	
	Prin Payment	07/25/13	07/25/13	154.80	154.80	0.00	0.00	
	Prin Payment	08/26/13	08/26/13	203.77	203.77	0.00	0.00	
	Prin Payment	09/25/13	09/25/13	130.67	130.67	0.00	0.00	
	Prin Payment	10/25/13	10/25/13	73.92	73.92	0.00	0.00	
	Prin Payment	11/25/13	11/25/13	49.64	49.64	0.00	0.00	
	Prin Payment	12/26/13	12/26/13	49.47	49.47	0.00	0.00	
	Prin Payment	01/27/14	01/27/14	54.55	54.55	0.00	0.00	
	Security Subtotal			1,864.87	1,864.87	0.00	0.00	
CUSIP Number 31419A4N4								
FNMA PAE0828 03 50%2041	Prin Payment	02/25/13	02/25/13	309.20	309.20	0.00	0.00	
AMORTIZED FACTOR 0.70922	Prin Payment	03/25/13	03/25/13	248.26	248.26	0.00	0.00	
	Prin Payment	04/25/13	04/25/13	220.60	220.60	0.00	0.00	
	Prin Payment	05/28/13	05/28/13	200.26	200.26	0.00	0.00	
	Prin Payment	06/25/13	06/25/13	212.51	212.51	0.00	0.00	
	Prin Payment	07/25/13	07/25/13	198.63	198.63	0.00	0.00	
	Prin Payment	08/26/13	08/26/13	157.59	157.59	0.00	0.00	
	Prin Payment	09/25/13	09/25/13	106.62	106.62	0.00	0.00	
	Prin Payment	10/25/13	10/25/13	74.25	74.25	0.00	0.00	
	Prin Payment	11/25/13	11/25/13	71.52	71.52	0.00	0.00	
	Prin Payment	12/26/13	12/26/13	66.80	66.80	0.00	0.00	
	Prin Payment	01/27/14	01/27/14	65.70	65.70	0.00	0.00	
	Security Subtotal			1,931.94	1,931.94	0.00	0.00	
CUSIP Number 3138AJK50								
FNMA PAI4815 04 50%2041	Prin Payment	02/25/13	02/25/13	201.13	201.13	0.00	0.00	
AMORTIZED FACTOR 0.52086	Prin Payment	03/25/13	03/25/13	180.60	180.60	0.00	0.00	
	Prin Payment	04/25/13	04/25/13	165.40	165.40	0.00	0.00	
	Prin Payment	05/28/13	05/28/13	146.07	146.07	0.00	0.00	
	Prin Payment	06/25/13	06/25/13	143.00	143.00	0.00	0.00	
	Prin Payment	07/25/13	07/25/13	142.74	142.74	0.00	0.00	
	Prin Payment	08/26/13	08/26/13	96.39	96.39	0.00	0.00	



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1099-B

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
CUSIP Number 3138AJK50								
FNMA PA14815 04 50%2041	AMORTIZED FACTOR 0 52086							
	Prin Payment	09/25/13	09/25/13	94.60	94.60	0.00	0.00	
	Prin Payment	10/25/13	10/25/13	50.11	50.11	0.00	0.00	
	Prin Payment	11/25/13	11/25/13	49.46	49.46	0.00	0.00	
	Prin Payment	12/26/13	12/26/13	31.91	31.91	0.00	0.00	
	Prin Payment	01/27/14	01/27/14	26.01	26.01	0.00	0.00	
	Security Subtotal			1,327.42	1,327.42	0.00	0.00	
CUSIP Number 31417VN66								
FNMA PAC8512 04 50%2039	AMORTIZED FACTOR 0.43013							
	Prin Payment	02/25/13	02/25/13	907.24	907.24	0.00	0.00	
	Prin Payment	03/25/13	03/25/13	838.44	838.44	0.00	0.00	
	Prin Payment	04/25/13	04/25/13	847.31	847.31	0.00	0.00	
	Prin Payment	05/28/13	05/28/13	757.94	757.94	0.00	0.00	
	Prin Payment	06/25/13	06/25/13	783.23	783.23	0.00	0.00	
	Prin Payment	07/25/13	07/25/13	715.85	715.85	0.00	0.00	
	Prin Payment	08/26/13	08/26/13	578.95	578.95	0.00	0.00	
	Prin Payment	09/25/13	09/25/13	390.11	390.11	0.00	0.00	
	Prin Payment	10/25/13	10/25/13	274.95	274.95	0.00	0.00	
	Prin Payment	11/25/13	11/25/13	226.59	226.59	0.00	0.00	
	Prin Payment	12/26/13	12/26/13	179.70	179.70	0.00	0.00	
	Prin Payment	01/27/14	01/27/14	207.21	207.21	0.00	0.00	
	Security Subtotal			6,707.52	6,707.52	0.00	0.00	
CUSIP Number 3128Q0GE1								
FNMA J1 9197 03%2027	AMORTIZED FACTOR 0 86261							
	Prin Payment	02/15/13	02/15/13	378.70	378.70	0.00	0.00	
	Prin Payment	03/15/13	03/15/13	287.00	287.00	0.00	0.00	
	Prin Payment	04/15/13	04/15/13	259.47	259.47	0.00	0.00	
	Prin Payment	05/15/13	05/15/13	244.19	244.19	0.00	0.00	
	Prin Payment	06/17/13	06/17/13	267.10	267.10	0.00	0.00	
	Security Subtotal			1,436.46	1,436.46	0.00	0.00	
CUSIP Number 3138EJE38								
FNMA PAL1953 04 50%2027	AMORTIZED FACTOR 0 72951							
	Prin Payment	02/25/13	02/25/13	139.70	139.70	0.00	0.00	
	Prin Payment	03/25/13	03/25/13	128.89	128.89	0.00	0.00	
	Prin Payment	04/25/13	04/25/13	97.24	97.24	0.00	0.00	
	Prin Payment	05/28/13	05/28/13	113.52	113.52	0.00	0.00	



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
CUSIP Number 3138EJE38								
FNMA PAL1953 04 50%2027	AMORTIZED FACTOR 0.72951							
	Prin Payment	06/25/13	06/25/13	102.67	102.67	0.00	0.00	
	Prin Payment	07/25/13	07/25/13	79.05	79.05	0.00	0.00	
	Prin Payment	08/26/13	08/26/13	106.11	106.11	0.00	0.00	
	Security Subtotal			767.18	767.18	0.00	0.00	
CUSIP Number 31418ATR9								
FNMA PMA1459 03%2033	AMORTIZED FACTOR 0.99234							
	Prin Payment	07/25/13	07/25/13	49.45	49.45	0.00	0.00	
	Prin Payment	07/25/13	07/25/13	49.45	49.45	0.00	0.00	
	Prin Payment	07/25/13	07/25/13	(49.45)	49.45	0.00	0.00	
	Prin Payment	08/26/13	08/26/13	47.21	47.21	0.00	0.00	
	Prin Payment	09/25/13	09/25/13	56.76	56.76	0.00	0.00	
	Prin Payment	10/25/13	10/25/13	51.69	51.69	0.00	0.00	
	Prin Payment	11/25/13	11/25/13	57.59	57.59	0.00	0.00	
	Prin Payment	12/26/13	12/26/13	63.94	63.94	0.00	0.00	
	Prin Payment	01/27/14	01/27/14	58.49	58.49	0.00	0.00	
	Security Subtotal			385.13	484.03	0.00	0.00	
CUSIP Number 31403DDX4								
FNMA P745418 05 50%2036	AMORTIZED VALUE 1544430							
	AMORTIZED FACTOR 0.17826							
	Prin Payment	02/25/13	02/25/13	683.64	683.64	0.00	0.00	
	Prin Payment	03/25/13	03/25/13	594.00	594.00	0.00	0.00	
	Prin Payment	04/25/13	04/25/13	617.98	617.98	0.00	0.00	
	Prin Payment	05/28/13	05/28/13	629.67	629.67	0.00	0.00	
	Prin Payment	06/25/13	06/25/13	630.30	630.30	0.00	0.00	
	Security Subtotal			3,155.59	3,155.59	0.00	0.00	
CUSIP Number 3138X3EQ1								
FNMA PAU3742 03 50%2043	AMORTIZED FACTOR 0.99731							
	Prin Payment	09/25/13	09/25/13	32.17	32.17	0.00	0.00	
	Prin Payment	10/25/13	10/25/13	40.12	40.12	0.00	0.00	
	Prin Payment	11/25/13	11/25/13	45.66	45.66	0.00	0.00	
	Prin Payment	12/26/13	12/26/13	31.39	31.39	0.00	0.00	
	Prin Payment	01/27/14	01/27/14	53.66	53.66	0.00	0.00	
	Security Subtotal			203.00	203.00	0.00	0.00	

THE RICHARD C MARQUARDT

2013 SUPPLEMENTAL ANNUAL STATEMENT SUMMARY 2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
Noncovered Short Term Capital Gains and Losses Subtotal								
				29,835.75	29,934.65	0.00	0.00	
NET SHORT TERM CAPITAL GAINS AND LOSSES								
				29,835.75	29,934.65	0.00	0.00	

OTHER TRANSACTIONS - 1099-B Line 6a. (cost basis not reported to the IRS)

FNMA P725027 05%2033 AMORTIZED VALUE 270202 AMORTIZED FACTOR 0.12268 65000.0000 Sale 13000.0000 Sale								
CUSIP Number 31402CPL0								
		06/24/08	08/22/13	8,537.38	7,637.79	0.00		N/C
		12/11/08	08/22/13	1,707.48	1,632.71	0.00		N/C
Security Subtotal				10,244.86	9,270.50	0.00		
FHLMC J1 9197 03%2027 16000.0000 Sale								
CUSIP Number 3128Q0GE1								
		05/23/12	06/13/13	13,253.81	13,333.45	0.00		N/C
FNMA PAL1953 04 50%2027 4000.0000 Sale								
CUSIP Number 3138EJE38								
		08/20/12	08/22/13	2,421.59	2,475.99	0.00		N/C
FNMA P745418 05 50%2036 78000.0000 Sale								
CUSIP Number 31403DDX4								
		09/15/08	06/13/13	12,395.27	11,030.78	0.00		N/C
Other Transactions Subtotal				138,315.53	36,110.72	0.00		

12,204,810 B-3 1099+1

TOTAL SALES PROCEEDS FOR CAPITAL GAINS AND LOSSES 68,151.28
TOTAL REPORTED SALES PROCEEDS 68,151.28

N/C Results may not be calculated for transactions which involve the amortization of premium, the repayment of principal, the sale of partnership interest, derivative products purchased in the secondary market, or the determination of ordinary income and/or capital items for discount and zero-coupon issues.



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The following sections are provided to facilitate your review and the preparation of your tax return.

The 2013 Proceeds from Broker and Barter Exchange Transactions section includes both sales of positions for "covered securities" and "noncovered securities." A covered security includes those with a purchase date within the following timeline: Equities acquired on or after January 1, 2011 and Mutual Funds acquired on or after January 1, 2012. Legislation requires reporting the gross proceeds of the sales of "covered" and "noncovered" securities and the adjusted cost basis for "covered securities." Any sale of a security that is considered a "noncovered security" will still be included in this section with the adjusted cost basis (where available).

In calculating gain (loss), unless otherwise noted, it was assumed that the oldest position was liquidated first, and that you have made an election to amortize the premium paid on the purchase of taxable bonds. Under the Cost Basis Reporting Regulations, brokers need not track wash sale activity for substantially identical securities, transactions across accounts, or between covered and in-covered securities. However, you as a taxpayer still have to track and report wash sales as you have in the past which would include all of the aforementioned transaction types. Securities distributed from a retirement account reflect the tax basis on the date of distribution. Other methods for calculating gain (loss) are available. The cost basis for most Original Issue Discount ("OID") obligations includes the accretion of OID. For purposes of allocating original purchase price to the components of an equity unit consisting of a purchase contract and a debt security subject to a remarketing event, we assumed that the fair market value of the debt security on purchase date was equal to its adjusted issue price. The difference between your original cost and the amount allocable to the debt component was allocated to the purchase contract. In making adjustments to the cost basis of the purchase contract, it was assumed that the unit holder included contract adjustment payments in income when received.

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

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2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3 Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
SHORT TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.								
COVERED TRANSACTIONS - 1099-B Line 6b. (cost basis reported to the IRS)								
ATLAS COPCO A ADR NEW								
13.0000	Sale	10/25/12	049255706	339.29	311.96	0.00	27.33	
35.0000	Sale	10/26/12	06/06/13	913.48	844.33	0.00	69.15	
23.0000	Sale	10/29/12	06/06/13	600.29	559.46	0.00	40.83	
12.0000	Sale	10/31/12	06/06/13	313.19	297.20	0.00	15.99	
34.0000	Sale	11/01/12	06/06/13	887.38	846.51	0.00	40.87	
2.0000	Sale	11/02/12	06/06/13	52.20	50.33	0.00	1.87	
1.0000	Sale	05/02/13	06/06/13	26.10	25.68	0.00	0.42	
26.0000	Sale	05/03/13	06/06/13	678.60	677.43	0.00	1.17	
Security Subtotal				3,810.53	3,612.90	0.00	197.63	
AGILENT TECHNOLOGIES INC								
7.0000	Sale	04/27/12	00846U101	297.14	297.99	0.00	(0.85)	
3.0000	Sale	04/27/12	02/15/13	127.35	131.92	0.00	(4.57)	
13.0000	Sale	04/30/12	02/15/13	551.84	548.24	0.00	3.60	
5.0000	Sale	05/01/12	02/15/13	212.25	213.30	0.00	(1.05)	
18.0000	Sale	05/15/12	02/15/13	764.10	735.15	0.00	28.95	
18.0000	Sale	11/20/12	02/15/13	764.11	661.51	0.00	102.60	
Security Subtotal				2,716.79	2,588.11	0.00	128.68	



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
AMERICA MOVIL SAB DE CV ADR								
7.0000	Sale	06/06/13	07/23/13	148.46	139.16	0.00	9.30	
WHEUSER-BUSCH INBEV ADR								
11.0000	Sale	07/27/12	06/06/13	1,017.16	892.95	0.00	124.21	
5.0000	Sale	07/27/12	07/23/13	443.19	405.89	0.00	37.30	
Security Subtotal				1,460.35	1,298.84	0.00	161.51	
ASML HLDG NV NY REG SHS								
4.0000	Sale	09/28/12	03/15/13	281.73	226.02	0.00	55.71	
26.0000	Sale	10/01/12	03/15/13	1,831.27	1,470.37	0.00	360.90	
10.0000	Sale	10/01/12	06/06/13	792.08	565.53	0.00	226.55	
19.0000	Sale	03/01/13	06/06/13	1,504.97	1,333.23	0.00	171.74	
Security Subtotal				4,410.05	3,595.15	0.00	814.90	
ARCELORMITTAL SA, LUXEMBOURG								
28.0000	Sale	06/10/13	10/31/13	443.51	346.83	0.00	96.68	
ASSA ABLOY AB ADR								
174.0000	Sale	09/28/12	04/11/13	3,538.21	2,817.27	0.00	720.94	
28.0000	Sale	03/01/13	04/11/13	569.37	559.72	0.00	9.65	
Security Subtotal				4,107.58	3,376.99	0.00	730.59	
UTOZONE INC NEVADA COM								
4.0000	Sale	12/06/12	06/06/13	1,650.70	1,444.88	0.00	205.82	
2.0000	Sale	02/14/13	06/06/13	825.35	747.93	0.00	77.42	
Security Subtotal				2,476.05	2,192.81	0.00	283.24	
BANCO SANTANDER SA ADR								
136.0000	Sale	06/06/13	10/31/13	1,209.22	984.37	0.00	224.85	
BRITISH SKY BDCT SPD ADR								
40.0000	Sale	09/25/12	05/16/13	1,941.73	1,954.13	0.00	(12.40)	

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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
	BANCO BRADESCO S A ADR	CUSIP Number	059460303					
337,000	Sale	06/06/13	12/18/13	4,145.03	5,097.16	0.00	(952.13)	
51,000	Sale	07/23/13	12/18/13	627.29	678.81	0.00	(51.52)	
5,000	Sale	10/31/13	12/18/13	61.50	72.50	0.00	(11.00)	
	Security Subtotal			4,833.82	5,848.47	0.00	(1,014.65)	
	BARCLAYS PLC ADR	CUSIP Number	06738E204					
5,000	Sale	06/06/13	07/23/13	98.94	94.84	0.00	4.10	
	BAIDU INC SPON ADR	CUSIP Number	056752108					
3,000	Sale	06/06/13	07/23/13	329.18	295.11	0.00	34.07	
9,000	Sale	06/06/13	10/31/13	1,465.89	885.33	0.00	580.56	
	Security Subtotal			1,795.07	1,180.44	0.00	614.63	
	BNP PARIBAS SPONSORD ADR	CUSIP Number	05565A202					
31,000	Sale	01/23/12	01/15/13	910.95	736.54	0.00	174.41	
	BERKSHIRE HATHAWAY INC DEL CL B NEW	CUSIP Number	084670702					
11,000	Sale	07/05/12	06/06/13	1,234.19	916.35	0.00	317.84	
	COMCAST CORP NEW CL A	CUSIP Number	20030N101					
61,000	Sale	07/24/12	05/29/13	2,499.16	1,909.59	0.00	589.57	
	CAPITAL ONE FINL	CUSIP Number	14040H105					
38,000	Sale	01/07/13	06/06/13	2,294.79	2,372.90	0.00	(78.11)	
8,000	Sale	02/07/13	06/06/13	483.11	457.64	0.00	25.47	
10,000	Sale	02/11/13	06/06/13	603.90	566.80	0.00	37.10	
10,000	Sale	05/02/13	06/06/13	603.90	581.53	0.00	22.37	
	Security Subtotal			3,985.70	3,978.87	0.00	6.83	
	CANADIAN PACIFIC RAILWAY LTD	CUSIP Number	13645T100					
4,000	Sale	06/06/13	07/23/13	509.59	499.73	0.00	9.86	
2,000	Sale	06/06/13	10/31/13	290.55	249.86	0.00	40.69	
	Security Subtotal			800.14	749.59	0.00	50.55	

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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
CREDIT SUISSE GP SP ADR								
	Cash/Lieu	CUSIP Number	225401108					
		01/16/13	05/31/13	18.42	16.54	0.00	1.88	
17.0000	Sale	01/15/13	06/06/13	483.82	461.94	0.00	21.88	
10.0000	Sale	01/16/13	06/06/13	284.60	271.01	0.00	13.59	
3.0000	Sale	01/16/13	07/23/13	90.17	81.30	0.00	8.87	
79.0000	Sale	01/16/13	08/26/13	2,442.95	2,141.01	0.00	301.94	
21.0000	Sale	05/02/13	08/26/13	649.40	591.77	0.00	57.63	
	Security Subtotal			3,969.36	3,563.57	0.00	405.79	
CANON INC ADR REPSH								
		CUSIP Number	138006309					
24.0000	Sale	12/03/12	02/14/13	847.23	862.02	0.00	(14.79)	
18.0000	Sale	12/03/12	03/12/13	660.61	646.52	0.00	14.09	
39.0000	Sale	12/03/12	03/13/13	1,412.22	1,400.79	0.00	11.43	
	Security Subtotal			2,920.06	2,909.33	0.00	10.73	
CHINA UNICOM HONG KONG LTD								
		CUSIP Number	16945R104					
15.0000	Sale	06/06/13	07/23/13	217.04	201.72	0.00	15.32	
COACH INC								
		CUSIP Number	189754104					
42.0000	Sale	08/23/12	06/06/13	2,407.42	2,323.16	0.00	84.26	
15.0000	Sale	09/21/12	06/06/13	859.79	869.79	0.00	(10.00)	
16.0000	Sale	11/07/12	06/06/13	917.11	910.91	0.00	6.20	
22.0000	Sale	04/22/13	06/06/13	1,261.04	1,113.54	0.00	147.50	
	Security Subtotal			5,445.36	5,217.40	0.00	227.96	
JOPA HOLDINGS S A CL A								
		CUSIP Number	P31076105					
12.0000	Sale	06/06/13	07/23/13	1,699.29	1,583.76	0.00	115.53	
CAMERON INTL CORP								
		CUSIP Number	13342B105					
50.0000	Sale	01/16/13	06/06/13	3,074.94	2,974.61	0.00	100.33	
13.0000	Sale	04/11/13	06/06/13	799.48	837.58	0.00	(38.10)	
8.0000	Sale	05/07/13	06/06/13	492.00	515.61	0.00	(23.61)	
	Security Subtotal			4,366.42	4,327.80	0.00	38.62	



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
CIE FINANCIERE RICHEMONT								
SA SHS		CUSIP Number	204319107					
255.0000	Sale	04/23/13	06/06/13	2,223.56	1,993.46	0.00	230.10	
282.0000	Sale	04/24/13	06/06/13	2,458.99	2,211.19	0.00	247.80	
63.0000	Sale	05/03/13	06/06/13	549.36	517.12	0.00	32.24	
Security Subtotal				5,231.91	4,721.77	0.00	510.14	
DANAHER CORP DEL COM								
		CUSIP Number	235851102					
27.0000	Sale	01/03/13	06/06/13	1,620.51	1,571.77	0.00	48.74	
28.0000	Sale	01/04/13	06/06/13	1,680.53	1,628.42	0.00	52.11	
16.0000	Sale	02/14/13	06/06/13	960.30	978.60	0.00	(18.30)	
12.0000	Sale	05/02/13	06/06/13	720.23	725.17	0.00	(4.94)	
Security Subtotal				4,981.57	4,903.96	0.00	77.61	
DISCOVERY COMMUNICATN INC SERIES A								
		CUSIP Number	25470F104					
16.0000	Sale	03/27/12	01/02/13	1,042.92	789.74	0.00	253.18	
18.0000	Sale	03/27/12	01/15/13	1,206.90	888.45	0.00	318.45	
8.0000	Sale	03/27/12	03/07/13	606.83	394.87	0.00	211.96	
1.0000	Sale	06/22/12	03/07/13	75.86	52.79	0.00	23.07	
9.0000	Sale	06/22/12	04/04/13	696.47	475.08	0.00	221.39	
32.0000	Sale	06/22/12	04/17/13	2,508.57	1,689.18	0.00	819.39	
Security Subtotal				6,137.55	4,290.11	0.00	1,847.44	
DIRECTV SHS								
		CUSIP Number	25490A309					
36.0000	Sale	06/18/12	06/06/13	2,214.68	1,615.34	0.00	599.34	
46.0000	Sale	03/15/13	06/06/13	2,829.88	2,567.45	0.00	262.43	
7.0000	Sale	05/02/13	06/06/13	430.64	401.30	0.00	29.34	
Security Subtotal				5,475.20	4,584.09	0.00	891.11	
E M C CORPORATION MASS								
		CUSIP Number	268648102					
28.0000	Sale	08/22/12	04/17/13	639.11	732.91	0.00	(93.80)	
34.0000	Sale	09/18/12	04/17/13	776.08	945.55	0.00	(169.47)	
Security Subtotal				1,415.19	1,678.46	0.00	(263.27)	
ECOLAB INC								
		CUSIP Number	278865100					
16.0000	Sale	07/27/12	04/11/13	1,327.39	1,071.72	0.00	255.67	
51.0000	Sale	07/27/12	06/06/13	4,266.08	3,416.09	0.00	849.99	
Security Subtotal				5,593.47	4,487.81	0.00	1,105.66	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a Amount	3. Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
	EDWARDS LIFESCIENCES CRP							
17 0000	Sale	07/27/12	04/24/13	1,081.17	1,787.43	0.00	(706.26)	
5 0000	Sale	10/12/12	04/24/13	318.00	435.15	0.00	(117.15)	
	Security Subtotal			1,399.17	2,222.58	0.00	(823.41)	
	EMBRAER S A SPONSRD ADR							
3 0000	Sale	06/06/13	07/23/13	114.71	107.81	0.00	6.90	
	EXPEDITORS INTL WASH INC							
17 0000	Sale	12/14/12	02/21/13	694.09	651.35	0.00	42.74	
33.0000	Sale	12/14/12	02/22/13	1,346.51	1,264.38	0.00	82.13	
	Security Subtotal			2,040.60	1,915.73	0.00	124.87	
	FANUC LTD-UNSP							
82.0000	Sale	12/12/12	01/29/13	2,047.05	2,377.73	0.00	(330.68)	
	GILDAN ACTIVEWEAR INC							
89.0000	Sale	06/06/13	06/10/13	3,649.83	3,616.07	0.00	33.76	
	W W GRAINGER INCORP							
18.0000	Sale	04/11/13	06/06/13	4,540.24	4,139.97	0.00	400.27	
1 0000	Sale	04/12/13	06/06/13	252.23	227.95	0.00	24.28	
2 0000	Sale	05/02/13	06/06/13	504.48	488.67	0.00	15.81	
	Security Subtotal			5,296.95	4,856.59	0.00	440.36	
	PERIAL TOB GRP SPS ADR							
15 0000	Sale	06/15/12	06/06/13	1,100.68	1,115.25	0.00	(14.57)	
12 0000	Sale	09/20/12	06/06/13	880.55	922.80	0.00	(42.25)	
24.0000	Sale	02/04/13	06/06/13	1,761.10	1,785.70	0.00	(24.60)	
8 0000	Sale	02/05/13	06/06/13	587.03	596.39	0.00	(9.36)	
7 0000	Sale	05/02/13	06/06/13	513.66	516.90	0.00	(3.24)	
	Security Subtotal			4,843.02	4,937.04	0.00	(94.02)	
	INTUIT INC							
40.0000	COM Sale	03/21/13	06/06/13	2,331.96	2,614.78	0.00	(282.82)	

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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3 Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
	JPMORGAN CHASE & CO							
55.0000	Sale	09/18/12	06/06/13	2,926.50	2,257.99	0.00	668.51	
18.0000	Sale	01/07/13	06/06/13	957.77	812.82	0.00	144.95	
	Security Subtotal			3,884.27	3,070.81	0.00	813.46	
	KRAFT FOODS GROUP INC							
50.0000	Sale	03/21/13	06/06/13	2,669.94	2,584.84	0.00	85.10	
20.0000	Sale	04/22/13	06/06/13	1,067.99	1,006.34	0.00	61.65	
	Security Subtotal			3,737.93	3,591.18	0.00	146.75	
	LAM RESEARCH CORP COM							
24.0000	Sale	10/12/12	02/14/13	1,029.06	782.43	0.00	246.63	
12.0000	Sale	10/12/12	03/21/13	488.53	391.21	0.00	97.32	
35.0000	Sale	10/15/12	03/21/13	1,424.88	1,143.86	0.00	281.02	
	Security Subtotal			2,942.47	2,317.50	0.00	624.97	
	LINDE AG SHS SP ADR							
40.0000	Sale	02/01/12	01/03/13	684.01	649.05	0.00	34.96	
64.0000	Sale	02/17/12	01/03/13	1,094.44	1,051.14	0.00	43.30	
	Security Subtotal			1,778.45	1,700.19	0.00	78.26	
	LYONDELLBASELL INDUSTRIE							
1.0000	Sale	06/06/13	10/31/13	76.03	66.08	0.00	9.95	
	ETLIFE INC COM							
58.0000	Sale	01/02/13	03/21/13	2,212.96	2,026.98	0.00	185.98	
	MITSUBISHI UFJ FINL GRP INC							
164.0000	Sale	05/29/13	06/06/13	941.80	972.13	0.00	(30.33)	
376.0000	Sale	05/30/13	06/06/13	2,159.26	2,257.73	0.00	(98.47)	
	Security Subtotal			3,101.06	3,229.86	0.00	(128.80)	
	MELCO CROWN ENTRTNMT LTD ADR							
5.0000	Sale	06/06/13	07/23/13	120.94	115.33	0.00	5.61	
44.0000	Sale	06/06/13	10/31/13	1,463.41	1,014.89	0.00	448.52	
	Security Subtotal			1,584.35	1,130.22	0.00	454.13	



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
	MERCADOLIBRE INC		58733R102					
12.0000	Sale	02/14/13	12/18/13	1,206.11	998.40	0.00	207.71	
1.0000	Sale	07/23/13	12/18/13	100.51	107.05	0.00	(6.54)	
	Security Subtotal			1,306.62	1,105.45	0.00	201.17	
	MERCK AND CO INC SHS		58933Y105					
71.0000	Sale	03/12/13	06/06/13	3,424.30	3,201.35	0.00	222.95	
23.0000	Sale	04/22/13	06/06/13	1,109.29	1,086.56	0.00	22.73	
	Security Subtotal			4,533.59	4,287.91	0.00	245.68	
	MALLINCKRODT PLC SHS		G5785G107					
7.0000	Sale	06/06/13	07/08/13	301.97	315.34	0.00	(13.37)	
	MAGNA INTL INC CL A VTG		559222401					
6.0000	Sale	06/06/13	07/23/13	451.79	399.24	0.00	52.55	
2.0000	Sale	06/06/13	10/31/13	169.97	133.08	0.00	36.89	
	Security Subtotal			621.76	532.32	0.00	89.44	
	MASCO CORP		574599106					
53.0000	Sale	06/01/12	02/20/13	1,015.27	644.27	0.00	371.00	
13.0000	Sale	06/01/12	05/21/13	287.11	158.03	0.00	129.08	
20.0000	Sale	09/18/12	05/21/13	441.71	312.75	0.00	128.96	
43.0000	Sale	09/18/12	05/29/13	921.51	672.42	0.00	249.09	
56.0000	Sale	01/02/13	05/29/13	1,200.12	960.90	0.00	239.22	
	Security Subtotal			3,865.72	2,748.37	0.00	1,117.35	
	MCDONALDS CORP COM		580135101					
33.0000	Sale	04/05/13	05/07/13	3,366.96	3,326.20	0.00	40.76	
	MICROSOFT CORP		594918104					
68.0000	Sale	04/04/13	05/16/13	2,315.01	1,932.72	0.00	382.29	
114.0000	Sale	04/04/13	06/06/13	3,959.64	3,240.14	0.00	719.50	
25.0000	Sale	05/02/13	06/06/13	868.35	817.19	0.00	51.16	
	Security Subtotal			7,143.00	5,990.05	0.00	1,152.95	
	MITSUBISHI ELEC ADR		606776201					
235.0000	Sale	05/16/13	06/06/13	4,394.42	5,481.94	0.00	(1,087.52)	



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
	NIDEC CORPORATION ADR							
194 0000	Sale	CUSIP Number 05/30/13	6540907109 06/06/13	3,095.12	3,355.29	0.00	(260.17)	
	*ISSAN MTR LTD SPN ADR							
40.0000	Sale	CUSIP Number 10/15/12	654744408 01/18/13	779.10	678.39	0.00	100.71	
	NATIONAL-OILWELL VARCO INC							
8 0000	Sale	11/27/12	06/06/13	557.03	562.24	0.00	(5.21)	
11.0000	Sale	04/11/13	06/06/13	765.92	773.24	0.00	(7.32)	
9.0000	Sale	05/07/13	06/06/13	626.67	614.08	0.00	12.59	
	Security Subtotal			1,949.62	1,949.56	0.00	0.06	
	NEWELL RUBBERMAID INC							
14.0000	Sale	CUSIP Number 06/11/12	651229106 04/23/13	375.07	254.51	0.00	120.56	
49.0000	Sale	09/18/12	06/06/13	1,305.01	954.76	0.00	350.25	
43.0000	Sale	01/02/13	06/06/13	1,145.22	970.02	0.00	175.20	
30.0000	Sale	06/11/12	06/06/13	798.98	545.37	0.00	253.61	
53.0000	Sale	06/12/12	06/06/13	1,411.54	968.13	0.00	443.41	
67 0000	Sale	02/01/13	06/06/13	1,784.42	1,570.59	0.00	213.83	
	Security Subtotal			6,820.24	5,263.38	0.00	1,556.86	
	NOBLE CORP NAMEN-AKT							
1.0000	Sale	CUSIP Number 06/06/13	H5833N103 07/23/13	40.50	38.78	0.00	1.72	
	*XP SEMICONDUCTORS N V.							
7.0000	Sale	CUSIP Number 06/06/13	N6596X109 07/23/13	235.75	211.05	0.00	24.70	
11.0000	Sale	06/06/13	10/31/13	462.76	331.65	0.00	131.11	
	Security Subtotal			698.51	542.70	0.00	155.81	
	PFIZER INC							
36.0000	Sale	CUSIP Number 02/14/13	717081103 06/06/13	1,010.24	974.52	0.00	35.72	
	PRAXAIR INC							
9.0000	Sale	CUSIP Number 08/22/12	74005P104 06/06/13	1,024.10	971.65	0.00	52.45	
	PRUDENTIAL PLC ADR							
4.0000	Sale	CUSIP Number 06/06/13	74435K204 07/23/13	142.59	133.28	0.00	9.31	
5.0000	Sale	06/06/13	10/31/13	205.39	166.60	0.00	38.79	
	Security Subtotal			347.98	299.88	0.00	48.10	

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PROGRESSIVE CRP OHIO								
25.0000	Sale	10/17/12	02/14/13	597.72	570.99	0.00	26.73	
81.0000	Sale	10/17/12	06/06/13	1,975.60	1,850.02	0.00	125.58	
	Security Subtotal			2,573.32	2,421.01	0.00	152.31	
QUALCOMM INC								
54.0000	Sale	05/21/13	06/06/13	3,390.63	3,557.28	0.00	(166.65)	
RIO TINTO PLC SPNSRD ADR								
36.0000	Sale	12/14/12	04/05/13	1,639.86	1,991.31	0.00	(351.45)	
9.0000	Sale	03/01/13	04/05/13	409.97	465.99	0.00	(56.02)	
37.0000	Sale	06/06/13	07/23/13	1,714.55	1,597.66	0.00	116.89	
	Security Subtotal			3,764.38	4,054.96	0.00	(290.58)	
ROCHE HLDG LTD SPN ADR								
10.0000	Sale	03/01/13	06/06/13	603.29	568.10	0.00	35.19	
SOCIEDAD Q&M CHLE SPDADR								
80.0000	Sale	06/06/13	06/10/13	3,516.74	3,611.20	0.00	(94.46)	
SCHLUMBERGER LTD								
12.0000	Sale	09/18/12	06/06/13	876.10	917.43	0.00	(41.33)	
7.0000	Sale	11/27/12	06/06/13	511.06	488.18	0.00	22.88	
13.0000	Sale	02/14/13	06/06/13	949.12	1,057.92	0.00	(108.80)	
8.0000	Sale	05/07/13	06/06/13	584.08	613.28	0.00	(29.20)	
	Security Subtotal			2,920.36	3,076.81	0.00	(156.45)	
SWATCH GROUP AG UNSPOND ADR								
23.0000	Sale	04/11/12	04/08/13	647.56	520.91	0.00	126.65	
44.0000	Sale	09/28/12	06/06/13	1,281.26	881.64	0.00	399.62	
	Security Subtotal			1,928.82	1,402.55	0.00	526.27	
SUNCOR ENERGY INC NEW								
26.0000	Sale	06/06/13	07/23/13	841.87	798.60	0.00	43.27	
5.0000	Sale	06/06/13	10/31/13	184.25	153.58	0.00	30.67	
	Security Subtotal			1,026.12	952.18	0.00	73.94	

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2013 ANNUAL STATEMENT SUMMARY 2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
	STANLEY BLACK & DECKER INC	CUSIP Number	854502101					
28.0000	Sale	07/19/12	04/04/13	2,202.93	1,822.93	0.00	380.00	
	YADRILL LTD	CUSIP Number	G7945E105					
3.0000	Sale	06/06/13	07/23/13	129.29	118.53	0.00	10.76	
	SUMITOMO MITSUI-UNSPONS ADR	CUSIP Number	86562M209					
104.0000	Sale	06/06/13	07/23/13	1,028.72	855.74	0.00	172.98	
	SBERBANK SPONSORED ADR	CUSIP Number	80585Y308					
159.0000	Sale	07/06/12	06/06/13	1,925.45	1,757.54	0.00	167.91	
60.0000	Sale	09/28/12	06/06/13	726.59	706.34	0.00	20.25	
79.0000	Sale	04/23/13	06/06/13	956.68	954.77	0.00	1.91	
	Security Subtotal			3,608.72	3,418.65	0.00	190.07	
	TEXAS INSTRUMENTS	CUSIP Number	882508104					
35.0000	Sale	11/09/12	04/05/13	1,188.47	1,039.11	0.00	149.36	
60.0000	Sale	11/09/12	06/06/13	2,130.56	1,781.32	0.00	349.24	
	Security Subtotal			3,319.03	2,820.43	0.00	498.60	
	TEXTRON INC	CUSIP Number	883203101					
82.0000	Sale	04/25/13	06/06/13	2,159.02	2,153.11	0.00	5.91	
	TIME WARNER INC SHS	CUSIP Number	887317303					
23.0000	Sale	11/27/12	03/15/13	1,305.56	1,071.68	0.00	233.88	
42.0000	Sale	11/27/12	06/06/13	2,406.76	1,956.99	0.00	449.77	
9.0000	Sale	02/07/13	06/06/13	515.73	469.25	0.00	46.48	
23.0000	Sale	02/11/13	06/06/13	1,317.99	1,196.46	0.00	121.53	
16.0000	Sale	03/01/13	06/06/13	916.86	849.28	0.00	67.58	
22.0000	Sale	04/17/13	06/06/13	1,260.70	1,306.90	0.00	(46.20)	
	Security Subtotal			7,723.60	6,850.56	0.00	873.04	
	US BANCORP (NEW)	CUSIP Number	902973304					
81.0000	Sale	07/19/12	06/06/13	2,856.35	2,747.88	0.00	108.47	
31.0000	Sale	03/21/13	06/06/13	1,093.18	1,047.39	0.00	45.79	
	Security Subtotal			3,949.53	3,795.27	0.00	154.26	

THE RICHARD C MARQUARDT

2013 ANNUAL STATEMENT SUMMARY 2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
VODAFONE GROU PLC SP ADR 27 0000 Sale		CUSIP Number 05/02/13	92857W209 06/06/13	793.53	812.57	0.00	(19.04)	
QUXI PHARMATECH CAYMAN I 43.0000 Sale		CUSIP Number 06/06/13	929352102 10/31/13	1,262.46	894.83	0.00	367.63	
WANT WANT CHINA-UNSPON ADR 13.0000 Sale		CUSIP Number 02/08/13	93370R107 06/06/13	924.03	917.57	0.00	6.46	
ACE LIMITED 1.0000 Sale		CUSIP Number 06/06/13	H0023R105 07/23/13	93.28	88.63	0.00	4.65	
PT BANK RAKYAT INDONESIA 250 IDR PAR ORDINARY 1372.0000 Sale		CUSIP Number 07/06/12	Y0697U112 03/25/13	1,195.97	987.70	0.00	208.27	
232.0000 Sale		07/06/12	05/02/13	224.13	167.02	0.00	57.11	
228.0000 Sale		07/09/12	05/02/13	220.27	161.54	0.00	58.73	
575.0000 Sale		07/09/12	05/03/13	526.46	407.38	0.00	119.08	
194.0000 Sale		07/09/12	05/07/13	184.42	137.45	0.00	46.97	
77 0000 Sale		09/28/12	05/07/13	73.21	60.08	0.00	13.13	
182.0000 Sale		09/28/12	05/08/13	172.27	142.00	0.00	30.27	
318.0000 Sale		09/28/12	05/10/13	298.28	248.10	0.00	50.18	
517.0000 Sale		09/28/12	05/13/13	479.25	403.36	0.00	75.89	
Security Subtotal				3,374.26	2,714.63	0.00	659.63	
PAN TOBACCO INC 2914 JPY PAR ORDINARY 35.0000 Sale		CUSIP Number 02/05/13	J27869106 05/22/13	1,258.39	1,132.11	0.00	126.28	
34.0000 Sale		02/05/13	06/06/13	1,167.88	1,099.76	0.00	68.12	
58.0000 Sale		02/06/13	06/06/13	1,992.26	1,916.31	0.00	75.95	
64.0000 Sale		03/13/13	06/06/13	2,198.37	2,064.23	0.00	134.14	
Security Subtotal				6,616.90	6,212.41	0.00	404.49	
WELLS FARGO & CO NEW DEL 10.0000 Sale		CUSIP Number 01/12/12	949746101 01/07/13	347.30	295.20	0.00	52.10	
24 0000 Sale		01/19/12	01/07/13	833.52	724.56	0.00	108.96	
20.0000 Sale		03/30/12	01/07/13	694.61	679.02	0.00	15.59	
Security Subtotal				1,875.43	1,698.78	0.00	176.65	

THE RICHARD C MARQUARDT

2013 ANNUAL STATEMENT SUMMARY 2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
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STANDARD CHARTERED ORD 0.5USD PAR ORDINARY CUSIP Number G84228157

18.0000	Sale	05/16/13	06/06/13	406.79	439.23	0.00	(32.44)	
77.0000	Sale	05/17/13	06/06/13	1,740.17	1,898.84	0.00	(158.67)	
66.0000	Sale	05/20/13	06/06/13	1,491.58	1,634.15	0.00	(142.57)	
Security Subtotal				3,638.54	3,972.22	0.00	(333.68)	

Covered Short Term Capital Gains and Losses Subtotal

1,231,097.85 214,407.59 16,690.26

NET SHORT TERM CAPITAL GAINS AND LOSSES

231,097.85 214,407.59 16,690.26

LONG TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.

COVERED TRANSACTIONS - 1099-B Line 6b. (cost basis reported to the IRS)

ANHEUSER-BUSCH INBEV ADR CUSIP Number 03524A108

12.0000	Sale	11/22/11	04/04/13	1,190.10	696.30	0.00	493.80	
36.0000	Sale	11/22/11	06/06/13	3,328.85	2,088.90	0.00	1,239.95	
3.0000	Sale	07/27/12	10/31/13	311.86	243.53	0.00	68.33	
Security Subtotal				4,830.81	3,028.73	0.00	1,802.08	

AUTOZONE INC NEVADA COM

CUSIP Number 053332102

5.0000	Sale	09/01/11	06/06/13	2,063.36	1,553.70	0.00	509.66	
1.0000	Sale	04/12/12	06/06/13	412.67	379.11	0.00	33.56	
4.0000	Sale	05/18/12	06/06/13	1,650.69	1,503.97	0.00	146.72	
Security Subtotal				4,126.72	3,436.78	0.00	689.94	

BNP PARIBAS SPONSORD ADR

CUSIP Number 05565A202

28.0000	Sale	12/05/11	01/15/13	822.78	627.03	0.00	195.75	
14.0000	Sale	01/12/12	01/15/13	411.39	281.36	0.00	130.03	
Security Subtotal				1,234.17	908.39	0.00	325.78	

BERKSHIRE HATHAWAY INC

CUSIP Number 084670702

22.0000	Sale	05/09/12	06/06/13	2,468.35	1,796.19	0.00	672.16	
2.0000	Sale	06/05/12	06/06/13	224.39	168.05	0.00	56.34	
Security Subtotal				2,692.74	1,964.24	0.00	728.50	

THE RICHARD C MARQUARDT

2013 ANNUAL STATEMENT SUMMARY 2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
COMCAST CORP NEW CL A								
19,0000	Sale	08/03/11	01/02/13	727.30	433.37	0.00	293.93	
6,0000	Sale	11/23/11	01/02/13	229.68	127.57	0.00	102.11	
11,0000	Sale	11/23/11	03/15/13	449.30	233.87	0.00	215.43	
6,0000	Sale	11/23/11	04/05/13	247.06	127.57	0.00	119.49	
22,0000	Sale	12/15/11	04/05/13	905.89	516.04	0.00	389.85	
29,0000	Sale	12/15/11	05/29/13	1,188.12	680.24	0.00	507.88	
	Security Subtotal			3,747.35	2,118.66	0.00	1,628.69	
COGNIZANT TECH SOLUTIONS A								
26,0000	Sale	03/15/12	05/21/13	1,673.98	1,963.36	0.00	(289.38)	
DBS GROUP HLDGS SPN ADR								
42,0000	Sale	03/19/12	06/06/13	2,167.58	1,936.88	0.00	230.70	
DIRECTV SHS								
7,0000	Sale	02/09/11	05/15/13	452.55	305.55	0.00	147.00	
14,0000	Sale	08/09/11	05/15/13	905.11	595.14	0.00	309.97	
3,0000	Sale	09/23/11	05/15/13	193.96	124.15	0.00	69.81	
22,0000	Sale	09/23/11	06/06/13	1,353.41	910.43	0.00	442.98	
14,0000	Sale	03/07/12	06/06/13	861.26	646.60	0.00	214.66	
	Security Subtotal			3,766.29	2,581.87	0.00	1,184.42	
E M C CORPORATION MASS								
37,0000	Sale	07/27/11	04/17/13	844.54	993.55	0.00	(149.01)	
49,0000	Sale	08/12/11	04/17/13	1,118.45	1,141.49	0.00	(23.04)	
43,0000	Sale	09/07/11	04/17/13	981.49	948.08	0.00	33.41	
	Security Subtotal			2,944.48	3,083.12	0.00	(138.64)	
IMPERIAL TOB GRP SPS ADR								
12,0000	Sale	03/23/11	06/06/13	880.54	743.08	0.00	137.46	
18,0000	Sale	06/20/11	06/06/13	1,320.81	1,184.36	0.00	136.45	
20,0000	Sale	09/07/11	06/06/13	1,467.57	1,333.25	0.00	134.32	
12,0000	Sale	02/01/12	06/06/13	880.54	877.07	0.00	3.47	
	Security Subtotal			4,549.46	4,137.76	0.00	411.70	
MERCADOLIBRE INC								
10,0000	Sale	05/16/12	12/18/13	1,005.08	752.90	0.00	252.18	

THE RICHARD C MARQUARDT

2013 ANNUAL STATEMENT SUMMARY 2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
NISSAN MTR LTD SPN ADR								
27.0000	Sale	04/25/11	01/17/13	524.64	504.05	0.00	20.59	
6.0000	Sale	04/25/11	01/18/13	116.86	112.01	0.00	4.85	
	Security Subtotal			641.50	616.06	0.00	25.44	
NATIONAL-OILWELL VARCO INC								
		CUSIP Number	637071101					
10.0000	Sale	01/11/12	06/06/13	696.28	736.86	0.00	(40.58)	
21.0000	Sale	02/02/12	06/06/13	1,462.20	1,627.63	0.00	(165.43)	
	Security Subtotal			2,158.48	2,364.49	0.00	(206.01)	
PHILIP MORRIS INTL INC								
		CUSIP Number	718172109					
16.0000	Sale	08/11/11	02/07/13	1,413.33	1,046.53	0.00	366.80	
PFIZER INC								
		CUSIP Number	717081103					
20.0000	Sale	11/10/11	04/23/13	619.47	394.63	0.00	224.84	
112.0000	Sale	11/10/11	06/06/13	3,142.94	2,209.92	0.00	933.02	
94.0000	Sale	11/25/11	06/06/13	2,637.83	1,749.42	0.00	888.41	
	Security Subtotal			6,400.24	4,353.97	0.00	2,046.27	
PRAXAIR INC								
		CUSIP Number	74005P104					
9.0000	Sale	03/21/12	06/06/13	1,024.09	999.68	0.00	24.41	
ROYAL DUTCH SHEL PLC SPONS ADR B								
		CUSIP Number	780259107					
23.0000	Sale	01/28/11	02/01/13	1,662.87	1,602.18	0.00	60.69	
25.0000	Sale	01/28/11	02/13/13	1,707.46	1,741.49	0.00	(34.03)	
16.0000	Sale	04/04/11	02/13/13	1,092.78	1,191.47	0.00	(98.69)	
	Security Subtotal			4,463.11	4,535.14	0.00	(72.03)	
RECKITT BENCKISER GROUP PLC SHS SPONSORE ADR								
		CUSIP Number	756255204					
91.0000	Sale	04/20/11	01/04/13	1,147.78	996.25	0.00	151.53	



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2013 ANNUAL STATEMENT SUMMARY
2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3 Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
	ROCHE HLDG LTD SPN ADR	CUSIP Number	771195104					
16.0000	Sale	12/16/11	03/12/13	907.09	679.54	0.00	227.55	
22.0000	Sale	12/16/11	03/13/13	1,230.85	934.37	0.00	296.48	
9.0000	Sale	12/16/11	05/16/13	575.73	382.24	0.00	193.49	
49.0000	Sale	12/16/11	06/06/13	2,956.12	2,081.11	0.00	875.01	
	Security Subtotal			5,669.79	4,077.26	0.00	1,592.53	
	SWATCH GROUP AG UNSPOND ADR	CUSIP Number	870123106					
51.0000	Sale	04/11/12	06/06/13	1,485.09	1,155.05	0.00	330.04	
	UNITED TECHS CORP COM	CUSIP Number	913017109					
19.0000	Sale	09/02/11	04/24/13	1,747.50	1,354.46	0.00	393.04	
14.0000	Sale	09/23/11	04/24/13	1,287.64	962.76	0.00	324.88	
	Security Subtotal			3,035.14	2,317.22	0.00	717.92	
	VEECO INSTRUMENTS INC	CUSIP Number	922417100					
11.0000	Sale	06/02/11	06/06/13	431.75	613.63	0.00	(181.88)	
	VODAFONE GROU PLC SP ADR	CUSIP Number	92857W209					
73.0000	Sale	09/01/11	06/06/13	2,145.43	1,956.21	0.00	189.22	
72.0000	Sale	09/30/11	06/06/13	2,116.04	1,859.05	0.00	256.99	
35.0000	Sale	11/08/11	06/06/13	1,028.63	1,002.30	0.00	26.33	
35.0000	Sale	11/25/11	06/06/13	1,028.63	906.56	0.00	122.07	
29.0000	Sale	05/04/12	06/06/13	852.29	805.82	0.00	46.47	
	Security Subtotal			7,171.02	6,529.94	0.00	641.08	
	WANT WANT CHINA-UNSPON ADR	CUSIP Number	93370R107					
16.0000	Sale	08/15/11	06/06/13	1,137.25	760.08	0.00	377.17	
	HENGAN INTL GROUP CO LTD	CUSIP Number	G4402L151					
74.0000	Sale	06/03/11	05/16/13	825.37	661.17	0.00	164.20	
79.0000	Sale	08/12/11	05/16/13	881.14	678.36	0.00	202.78	
	Security Subtotal			1,706.51	1,339.53	0.00	366.98	



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2013 ANNUAL STATEMENT SUMMARY
2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e. Quantity	Transaction Description	1a. Date of Acquisition	1b. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
		CUSIP Number	983919101					
52.0000	Sale	10/14/11	06/06/13	2,065.40	1,578.98	0.00	486.42	
17.0000	Sale	12/01/11	06/06/13	675.23	560.83	0.00	114.40	
	Security Subtotal			2,740.63	2,139.81	0.00	600.82	
		CUSIP Number	949746101					
	WELLS FARGO & CO NEW DEL	07/12/11	01/07/13	694.59	553.88	0.00	140.71	
20.0000	Sale							
	Covered Long Term Capital Gains and Losses Subtotal			1,740,058.96	660,311.21	0.00	13,747.75	

NONCOVERED TRANSACTIONS - 1099-B Line 6a. (cost basis not reported to the IRS)

	BRITISH AMN TOBACO SPADR	CUSIP Number	110448107					
4.0000	Sale	07/02/10	10/31/13	441.31	257.88	0.00	183.43	
		CUSIP Number	192446102					
2.0000	Sale	12/16/09	02/21/13	150.98	88.36	0.00	62.62	
11.0000	Sale	04/13/10	02/21/13	830.42	577.67	0.00	252.75	
11.0000	Sale	04/13/10	05/21/13	708.22	577.67	0.00	130.55	
	Security Subtotal			1,689.62	1,243.70	0.00	445.92	
	CHEVRON CORP	CUSIP Number	166764100					
5.0000	Sale	04/07/10	06/06/13	599.23	388.96	0.00	210.27	
27.0000	Sale	04/16/10	06/06/13	3,235.90	2,205.30	0.00	1,030.60	
	Security Subtotal			3,835.13	2,594.26	0.00	1,240.87	
	MERCADOLIBRE INC	CUSIP Number	58733R102					
5.0000	Sale	08/03/10	04/05/13	469.28	303.18	0.00	166.10	
4.0000	Sale	10/29/10	04/05/13	375.43	264.62	0.00	110.81	
1.0000	Sale	10/29/10	06/06/13	116.48	66.16	0.00	50.32	
2.0000	Sale	10/29/10	10/31/13	268.99	132.31	0.00	136.68	
2.0000	Sale	10/29/10	12/18/13	201.01	132.31	0.00	68.70	
	Security Subtotal			1,431.19	898.58	0.00	532.61	
	NISSAN MTR LTD SPN ADR	CUSIP Number	654744408					
61.0000	Sale	09/02/10	01/17/13	1,185.29	963.68	0.00	221.61	

THE RICHARD C MARQUARDT

2013 ANNUAL STATEMENT SUMMARY 2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
	PHILIP MORRIS INTL INC							
18.0000	Sale	08/20/10	718172109	1,589.98	938.02	0.00	651.96	
19.0000	Sale	08/31/10	02/07/13	1,678.31	976.51	0.00	701.80	
	Security Subtotal			3,268.29	1,914.53	0.00	1,353.76	
	PRAXAIR INC							
6.0000	Sale	03/18/10	74005P104	693.40	491.69	0.00	201.71	
10.0000	Sale	03/18/10	06/06/13	1,137.87	819.48	0.00	318.39	
	Security Subtotal			1,831.27	1,311.17	0.00	520.10	
	RECKITT BENCKISER GROUP							
	PLC SHS SPONSORE ADR							
103.0000	Sale	09/15/10	01/03/13	1,303.52	1,106.53	0.00	196.99	
16.0000	Sale	09/15/10	01/04/13	201.80	171.89	0.00	29.91	
103.0000	Sale	10/29/10	01/04/13	1,299.13	1,148.05	0.00	151.08	
	Security Subtotal			2,804.45	2,426.47	0.00	377.98	
	ROGERS COMMUNICATIONS B							
6.0000	Sale	09/16/10	775109200	277.14	223.32	0.00	53.82	
13.0000	Sale	09/16/10	02/07/13	594.84	483.87	0.00	110.97	
8.0000	Sale	09/16/10	02/11/13	366.52	297.76	0.00	68.76	
1.0000	Sale	09/16/10	02/12/13	46.07	37.22	0.00	8.85	
8.0000	Sale	09/21/10	02/12/13	368.59	304.43	0.00	64.16	
7.0000	Sale	09/21/10	02/13/13	319.80	266.37	0.00	53.43	
13.0000	Sale	09/21/10	02/14/13	588.69	494.70	0.00	93.99	
5.0000	Sale	11/11/10	02/14/13	226.42	182.85	0.00	43.57	
3.0000	Sale	11/11/10	02/15/13	139.00	109.71	0.00	29.29	
11.0000	Sale	11/12/10	02/15/13	509.68	399.05	0.00	110.63	
	Security Subtotal			3,436.75	2,799.28	0.00	637.47	
	SCHLUMBERGER LTD							
26.0000	Sale	06/02/10	806857108	1,898.22	1,416.10	0.00	482.12	
	SANOFI ADR							
28.0000	Sale	12/18/09	80105N105	1,482.29	1,104.23	0.00	378.06	
7.0000	Sale	06/01/10	06/06/13	370.58	211.97	0.00	158.61	
	Security Subtotal			1,852.87	1,316.20	0.00	536.67	

THE RICHARD C MARQUARDT

2013 ANNUAL STATEMENT SUMMARY

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
SWATCH GROUP AG UNSPOND ADR								
		CUSIP Number	870123106					
28.0000	Sale	11/02/10	02/15/13	790.79	551.98	0.00	238.81	
17.0000	Sale	11/02/10	04/08/13	478.63	335.13	0.00	143.50	
	Security Subtotal			1,269.42	887.11	0.00	382.31	
VEECO INSTRUMENTS INC								
		CUSIP Number	922417100					
33.0000	Sale	12/10/10	06/06/13	1,295.22	1,573.52	0.00	(278.30)	
	Noncovered Long Term Capital Gains and Losses Subtotal			126,239.03	19,602.48	0.00	6,636.55	
	NET LONG TERM CAPITAL GAINS AND LOSSES			100,297.99	79,913.69	0.00	20,384.30	

OTHER TRANSACTIONS - 1099-B Line 6a. (cost basis not reported to the IRS)

BANCO SANTANDER SA ADR								
		CUSIP Number	05964H105					
	Cash/Lieu	08/19/13	08/19/13	2.56	N/A	0.00	N/A	
	Cash/Lieu	11/21/13	11/21/13	8.42	N/A	0.00	N/A	
	Security Subtotal			10.98		0.00		
	Other Transactions Subtotal			10.98		0.00		

TOTAL SALES PROCEEDS FOR CAPITAL GAINS AND LOSSES 331,406.82 To B
TOTAL REPORTED SALES PROCEEDS 331,406.82

(Y) The gain or loss of this transaction includes an adjustment to basis for the deferred loss amount on one or more previous "Wash Sales."
N/A Results which cannot be calculated because of insufficient data in the Capital Gain (or Loss) Column and are not included in the Realized Capital Gain and Loss summary.

294,322.26 To B



Merrill Lynch
Bank of America Corporation

Account No.
6UY-04105

Taxpayer No.
23-2896467

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THE RICHARD C MARQUARDT

2013 ANNUAL STATEMENT SUMMARY
2013 REALIZED CAPITAL GAIN AND LOSS SUMMARY

COVERED SHORT TERM GAINS/LOSSES	NONCOVERED SHORT TERM GAINS/LOSSES	COVERED LONG TERM GAINS/LOSSES	NONCOVERED LONG TERM GAINS/LOSSES
16,690.26	0.00	13,747.75	16,636.55

20 37,074.56