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

**2013**

Department of the Treasury  
Internal Revenue Service

▶ 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](http://www.irs.gov/form990pf).

Open to Public Inspection

For calendar year 2013 or tax year beginning , 2013, and ending , 20

Name of foundation  
*The Dixon Foundation*

Number and street (or P O box number if mail is not delivered to street address) Room/suite  
*P.O. Box 880*

City or town, state or province, country, and ZIP or foreign postal code  
*Dixon, CA 95620*

A Employer identification number  
*23-7297771*

B Telephone number (see instructions)  
*707-678-9216*

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 ☐

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

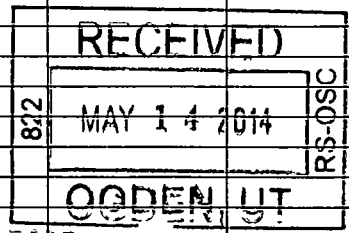
H Check type of organization: ☐ Section 501(c)(3) exempt private foundation  
☒ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ \$ *41,009.05*

J Accounting method: ☒ Cash ☐ Accrual  
☐ Other (specify) \_\_\_\_\_  
(Part I, column (d) must be on cash basis.)

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1	Contributions, gifts, grants, etc., received (attach schedule)				
2	Check <input type="checkbox"/> if the foundation is not required to attach Sch. B				
3	Interest on savings and temporary cash investments				
4	Dividends and interest from securities	<i>184.91</i>			
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10				
b	Gross sales price for all assets on line 6a				
7	Capital gain net income (from Part IV, line 2)				
8	Net short-term capital gain				
9	Income modifications				
10a	Gross sales less returns and allowances				
b	Less: Cost of goods sold				
c	Gross profit or (loss) (attach schedule)				
11	Other income (attach schedule) <i>Return Fee</i>	<i>25.00</i>			
12	Total. Add lines 1 through 11	<i>210.09</i>			
13	Compensation of officers, directors, trustees, etc.				
14	Other employee salaries and wages				
15	Pension plans, employee benefits				
16a	Legal fees (attach schedule)				
b	Accounting fees (attach schedule)				
c	Other professional fees (attach schedule)				
17	Interest				
18	Taxes (attach schedule) (see instructions)				
19	Depreciation (attach schedule) and depletion				
20	Occupancy				
21	Travel, conferences, and meetings				
22	Printing and publications				
23	Other expenses (attach schedule)				
24	Total operating and administrative expenses. Add lines 13 through 23	<i>0</i>			
25	Contributions, gifts, grants paid				
26	Total expenses and disbursements. Add lines 24 and 25	<i>0</i>			
27	Subtract line 26 from line 12:				
a	Excess of revenue over expenses and disbursements	<i>210.09</i>			
b	Net investment income (if negative, enter -0-)				
c	Adjusted net income (if negative, enter -0-)				

Operating and Administrative Expenses CANNED MAY 14 2014



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12

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing . . . . .			
	2	Savings and temporary cash investments . . . . .	344.66	369.84	369.84
	3	Accounts receivable ▶ . . . . .			
		Less: allowance for doubtful accounts ▶ . . . . .			
	4	Pledges receivable ▶ . . . . .			
		Less: allowance for doubtful accounts ▶ . . . . .			
	5	Grants receivable . . . . .			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) . . . . .			
	7	Other notes and loans receivable (attach schedule) ▶ . . . . .			
		Less: allowance for doubtful accounts ▶ . . . . .			
	8	Inventories for sale or use . . . . .			
	9	Prepaid expenses and deferred charges . . . . .			
	10a	Investments—U.S. and state government obligations (attach schedule) . . . . .			
	b	Investments—corporate stock (attach schedule) . . . . .			
	c	Investments—corporate bonds (attach schedule) . . . . .			
	11	Investments—land, buildings, and equipment: basis ▶ . . . . .			
Liabilities		Less: accumulated depreciation (attach schedule) ▶ . . . . .			
	12	Investments—mortgage loans . . . . .			
	13	Investments—other (attach schedule) . . . . .	40,682.15	40,639.21	40,639.21
	14	Land, buildings, and equipment: basis ▶ . . . . .			
		Less: accumulated depreciation (attach schedule) ▶ . . . . .			
	15	Other assets (describe ▶ . . . . .)			
	16	<b>Total assets</b> (to be completed by all filers—see the instructions. Also, see page 1, item I) . . . . .	41,026.81	41,009.05	41,009.05
	17	Accounts payable and accrued expenses . . . . .			
	18	Grants payable . . . . .			
	19	Deferred revenue . . . . .			
Net Assets or Fund Balances	20	Loans from officers, directors, trustees, and other disqualified persons . . . . .			
	21	Mortgages and other notes payable (attach schedule) . . . . .			
	22	Other liabilities (describe ▶ . . . . .)			
	23	<b>Total liabilities</b> (add lines 17 through 22) . . . . .			
		<b>Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/></b> <b>and complete lines 24 through 26 and lines 30 and 31.</b>			
	24	Unrestricted . . . . .			
	25	Temporarily restricted . . . . .			
	26	Permanently restricted . . . . .			
		<b>Foundations that do not follow SFAS 117, check here ▶ <input type="checkbox"/></b> <b>and complete lines 27 through 31.</b>			
	27	Capital stock, trust principal, or current funds . . . . .	41,026.81	41,009.05	
	28	Paid-in or capital surplus, or land, bldg., and equipment fund . . . . .			
	29	Retained earnings, accumulated income, endowment, or other funds . . . . .			
	30	<b>Total net assets or fund balances</b> (see instructions) . . . . .	41,026.81	41,009.05	
	31	<b>Total liabilities and net assets/fund balances</b> (see instructions) . . . . .			

**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	41,026.81
2	Enter amount from Part I, line 27a . . . . .	2	210.09
3	Other increases not included in line 2 (itemize) ▶ . . . . .	3	
4	Add lines 1, 2, and 3 . . . . .	4	
5	Decreases not included in line 2 (itemize) ▶ . . . . .	5	227.85
6	<b>Total net assets or fund balances at end of year</b> (line 4 minus line 5)—Part II, column (b), line 30 . . . . .	6	41,009.05

**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)
<b>1a</b>				
<b>b</b>				
<b>c</b>				
<b>d</b>				
<b>e</b>				
(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)	
<b>a</b>				
<b>b</b>				
<b>c</b>				
<b>d</b>				
<b>e</b>				
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))	
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any		
<b>a</b>				
<b>b</b>				
<b>c</b>				
<b>d</b>				
<b>e</b>				
<b>2</b> Capital gain net income or (net capital loss)	<div style="display: inline-block; vertical-align: middle;">           { If gain, also enter in Part I, line 7            If (loss), enter -0- in Part I, line 7         </div>		<b>2</b>	
<b>3</b> Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8			<b>3</b>	

**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.

(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			
2011			
2010			
2009			
2008			
<b>2</b> Total of line 1, column (d)			<b>2</b>
<b>3</b> 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			<b>3</b>
<b>4</b> Enter the net value of noncharitable-use assets for 2013 from Part X, line 5			<b>4</b>
<b>5</b> Multiply line 4 by line 3			<b>5</b>
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)			<b>6</b>
<b>7</b> Add lines 5 and 6			<b>7</b>
<b>8</b> Enter qualifying distributions from Part XII, line 4 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.			<b>8</b>

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

<b>1a</b>	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary—see instructions)			
<b>b</b>	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b			
<b>c</b>	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
<b>2</b>	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			
<b>3</b>	Add lines 1 and 2			
<b>4</b>	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			
<b>5</b>	<b>Tax based on investment income.</b> Subtract line 4 from line 3. If zero or less, enter -0-			
<b>6</b>	Credits/Payments:			
<b>a</b>	2013 estimated tax payments and 2012 overpayment credited to 2013	<b>6a</b>		
<b>b</b>	Exempt foreign organizations—tax withheld at source	<b>6b</b>		
<b>c</b>	Tax paid with application for extension of time to file (Form 8868)	<b>6c</b>		
<b>d</b>	Backup withholding erroneously withheld	<b>6d</b>		
<b>7</b>	Total credits and payments. Add lines 6a through 6d			
<b>8</b>	Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached			
<b>9</b>	<b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter amount owed			
<b>10</b>	<b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the amount overpaid			
<b>11</b>	Enter the amount of line 10 to be: <b>Credited to 2014 estimated tax</b> <input type="checkbox"/> <b>Refunded</b> <input type="checkbox"/>			

**Part VII-A Statements Regarding Activities**

	Yes	No
<b>1a</b> 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?		<input checked="" type="checkbox"/>
<b>b</b> Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)? <i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.</i>		<input checked="" type="checkbox"/>
<b>c</b> Did the foundation file <b>Form 1120-POL</b> for this year?		<input checked="" type="checkbox"/>
<b>d</b> Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ \$ _____ (2) On foundation managers. ▶ \$ _____		
<b>e</b> Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ \$ _____		
<b>2</b> Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i>		<input checked="" type="checkbox"/>
<b>3</b> Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes.</i>		<input checked="" type="checkbox"/>
<b>4a</b> Did the foundation have unrelated business gross income of \$1,000 or more during the year?		<input checked="" type="checkbox"/>
<b>b</b> If "Yes," has it filed a tax return on <b>Form 990-T</b> for this year?		<input checked="" type="checkbox"/>
<b>5</b> Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i>		<input checked="" type="checkbox"/>
<b>6</b> 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?		<input checked="" type="checkbox"/>
<b>7</b> Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV</i>		<input checked="" type="checkbox"/>
<b>8a</b> Enter the states to which the foundation reports or with which it is registered (see instructions) ▶		
<b>b</b> If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation</i>		<input checked="" type="checkbox"/>
<b>9</b> Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV</i>		<input checked="" type="checkbox"/>
<b>10</b> Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses</i>		<input checked="" type="checkbox"/>

**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		✓
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		✓
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	✓	
Website address ▶ <u>NA</u>				
14	The books are in care of ▶ <u>Del C. Holly</u> Telephone no. ▶ <u>707-678-9216</u>			
	Located at ▶ <u>275 N. First St., Dixon, Ca</u> ZIP+4 ▶ <u>95620</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041—Check here. . . . .	15		✓
	and enter the amount of tax-exempt interest received or accrued during the year . . . . .		18	
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? . . . . .	16	Yes	No ✓
See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ▶				

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

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

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

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

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

5b

6b

7b

**Part VIII** Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**1** List all officers, directors, trustees, foundation managers and their compensation (see instructions).

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
Ted Seifert 6224 SILVERVILLE Rd, DIXON, Ca	PRES.	0	0	0
DEI C. HOLLY 18040 Ruddy St, Woodland, Ca	TRUSTEE	0	0	0
ARADITH REID 235 CEDAR PL, DIXON, Ca	TRUSTEE	0	0	0
BARBARA BECKWORTH 835 SUNSET DR DIXON, Ca	TRUSTEE	0	0	0

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

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

Total number of other employees paid over \$50,000 ☐ Yes ☒ No

**3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE."**

## Part IX-A Summary of Direct Charitable Activities

**Part IX-B**    **Summary of Program-Related Investments** (see instructions)Form 990-PF (2013)



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

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:	
<b>a</b>	Average monthly fair market value of securities . . . . .	<b>1a</b> 40,610
<b>b</b>	Average of monthly cash balances . . . . .	<b>1b</b>
<b>c</b>	Fair market value of all other assets (see instructions) . . . . .	<b>1c</b>
<b>d</b>	<b>Total</b> (add lines 1a, b, and c) . . . . .	<b>1d</b>
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) . . . . . <b>1e</b>	
<b>2</b>	Acquisition indebtedness applicable to line 1 assets . . . . .	<b>2</b>
<b>3</b>	Subtract line 2 from line 1d . . . . .	<b>3</b>
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see instructions) . . . . .	<b>4</b>
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b>
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5 . . . . .	<b>6</b>

**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.)

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

**Part XII Qualifying Distributions** (see instructions)

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:	
<b>a</b>	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26 . . . . .	<b>1a</b> 0
<b>b</b>	Program-related investments—total from Part IX-B . . . . .	<b>1b</b>
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes . . . . .	<b>2</b> 0
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the:	
<b>a</b>	Suitability test (prior IRS approval required) . . . . .	<b>3a</b>
<b>b</b>	Cash distribution test (attach the required schedule) . . . . .	<b>3b</b>
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>
<b>5</b>	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions) . . . . .	<b>5</b>
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4 . . . . .	<b>6</b>

**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
<b>1</b> Distributable amount for 2013 from Part XI, line 7 . . . . .				
<b>2</b> Undistributed income, if any, as of the end of 2013:				
<b>a</b> Enter amount for 2012 only . . . . .				
<b>b</b> Total for prior years: 20____, 20____, 20____				
<b>3</b> Excess distributions carryover, if any, to 2013:				
<b>a</b> From 2008 . . . . .				
<b>b</b> From 2009 . . . . .				
<b>c</b> From 2010 . . . . .				
<b>d</b> From 2011 . . . . .				
<b>e</b> From 2012 . . . . .				
<b>f</b> <b>Total</b> of lines 3a through e . . . . .				
<b>4</b> Qualifying distributions for 2013 from Part XII, line 4: ► \$ _____				
<b>a</b> Applied to 2012, but not more than line 2a . . . . .				
<b>b</b> Applied to undistributed income of prior years (Election required—see instructions) . . . . .				
<b>c</b> Treated as distributions out of corpus (Election required—see instructions) . . . . .				
<b>d</b> Applied to 2013 distributable amount . . . . .				
<b>e</b> Remaining amount distributed out of corpus . . . . .				
<b>5</b> Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).)				
<b>6</b> Enter the net total of each column as indicated below:				
<b>a</b> Corpus. Add lines 3f, 4c, and 4e. Subtract line 5 . . . . .				
<b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b . . . . .				
<b>c</b> 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 . . . . .				
<b>d</b> Subtract line 6c from line 6b. Taxable amount—see instructions . . . . .				
<b>e</b> Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount—see instructions . . . . .				
<b>f</b> Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014 . . . . .				
<b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions) . . . . .				
<b>8</b> Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions) . . . . .				
<b>9</b> <b>Excess distributions carryover to 2014.</b> Subtract lines 7 and 8 from line 6a . . . . .				
<b>10</b> Analysis of line 9:				
<b>a</b> Excess from 2009 . . . . .				
<b>b</b> Excess from 2010 . . . . .				
<b>c</b> Excess from 2011 . . . . .				
<b>d</b> Excess from 2012 . . . . .				
<b>e</b> Excess from 2013 . . . . .				

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

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

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

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

**Part XV Supplementary Information** (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year—see instructions.)**1 Information Regarding Foundation Managers:**

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

NA

- b** List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest.

NA

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

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

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

BARBARA BECKWORTH, 835 SUNSET DR, DIXON, CA 95620

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

RESUME, Academic History, GPA, Activities, Future Plans

- c** Any submission deadlines:

ND

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

MUST BE A MEMBER OF DIXON COMMUNITY AND GRADUATING HIGH SCHOOL SENIOR



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 (See instructions.)
		(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1	Program service revenue:					
a						
b						
c						
d						
e						
f						
g	Fees and contracts from government agencies					
2	Membership dues and assessments . . . . .					
3	Interest on savings and temporary cash investments					
4	Dividends and interest from securities . . . . .					
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					
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) . . . . .					
13	Total. Add line 12, columns (b), (d), and (e) . . . . .					

(See worksheet in line 13 instructions to verify calculations.)

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



# RAYMOND JAMES®

## 2013 INFORMATION PROVIDED FOR TAX PREPARATION

Dixon Foundation  
Po Box 880  
Dixon, CA 95620-0880



**David Davis**  
Raymond James Financial Services  
390 Elm Avenue  
Auburn, CA 95603  
david.davis@raymondjames.com  
Office # 4WE  
FA # 4WG3

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**Advisor Phone**  
888-869-2206

**Online Account Access**  
raymondjames.com/investoraccess

### Important Information

Brokerage firms are required to file a Form 1099-B for the sale of covered securities acquired by an S corporation or an S limited liability company on or after January 1, 2012. Per IRS regulations.

#### ATTENTION

If you are an S Corporation or an S Limited Liability Company and sold shares purchased on or after January 1, 2012 you will receive a reportable Form 1099-B along with this information only statement

This statement contains information that is not reported to the Internal Revenue Service. It is provided solely because it may be helpful to you in your tax preparation.

Please contact your financial advisor or Raymond James Client Services at 800-647-7378 if you have any questions

Thank you for allowing us to serve your investment needs.



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<b>RAYMOND JAMES®</b> 880 Carillon Parkway P.O. Box 12749 Saint Petersburg, FL 33733-2479 Customer Service: 800-647-7378	<b>Income Summary Statement</b> <b>Account 47250607</b> Dixon Foundation 1254 Redwood Ct Dixon, CA 95620-3229 RECIPIENT'S ID No: XX-XXX7771	<b>Statement Date: 02/10/2014</b> <b>Document ID: EE1GBA82FF1</b> David Davis 888-869-2206 david.davis@raymondjames.com Office Code: 4WE Rep Code: 4WG3
<b>PAYER'S Federal ID No: 59-1237041</b>		<b>2013</b>

**Dividends and Distributions**

Not reported to the IRS\*

1a- Total ordinary dividends (includes line 1b)	153.71
1b- Qualified dividends	0.00
2a- Total capital gain distributions (includes lines 2b, 2c, 2d)	34.21
2b- Unrecaptured Section 1250 gain	0.00
2c- Section 1202 gain	0.00
2d- Collectibles (28%) gain	0.00
3- Nondividend distributions	0.00
4- Federal income tax withheld	0.00
5- Investment expenses	0.00
7- Foreign country or US possession	0.00
8- Cash liquidation distributions	0.00
9- Noncash liquidation distributions	0.00
10- Exempt-interest dividends (includes line 11)	0.00
11- Specified private activity bond interest dividends (AMT)	0.00
12- State	0.00
13- State ID number	0.00
14- State tax withheld	0.00
6- Foreign tax paid	0.00

**Interest Income**

Not reported to the IRS\*

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

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

**Regulated Futures Contracts**

Not reported to the IRS\*

9- Profit (loss) realized in 2013-closed contracts	0.00
10- Unrealized profit (loss)-open contracts 12/31/2012	0.00
11- Unrealized profit (loss)-open contracts 12/31/2013	0.00
12- Aggregate profit (loss) on contracts	0.00

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

**Miscellaneous Income**

Not reported to the IRS\*

2- Royalties	0.00
3- Other income	0.00
4- Federal income tax withheld	0.00
8- Substitute payments in lieu of dividends or interest	0.00
12- Foreign country or US possession	0.00
16- State tax withheld	0.00
17- State	0.00
18- State income	0.00
Payer's state ID number	0.00
11- Foreign tax paid:	0.00

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

**ORIGINAL ISSUE DISCOUNT SUMMARY**

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

Original issue discount for 2013	0.00
Other periodic interest	0.00
Early withdrawal penalty	0.00
Federal income tax withheld	0.00
Foreign country or US possession	0.00
Foreign tax paid	0.00
Original issue discount on US Treasury obligations	0.00
Investment expenses	0.00
State	0.00
State ID number	0.00
State tax withheld	0.00

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



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Raymond James &amp; Associates, Inc.

Account 47250607

2013

## Supplemental Information

**SUMMARY OF INCOME, FEES, EXPENSES AND EXPENDITURES****Interest Payments and Other Adjustments**

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

**Other Receipts**

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

**Expenses**

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

**Opening Transactions**

Securities purchased	184.91
Installment payments	0.00
Short sales	0.00

**Fees and Payments Received**

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

**Options Transactions**

Sales	0.00
Short sales	0.00
Purchases	0.00
Purchases to close	0.00

Raymond James &amp; Associates, Inc.

Account 47250607

## Detail for Dividends and Distributions

2013

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Country	Notes
VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L	922031703	VFISX	02/01/13	11.64	Nonqualified dividend		
			03/01/13	10.95	Nonqualified dividend		
			04/02/13	12.10	Nonqualified dividend		
			05/01/13	11.18	Nonqualified dividend		
			06/03/13	11.50	Nonqualified dividend		
			07/01/13	10.00	Nonqualified dividend		
			08/01/13	12.21	Nonqualified dividend		
			09/03/13	12.87	Nonqualified dividend		
			10/01/13	12.06	Nonqualified dividend		
			11/01/13	13.55	Nonqualified dividend		
			12/02/13	13.54	Nonqualified dividend		
			12/18/13	34.21	Long-term capital gain		
			12/18/13	7.60	Short-term capital gain		
			01/02/14	14.51	Nonqualified dividend		
				187.92			
Dividends and Distributions							
Total Dividends and Distributions:				187.92			



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Raymond James &amp; Associates, Inc.

Account 47250607

2013

## Opening Transactions

Security Description	CUSIP and/or symbol	Opening date	Quantity	Amount	Transaction type	Notes
VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L	922031703 VFISX	01/02/13	1.071	-11.50	Purchase	
		02/01/13	1.085	-11.64	Purchase	
		03/01/13	1.020	-10.95	Purchase	
		04/02/13	1.127	-12.10	Purchase	
		05/01/13	1.040	-11.18	Purchase	
		06/03/13	1.074	-11.50	Purchase	
		07/01/13	0.936	-10.00	Purchase	
		08/01/13	1.142	-12.21	Purchase	
		09/03/13	1.206	-12.87	Purchase	
		10/01/13	1.126	-12.06	Purchase	
		11/01/13	1.264	-13.55	Purchase	
		12/02/13	1.262	-13.54	Purchase	
		12/18/13	0.710	-7.60	Purchase	
		12/18/13	3.197	-34.21	Purchase	
				<b>-184.91</b>		
Security Total:				<b>-184.91</b>		
Total Opening Transactions:				<b>-184.91</b>		

Raymond James &amp; Associates, Inc.

Account 47250607

## Mutual Fund and UIT Supplemental Information

2013

The following information may be useful in the preparation of your federal and state tax return(s), if applicable. This information represents what was available at the time your 1099 was prepared and may not be all inclusive and is subject to change. Please contact your mutual fund or UIT directly if you need to verify or supplement this information. Not all Federal Source Income is state tax-exempt. For advice on your tax situation please consult a tax advisor, the IRS or your state tax authority.

Symbol CUSIP	VFISX 922031703	VFISX 922031703
<b>State</b>		
Alabama		State continued
Alaska		New Mexico
Arizona		New York
Arkansas		North Carolina
California		North Dakota
Colorado		Ohio
Connecticut		Oklahoma
Delaware		Oregon
Dist. Columbia		Pennsylvania
Florida		Rhode Island
Georgia		South Carolina
Hawaii		South Dakota
Idaho		Tennessee
Illinois		Texas
Indiana		Utah
Iowa		Vermont
Kansas		Virginia
Kentucky		Washington
Louisiana		West Virginia
Maine		Wisconsin
Maryland		Wyoming
Massachusetts		U.S. Possessions
Michigan		Fgn Source Inc Tot
Minnesota		Fgn Source Inc Qual
Mississippi		Fgn Source Inc Adj
Missouri		Fed Source Total*
Montana		94.80%
Nebraska		94.80%
Nevada		U.S. Treasury
New Hampshire		Fed Home Loan
New Jersey		Fed Farm Credit
		Student Loan
		TN Valley Auth
		Other Dir. Fed

\* A detailed breakdown for Fed Source Total is listed when available. For more information, contact the mutual fund or UIT directly.



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### Recipient's identification number

For your protection, this form may show only the last four digits of your social security number (SSN), individual taxpayer identification number (ITIN), or adoption taxpayer identification number (ATIN). However, the issuer has reported your complete identification number to the IRS and, where applicable, to state and/or local governments.

### Account number

May show an account or other unique number the payer assigned to distinguish your account

### Nominees

If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file Forms 1099-DIV, 1099-B, 1099-INT and/or 1099-OID, as appropriate with the IRS for each of the other owners to show their share of the income, and you must furnish the appropriate Form 1099 to each owner. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File the new Form 1099 with Form 1096, Annual Summary and Transmittal of U.S. Information Returns, with the Internal Revenue Service Center for your area. On Form 1096 list yourself as the "filer." A husband or wife is not required to file a nominee return to show amounts owned by the other. See the 2013 General Instructions for Certain Information Returns.

**Form 1099-OID.** If you bought or sold an obligation during the year and you are not a nominee, you are not required to issue or file Form 1099-OID showing the OID or stated interest allocable to the seller/buyer of the obligation.

### 1099-DIV Instructions for Recipient

**Line 1a.** Shows total ordinary dividends that are taxable. Include this amount on line 9a of Form 1040 or 1040A. Also, report it on Schedule B (Form 1040 or 1040A), if required.

**Line 1b.** Shows the portion of the amount on line 1a that may be eligible for reduced capital gains rates. See Form 1040/1040A instructions for how to determine this amount. Report the eligible amount on line 9b, Form 1040 or 1040A. The amount shown may be dividends a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040/1040A but treat it as a plan distribution, not as investment income, for any other purpose.

**Line 2a.** Shows total capital gain distributions from a

### 2013

regulated investment company or real estate investment trust. Report the amounts shown on line 2a on Schedule D (Form 1040), line 13. But, if no amount is shown on lines 2c-2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown on line 2a on line 13 of Form 1040 (line 10 of Form 1040A) rather than Schedule D. See the Form 1040/1040A instructions.

**Line 2b.** Shows the portion of the amount on line 2a that is unrecaptured section 1250 gain from certain depreciable real property. Report this amount on the Unrecaptured Section 1250 Gain Worksheet-Line 19 in the Schedule D instructions (Form 1040).

**Line 2c.** Shows the portion of the amount on line 2a that is section 1202 gain from certain small business stock that may be subject to a 50% exclusion and certain empowerment zone business stock that may be subject to a 60% exclusion. See the Schedule D (Form 1040) instructions.

**Line 2d.** Shows 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet-Line 18 in the instructions for Schedule D (Form 1040).

**Line 3.** Shows the part of the distribution that is nontaxable because it is a return of your cost (or other basis). You must reduce your cost (or other basis) by this amount for figuring gain or loss when you sell your stock. But if you get back all your cost (or other basis), report future distributions as capital gains. See Pub. 550, Investment Income and Expenses.

**Line 4.** See "Backup Withholding" section.

**Line 5.** Shows your share of expenses of a nonpublicly offered regulated investment company, generally a nonpublicly offered mutual fund. If you file Form 1040, you may deduct these expenses on the "Other expenses" line on Schedule A (Form 1040) subject to the 2% limit. This amount is included on line 1a.

**Line 6.** Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040. See the Form 1040 instructions.

**Line 7.** This line should be left blank if a regulated investment company reported the foreign tax shown on line 6.

**Lines 8 and 9.** Shows cash and noncash liquidation distributions.

**Line 10.** Shows exempt-interest dividends from a mutual fund or other regulated investment company paid to you during the calendar year. Include this amount on line 8b of Form 1040 or 1040A as tax-exempt interest. This amount may be subject to backup withholding. See line 4.

**Line 11.** Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included in line 10. See the instructions for Form 6251.

**Lines 12-14.** State income tax withheld reporting lines

**Line 6.** Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040. See the Form 1040 instructions.

**Line 7.** This line should be left blank if a regulated investment company reported the foreign tax shown on line 6.

**Lines 8 and 9.** Shows cash and noncash liquidation distributions.

**Line 10.** Shows exempt-interest dividends from a mutual fund or other regulated investment company paid to you during the calendar year. Include this amount on line 8b of Form 1040 or 1040A as tax-exempt interest. This amount may be subject to backup withholding. See line 4.

**Line 11.** Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included in line 10. See the instructions for Form 6251.

**Lines 12-14.** State income tax withheld reporting lines

### 1099-INT Instructions for Recipient

**Line 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown on line 3. May also show the total amount of the credits from clean renewable energy bonds, qualified forestry conservation bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2013 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912, Credit to Holders of Tax Credit Bonds.

**Line 2.** Shows interest or principal forfeited because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the instructions for Form 1040 to see where to take the deduction.

**Line 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included on line 1.

**Line 4.** See "Backup Withholding" section.

**Line 5.** Any amount shown is your share of investment expenses of a single-class REMIC. If you file Form 1040, you may deduct these expenses on the "Other expenses" line of Schedule A (Form 1040) subject to the 2% limit. This amount is included on line 1.

**Line 6.** Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040. See your Form 1040 instructions.

**Line 7.** Shows the country or U.S. possession to which the foreign tax was paid.

**Line 8.** Shows tax-exempt interest paid to you during the calendar year by the payer. Report this amount on line 8b of Form 1040 or Form 1040A. This amount may be subject to backup withholding. See line 4.

**Line 9.** Shows tax-exempt interest subject to the alternative minimum tax. This amount is included on line 8. See the instructions for Form 6251.

**Line 10.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid to you during the calendar year and reported on line 8. If blank, no CUSIP number was issued for the bond(s).

**Lines 11-13.** State tax withheld reporting lines

### 1099-OID Instructions for Recipient

Original issue discount (OID) is the excess of an obligation's stated redemption price at maturity over its

issue price (acquisition price for a stripped bond or coupon). OID is taxable as interest over the life of the obligation. If you are the holder of an OID obligation, generally you must include an amount of OID in your gross income each year you hold the obligation. Obligations that may have OID include a bond, debenture, note, certificate, or other evidence of indebtedness having a term of more than 1 year. For example, the OID rules may apply to certificates of deposit (CDs), time deposits, bonus savings plans, and other deposit arrangements, especially if the payment of interest is deferred until maturity. In addition, the OID rules apply to Treasury inflation-protected securities. See Pub. 550, Investment Income and Expenses, for more information.

**Line 1.** Shows the OID on the obligation for the part of the year you owned it. Report the amount on line 1 as interest income on your income tax return. However, depending on the type of debt instrument, the issue or acquisition date, and other factors (for example, if you paid acquisition or bond premium, or the obligation is a stripped bond or coupon), you may have to figure the correct amount of OID to report on your return. See Pub. 1212, Guide to Original Issue Discount (OID) Instruments, for details on how to figure the correct OID.

**Line 2.** Shows other interest on this obligation for the year, which is an amount separate from the OID. If you held the obligation the entire year, report this amount as interest income on your tax return. If you disposed of the obligation or acquired it from another holder during the year, see Pub. 550 for reporting instructions. If there is an amount on both lines 2 and 8, the amount on line 2 is interest on a U.S. Treasury obligation and is exempt from state and local income taxes.

**Line 3.** Shows interest or principal forfeited if you withdrew the money before the maturity date of the obligation, such as from a CD. You may be able to figure your adjusted gross income on your income tax return. See the instructions for Form 1040 to see where to take the deduction.

**Line 4.** See "Backup Withholding" section.

**Line 5.** Shows the foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040. See your Form 1040 instructions.

**Line 6.** Shows the country or U.S. possession to which the foreign tax was paid.

**Line 7.** Shows the identification number (CUSIP number) or description of the obligation (may include the stock exchange, issuer, coupon rate, and year of maturity).

**Line 8.** Shows OID on a U.S. Treasury obligation for the part of the year you owned it. Report this amount as interest income on your federal income tax return, and see Pub. 1212 to figure any appropriate adjustments to this amount. This OID is exempt from state and local income taxes and is not

included on line 1.

**Line 9.** Any amount shown is your share of investment expenses of a single-class REMIC. If you file Form 1040, you may deduct these expenses on the "Other expenses" line of Schedule A (Form 1040) subject to the 2% limit. This amount is included on line 2.

**Lines 10-12.** State income tax withheld reporting.

## 2013

### 1099-B Instructions for Recipient

Brokers and barter exchanges must report proceeds from transactions to you and the IRS on Form 1099-B. Reporting is also required when your broker knows or has reason to know that a corporation in which you own stock has had a reportable change in control or capital structure. You may be required to recognize gain from the receipt of cash, stock, or other property that was exchanged for the corporation's stock. If your broker reported this type of transaction to you, the corporation is identified in column 8.

**CUSIP Number.** For broker transactions, may show the CUSIP (Committee on Uniform Security Identification Procedures) number or other applicable identifying number of the item reported.

**Column 1a.** Shows the trade date of the sale or exchange delivered to close the short sale. For aggregate reporting on line 9 through 12, no entry will be present.

**Column 1b.** This column may be blank if line 6 states noncovered or if the securities sold were acquired on a variety of dates. For short sales, the date shown is the date you acquired the security delivered to close the short sale.

**Column 2a.** Shows the aggregate cash proceeds from transactions involving stocks, bonds, other debt obligations, commodities, or forward contracts. May show the proceeds from the disposition of your interest(s) in a widely held fixed investment trust. May also show the aggregate amount of cash received in a reportable change in control or other property and the fair market value of any stock or other property structure arising from the corporate transfer of property to a foreign corporation. Losses on forward contracts are shown in parentheses. This column does not include proceeds from regulated futures contracts. The broker must indicate whether the sales price or the sales price less commissions (including transfer taxes) and option premiums was reported to the IRS. Report this amount on Form 8949 or on Schedule D (whichever is applicable) as explained in the instructions for Schedule D.

**Line 2b.** If checked, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported on line 2a. Do not report this loss on Form 8949 or Schedule D. The broker should advise you of any losses on a separate statement.

**Column 3.** Shows the cost or other basis of securities sold. If line 6 states noncovered, column 3 may be blank. See the Form 8949 instructions, Schedule D instructions, or Pub. 550 for details.

**Line 4.** See "Backup Withholding" section.

**Line 5.** Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see the Schedule D (Form 1040) instructions and Pub. 550.

**Line 6.** If noncovered, the securities sold were noncovered securities and columns 1b, 3, and lines 1c and 5 may be blank. Generally a noncovered security means, a security other than stock; stock purchased before 2011; stock in most mutual funds and other regulated investment companies purchased before 2012; and stock purchased in or transferred to a dividend reinvestment plan before 2012.

**Line 8.** Shows a brief description of the item or service for which the proceeds is being reported. For regulated futures contracts and forward contracts, "RFC" or other appropriate description must be shown. For a corporation that had a reportable change in control or capital structure, this may show the class of stock as C (common), P (preferred), or O (other).

**Regulated Futures Contracts (Lines 9 Through 12):**

**Line 9.** Shows the profit or (loss) realized on regulated futures or foreign currency contracts closed during 2013.

**Line 10.** Shows any year-end adjustment to the profit or (loss) shown on line 9 due to open contracts on December 31, 2012.

**Line 11.** Shows the unrealized profit or (loss) on open contracts held in your account on December 31, 2013. These are considered closed out as of that date. This will become an adjustment reported as unrealized profit or (loss) on open contracts-12/31/2013 in 2014.

**Line 12.** Lines 9, 10 and 11 are all used to figure the aggregate profit or (loss) on regulated futures or foreign currency contracts for the year. Include this amount on your 2013 Form 6781.

**Lines 13-15.** Shows state income tax withheld.

**Line 13.** Shows the identification number (CUSIP number) or description of the obligation (may include the stock exchange, issuer, coupon rate, and year of maturity).

**Line 14.** Shows OID on a U.S. Treasury obligation for the part of the year you owned it. Report this amount as interest income on your federal income tax return, and see Pub. 1212 to figure any appropriate adjustments to this amount. This OID is exempt from state and local income taxes and is not

included on line 1.

**Line 15.** Any amount shown is your share of investment expenses of a single-class REMIC. If you file Form 1040, you may deduct these expenses on the "Other expenses" line of Schedule A (Form 1040) subject to the 2% limit. This amount is included on line 2.

**Lines 16-18.** State income tax withheld reporting.

**1099-MISC Instructions for Recipient**

**Form 1099-MISC incorrect?** If this form is incorrect or has been issued in error, contact the payer. If you cannot get this form corrected, attach an explanation to your tax return and report your income correctly.

**Line 1.** Report rents from real estate on Schedule E (Form 1040). However, report rents on Schedule C (Form 1040) if you provided significant services to the tenant, sold real estate as a business, or rented personal property as a business.

**Line 2.** Report royalties from oil, gas, or mineral properties, copyrights, and patents on Schedule E (Form 1040). However, report payments for a working interest as explained in the line 7 instructions. For royalties on timber, coal, and iron ore, see Pub. 544.

**Line 3.** Generally, report this amount on the "Other income" line of Form 1040 (or Form 1040NR) and identify the payment. The amount shown may be payments received as the beneficiary of a deceased employee, prizes, awards, taxable damages, Indian gaming profits, or other taxable income. See Pub. 525. If it is trade or business income, report this amount on Schedule C or F (Form 1040).

**Line 4.** See "Backup Withholding" section.

**Line 8.** Shows substitute payments in lieu of dividends or tax-exempt interest received by your broker on your behalf as a result of a loan of your securities. Report on the "Other income" line of Form 1040 (or Form 1040NR).

**Line 11.** Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040. See the Form 1040 instructions.

**Line 12.** Shows the country or U.S. possession to which the foreign tax was paid.

**Lines 16-18.** Shows state or local income tax withheld from the payments.

**Backup Withholding**

**Line/Column 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your taxpayer identification number (TIN) or you did not furnish the correct TIN to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include this amount on your income tax return as tax withheld.





**FIRST NORTHERN BANK**

December 31, 2012 to December 31, 2013

Account # 47250607

**DAVID DAVIS**

Raymond James Financial Services, Inc.  
FIRST NORTHERN BANK | 508 SECOND STREET  
REGENCY SQUARE, SUITE 102  
DAVIS, CA. 95616 | (888) 869-2206  
David.Davis@RaymondJames.com

# Annual



DIXON FOUNDATION  
PO BOX 880  
DIXON CA 95620-0880804

**Raymond James Client Services**  
800-647-SERV (7378)  
Monday - Friday 8 a.m. to 6 p.m. ET

**Online Account Access**  
[raymondjames.com/investoraccess](http://raymondjames.com/investoraccess)

## Dixon Foundation Annual Summary - #47250607

		This Statement	Year to Date
<b>Value This Statement</b>			
<b>\$40,639.21</b>			
<b>Beginning Balance</b>		<b>\$40,682.15</b>	<b>\$40,682.15</b>
Deposits		\$0 00	\$0 00
Income		\$184.91	\$184.91
Withdrawals		\$0 00	\$0.00
Expenses		\$0 00	\$0 00
Change in Value		\$(227.85)	\$(227.85)
<b>Ending Balance</b>		<b>\$40,639.21</b>	<b>\$40,639.21</b>
Last Statement	Prior Year-End		
\$40,682.15	\$40,682.15		

## Important Messages

- Your primary objective is Income, with a high risk tolerance and a time horizon less than 5 years

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FIRST NORTHERN BANK

December 31, 2012 to December 31, 2013

Account # 47250607

## Your Portfolio

For more information,  
visit [raymondjames.com/investoraccess](http://raymondjames.com/investoraccess)

	Quantity	Price	Value	Gain or (Loss) <sup>°</sup>	Estimated Annual Income
<b>Cash &amp; Cash Alternatives</b>					
Eagle Class-JPMorgan U.S. Government Money Market Fund (JJGXX) 0.01%	0 250	\$1.000	\$0.25		
<b>Cash &amp; Cash Alternatives Total</b>			<b>\$0.25</b>		<b>\$0.00</b>
<b>Mutual Funds</b>					
VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX)	3,805 146	\$10 680	\$40,638.96	\$1,127.11 <sup>B</sup>	\$143.45
<b>Mutual Funds Total</b>			<b>\$40,638.96</b>	<b>\$1,127.11</b>	<b>\$143.45</b>
<b>Portfolio Total</b>			<b>\$40,639.21</b>	<b>\$1,127.11</b>	<b>\$143.45</b>

<sup>B</sup> Please see Cost Basis on the Understanding Your Statement page regarding Open End Mutual Funds

<sup>°</sup> Please see Cost Basis on the Understanding Your Statement page

## Your Activity

Date	Activity Type	Description	Quantity	Amount
<b>Income</b>				
01/02/2013	Dividend/Interest - 2012	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) \$.00304 per share x 3,787.886 shares		\$11.50
02/01/2013	Dividend - Taxable	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) \$.00307 per share x 3,788.957 shares		\$11.64
03/01/2013	Dividend - Taxable	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) \$.00289 per share x 3,790.042 shares		\$10.95
04/02/2013	Dividend - Taxable	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) \$.00319 per share x 3,791.062 shares		\$12.10

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FIRST NORTHERN BANK

December 31, 2012 to December 31, 2013

Account # 47250607

**Your Activity (continued)**

Date	Activity Type	Description	Quantity	Amount
<b>Income (continued)</b>				
05/01/2013	Dividend - Taxable	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) \$ 00295 per share x 3,792 189 shares		\$11.18
06/03/2013	Dividend - Taxable	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) \$ 00303 per share x 3,793.229 shares		\$11.50
07/01/2013	Dividend - Taxable	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) \$ 00264 per share x 3,794.303 shares		\$10.00
08/01/2013	Dividend - Taxable	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) \$ 00322 per share x 3,795 239 shares		\$12 21
09/03/2013	Dividend - Taxable	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) \$ 00339 per share x 3,796 381 shares		\$12.87
10/01/2013	Dividend - Taxable	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) \$.00318 per share x 3,797.587 shares		\$12.06
11/01/2013	Dividend - Taxable	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) \$ 00357 per share x 3,798 713 shares		\$13 55
12/02/2013	Dividend - Taxable	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) \$ 00356 per share x 3,799 977 shares		\$13.54

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FIRST NORTHERN BANK

December 31, 2012 to December 31, 2013

Account # 47250607

**Your Activity (continued)**

Date	Activity Type	Description	Quantity	Amount
<b>Income (continued)</b>				
12/18/2013	Capital Gain	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) <i>Long Term Capital Gain \$.00900 per share x 3,801.949 shares</i>		\$34.21
12/18/2013	Capital Gain	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) <i>Short Term Capital Gain \$.00200 per share x 3,801.239 shares</i>		\$7.60
<b>Income Total</b>				<b>\$184.91</b>

‡ According to IRS rules, this payment was constructively received last year, although it has been paid to you this year.

**Purchases, Sales and Redemptions**

01/02/2013	Reinvest	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) <i>\$ .00304 per share x 3,787.886 shares</i>	1.071	\$(11.50)
02/01/2013	Reinvest	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) <i>\$.00307 per share x 3,788.957 shares</i>	1.085	\$(11.64)
03/01/2013	Reinvest	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) <i>\$ .00289 per share x 3,790.042 shares</i>	1.020	\$(10.95)
04/02/2013	Reinvest	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) <i>\$ .00319 per share x 3,791.062 shares</i>	1.127	\$(12.10)
05/01/2013	Reinvest	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) <i>\$ .00295 per share x 3,792.189 shares</i>	1.040	\$(11.18)
06/03/2013	Reinvest	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) <i>\$ .00303 per share x 3,793.229 shares</i>	1.074	\$(11.50)

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FIRST NORTHERN BANK

December 31, 2012 to December 31, 2013

Account # 47250607

**Your Activity (continued)**

Date	Activity Type	Description	Quantity	Amount
<b>Purchases, Sales and Redemptions (continued)</b>				
07/01/2013	Reinvest	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) \$ 00264 per share x 3,794.303 shares	0.936	\$(10.00)
08/01/2013	Reinvest	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) \$ 00322 per share x 3,795.239 shares	1.142	\$(12.21)
09/03/2013	Reinvest	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) \$.00339 per share x 3,796.381 shares	1.206	\$(12.87)
10/01/2013	Reinvest	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) \$.00318 per share x 3,797.587 shares	1.126	\$(12.06)
11/01/2013	Reinvest	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) \$ 00357 per share x 3,798.713 shares	1.264	\$(13.55)
12/02/2013	Reinvest	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) \$ 00356 per share x 3,799.977 shares	1.262	\$(13.54)
12/18/2013	Reinvest	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX)	3.197	\$(34.21)
12/18/2013	Reinvest	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX)	0.710	\$(7.60)

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**FIRST NORTHERN BANK**

December 31, 2012 to December 31, 2013

Account # 47250607

## Understanding Your Statement

Raymond James & Associates, Inc. (RJ&A), member New York Stock Exchange/SIPC, carries your account and acts as custodian for funds and securities deposited with us, directly by you, through Raymond James Financial Services, Inc. (RJFS), or as a result of transactions we process for your account. RJFS maintains written agreements with financial institutions. Unless otherwise specified, products purchased through RJFS or held at RJ&A are not insured by the FDIC, NCUA, other financial institution insurance or government agencies, are not deposits or other obligations of and are not guaranteed by the financial institution, and are subject to investment risks, including possible loss of principal invested. Our independent financial advisors may also be involved in other business entities, including their own registered investment advisor firms and/or independent insurance relationships, unrelated to their association with RJFS. These entities are completely independent of Raymond James. RJFS serves as the broker/dealer of record for your investment securities accounts only. Checks for the purchase of investment securities should be made payable to Raymond James & Associates unless you are submitting your investment directly to a recognized mutual fund or insurance company. Information about commissions, service fees and other charges related to your transactions is included on your transaction confirmations. All financial products you have purchased or sold through your Raymond James financial advisor should appear on a trade confirmation and your account statements. Please contact your financial advisor and Raymond James Client Services at 800-647-7378 if you do not see any such purchase or sale reported on your trade confirmation or account statements, if you have questions about the securities positions, balances and transactions in your account, or if you note any other inaccuracy on your account statement. Any oral communications should be reconfirmed in writing to further protect your rights, including rights under the Securities Investor Protection Act. Raymond James' financial statement is available for your inspection at its offices or at raymondjames.com, or a copy will be mailed upon your written request. All other inquiries, including updates to your investment profile and questions about the following information regarding the investments held in your account, should be directed to your financial advisor.

Raymond James International Headquarters | 880 Carillon Parkway | St. Petersburg, FL 33716 | raymondjames.com

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Raymond James & Associates, Inc. and Raymond James Financial Services, Inc. are affiliated with Raymond James Bank, National Association (N.A.), member FDIC. Unless otherwise specified, products purchased from or held at Raymond James & Associates or purchased from Raymond James Financial Services are not insured by the FDIC, are not deposits or other obligations of Raymond James Bank, N.A., are not guaranteed by Raymond James Bank, N.A., and are subject to investment risks, including possible loss of the principal invested.

**Cost Basis** - Investment gain or loss reflects the unrealized gain or loss using adjusted cost basis. Adjusted cost basis may or may not reflect adjustments for return of principal/capital or accretion/amortization. Reinvestments of dividends or capital gain distributions are included in the adjusted cost basis calculation of the unrealized gain/loss with the exception of open end mutual funds. Cost basis for open end mutual funds does not include reinvested dividends or capital gains for calculating unrealized gain or loss on this statement. Clients who have elected the average cost reporting method will have the average cost per share of all tax lots applied to the cost basis used for calculating the unrealized gain or loss. Realized gain/loss information found under the Important Messages section includes reinvested dividend and capital gains in the calculation for all security types. Gain or loss information is displayed on this statement for your information only and should not be relied upon for tax reporting purposes.

A missing G/L calculation indicates that some or all of the tax lots for that position are missing cost basis. Please contact your financial advisor to have missing cost basis information added to your account.

For securities classified as Grantor or Royalty Trusts, Master Limited Partnerships or other widely held fixed income trusts, cost basis is not adjusted. These securities receive principal payments or distributions that are classified differently by the issuer at the end of the year. Clients

should continue to rely on the issuer information for both cost basis adjustments as well as proceeds adjustments for these securities. For this reason the gain/loss displayed will be unadjusted and is not a true indicator of the investment return. Any adjustment to sales proceeds will be reflected on your 1099.

Effective January 1, 2011, Raymond James reports adjusted cost basis for securities currently covered by the Emergency Economic Stabilization Act of 2008 to the IRS on Form 1099-B. Raymond James will default to the first-in, first-out (FIFO) cost basis accounting method for trades and transfers unless a different method has been selected. Adjustments made to your cost basis throughout the year may cause the information displayed on the client statement to differ from what is reported on the 1099-B which is provided to the IRS at the end of the year.

For tax lots or securities that are not covered by the Emergency Economic Stabilization Act of 2008, cost basis information may not be available, may have been estimated by you or your financial advisor, or may have been obtained from third-party sources, and in these instances, Raymond James cannot guarantee its accuracy. Information for uncovered positions will not be reported to the IRS.

**FINRA Disclosure** - For additional background information on any firm or representative registered with the Financial Industry Regulatory Authority (FINRA), please contact FINRA at 800-289-9999 or finra.org and request the public disclosure program brochure.

**Eagle Class - JPMorgan Money Market Funds** - Share balances for the Eagle Class - JPMorgan U.S. Government Money Market Fund, Eagle Class - JPMorgan Prime Money Market Fund and the Eagle Class - JPMorgan Tax Free Money Market Fund (which may also be referred to as Eagle - JPM US Gov, Eagle - JPM Prime or Eagle - JPM Tax Free throughout the statement) are held at the respective funds, not Raymond James & Associates, Inc. Purchases and redemptions resulting from cash sweeps to or from the funds are shown in the Cash Sweep Activity section of your statement.





**FIRST NORTHERN BANK**

December 31, 2012 to December 31, 2013

Account # 47250607

### Understanding Your Statement (continued)

**Estimated Annual Income and Estimated Income Yield** - The Estimated Annual Income (EAI) and Estimated Income Yield (EIY) provided on this statement are an estimate of the income a security will distribute during the year. These figures should not be confused with actual cash flows, investment yields or investment returns. Actual income or yield may be lower or higher than the estimated amounts. A number of factors may influence the actual income or yield that is received. The amount or frequency of an issuer's dividend may fluctuate or cease, which may cause the income and or yield of the security to fluctuate. EIY reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate. EAI and EIY for certain types of securities could include a return of principal or capital gains which could overstate the EAI and EIY. Information used to calculate Estimated Annual Income and or Estimated Income Yield may be obtained from third party sources and Raymond James cannot guarantee the accuracy of such information. Estimated Annual Income and or Estimated Income Yield amounts should not be used as a financial planning tool.

**Pricing** - While sources used for pricing publicly traded securities are considered reliable, the prices displayed on your statement may be based on actual trades, bid/ask information or vendor evaluations. As such, the prices displayed on your statement may or may not reflect actual trade prices you would receive in the current market. Pricing for non-publicly traded securities is obtained from a variety of sources, which may include issuer-provided information. Raymond James does not guarantee the accuracy, reliability, completeness or attainability of this information. Investment decisions should be made only after contacting your financial advisor.

**Product Interest Rate Risk** - Within certain packaged products (for example, open-end mutual funds, closed-end mutual funds and exchange traded funds), any fixed income security held in the product portfolio is affected by several risks, including, without limitation, interest rate, prepayment, and credit related risks. Any rise (fall) in interest rates may reduce (increase) the value of the investment. An overview of these and other risks is available at [raymondjames.com](http://raymondjames.com), [finra.org](http://finra.org), [emma.msrb.org](http://emma.msrb.org) and [investigatingbonds.com](http://investigatingbonds.com).

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# FIRST NORTHERN BANK

Stability. Strength. Security.

Since 1910.

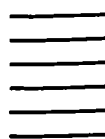
www.thatsmybank.com

## STATEMENT OF ACCOUNT

Account Number: 14411803

Statement Date: 12/31/2013

Page 1 of 1



Return Service Requested

DIXON FOUNDATION  
C/O DEL HOLLY  
PO BOX 880  
DIXON CA 95620-0880

101



2989-151

BEST WISHES FOR A VERY HAPPY AND PROSPEROUS NEW YEAR!

### BUSINESS STATEMENT ACCOUNT

14411803

Description	Debits	Credits	Date	Balance
BALANCE LAST STATEMENT .....			09/30/13	369.79
INTEREST .....		.05	12/31/13	369.84
BALANCE THIS STATEMENT .....			12/31/13	369.84
TOTAL CREDITS (1)	.05			
TOTAL DEBITS (0)	.00			

#### INTEREST

AVERAGE LEDGER BALANCE:	369.79	INTEREST EARNED:	.05
AVERAGE AVAILABLE BALANCE:	369.79	DAYS IN PERIOD:	92
INTEREST PAID THIS PERIOD:	.05	ANNUAL PERCENTAGE YIELD EARNED:	.05%
INTEREST PAID 2013:	.18		
INTEREST RATE:	.0500%		

END OF STATEMENT



Account # 47250607

**Raymond James Financial Services, Inc.**  
**FIRST NORTHERN BANK | 508 SECOND STREET**  
**REGENCY SQUARE, SUITE 102**  
**DAVIS, CA. 95616 | (888) 869-2206**  
**David.Davis@RaymondJames.com**

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DIXON FOUNDATION  
PO BOX 880  
DIXON CA 95620-0880804



**Raymond James Client Services**  
800-647-SERV (7378)  
Monday - Friday 8 a.m. to 6 p.m. ET

**Online Account Access**  
raymondjames.com/investoraccess



**FIRST NORTHERN BANK**

November 29 to December 31, 2013

Account # 47250607

**Your Activity (continued)**

Date	Activity Type	Description	Quantity	Amount
<b>Purchases, Sales and Redemptions</b>				
12/02/2013	Reinvest	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX) <i>\$ 00356 per share x 3,799.977 shares</i>	1.262	\$(13.54)
12/18/2013	Reinvest	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX)	3.197	\$(34.21)
12/18/2013	Reinvest	VANGUARD SHORT TERM TREASURY FUND INVESTOR CLASS N/L (VFISX)	0.710	\$(7.60)





**FIRST NORTHERN BANK**

November 29 to December 31, 2013

Account # 47250607

### Understanding Your Statement (continued)

**Estimated Annual Income and Estimated Income Yield** - The Estimated Annual Income (EAI) and Estimated Income Yield (EIY) provided on this statement are an estimate of the income a security will distribute during the year. These figures should not be confused with actual cash flows, investment yields or investment returns. Actual income or yield may be lower or higher than the estimated amounts. A number of factors may influence the actual income or yield that is received. The amount or frequency of an issuer's dividend may fluctuate or cease, which may cause the income and or yield of the security to fluctuate. EIY reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate. EAI and EIY for certain types of securities could include a return of principal or capital gains which could overstate the EAI and EIY. Information used to calculate Estimated Annual Income and or Estimated Income Yield may be obtained from third party sources and Raymond James cannot guarantee the accuracy of such information. Estimated Annual Income and or Estimated Income Yield amounts should not be used as a financial planning tool.

**Pricing** - While sources used for pricing publicly traded securities are considered reliable, the prices displayed on your statement may be based on actual trades, bid/ask information or vendor evaluations. As such, the prices displayed on your statement may or may not reflect actual trade prices you would receive in the current market. Pricing for non-publicly traded securities is obtained from a variety of sources, which may include issuer-provided information. Raymond James does not guarantee the accuracy, reliability, completeness or attainability of this information. Investment decisions should be made only after contacting your financial advisor.

**Product Interest Rate Risk** - Within certain packaged products (for example, open-end mutual funds, closed-end mutual funds and exchange traded funds), any fixed income security held in the product portfolio is affected by several risks, including, without limitation, interest rate, prepayment, and credit related risks. Any rise (fall) in interest rates may reduce (increase) the value of the investment. An overview of these and other risks is available at [raymondjames.com](http://raymondjames.com), [finra.org](http://finra.org), [emma.msrb.org](http://emma.msrb.org) and [investigatingbonds.com](http://investigatingbonds.com).





**FIRST NORTHERN BANK**

November 29 to December 31, 2013

## Important Account Information

The following is important information related to your Raymond James accounts. If you have questions about this information, please contact your financial advisor or call Raymond James Client Services at 800-647-7378.

### RAYMOND JAMES CLIENT AGREEMENT CHANGES

Raymond James recently changed the terms of our Client Agreement. Pursuant to the terms of your Client Agreement, if you do not contact us to terminate the agreement, your existing agreement will include the following changes effective 30 days from the date of this notice. The following *Uncashed Client Checks* section has been added to the agreement.

**"Uncashed Client Checks:** Client checks that are not cashed within 120 days of issuance (90 days for standard check age plus 30 days hold period) will be redeposited to the originating client account, unless said check is for a de minimus amount (currently \$20). If the amount is less than the de minimus amount, the uncashed funds are placed in payable account for potential escheatment. This policy remains in effect and notification is hereby provided in accordance with interpretative guidance under Securities Exchange Act Rule 17AD-17."

### NOTICE OF CHANGE TO RAYMOND JAMES' CASH "SWEEP" PROGRAMS

Raymond James now offers the Raymond James Bank Deposit Program (RJBDP) for non-individual, for-profit accounts, including corporations, partnerships, foundations, unincorporated associations, limited liability companies, sole proprietorships and investment clubs. The Client Interest Program (CIP) has been discontinued as a sole option for these accounts.

### STATEMENT OF FINANCIAL CONDITION

Securities industry regulation requires that we make available to you our Statement of Financial Condition on a semiannual basis. Included in this document is the amount of net capital that we have, as required by the Securities and Exchange Commission's Uniform Net Capital Rule.

Under that rule, the net capital for Raymond James & Associates, which is custodian for your account, must be the highest minimum net capital requirement of all its regulators and is the greater of \$1,000,000 or 2% of aggregate debit items arising from client transactions. Minimum capital requirements are designed to ensure we operate in the best interest of our clients. Financial Industry Regulatory Authority (FINRA) may require a member firm to reduce its business if its net capital is less than 4% of aggregate debit items and may prohibit a member firm from expanding its business and declaring dividends if its net capital is less than 5% of aggregate debit items.

As of September 30, 2013, Raymond James and Associates' percentage was 23.14%, as compared with the minimum 2%, and net capital, as defined, was \$435,343,000, as compared with minimum required net capital of \$37,625,000 resulting in excess net capital of \$397,718,000.

For a complete copy of our audited Statement of Financial Condition, please visit [raymondjames.com/rja](http://raymondjames.com/rja) and click on "Raymond James & Associates Statement of Financial Condition - September 2013," or call Raymond James Client Services at 800-647-7378.

### ENSURING ACCURATE ACCOUNT INFORMATION AND ACTIVITY

To help ensure that you stay informed on the current status of your investment portfolio, please remember to carefully review all account statements and confirmations to verify the accuracy of your account holdings and any activity that has occurred. If you have made a purchase or sale through your financial advisor and it is not reflected on your statement, or if you discover any errors or transactions not in accordance with your instructions, please contact your financial advisor or Raymond James Client Services at 800-647-7378. All subsequent corrections will be reflected in your next account statement.



# FIRST NORTHERN BANK

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## STATEMENT OF ACCOUNT

Account Number: 14411803

Statement Date: 09/30/2013

Page 1 of 1

Return Service Requested

DIXON FOUNDATION  
C/O DEL HOLLY  
PO BOX 880  
DIXON CA 95620-0880

101



3101-151

### BUSINESS STATEMENT ACCOUNT

14411803

Description	Debits	Credits	Date	Balance
BALANCE LAST STATEMENT .....			06/30/13	369.74
INTEREST .....		.05	09/30/13	369.79
BALANCE THIS STATEMENT .....			09/30/13	369.79

TOTAL CREDITS	(1)	.05
TOTAL DEBITS	(0)	.00

#### INTEREST

AVERAGE LEDGER BALANCE:	369.74	INTEREST EARNED:	.05
AVERAGE AVAILABLE BALANCE:	369.74	DAYS IN PERIOD:	92
INTEREST PAID THIS PERIOD:	.05	ANNUAL PERCENTAGE YIELD EARNED:	.05%
INTEREST PAID 2013:	.13		
INTEREST RATE:	.0500%		

END OF STATEMENT



# FIRST NORTHERN BANK

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## STATEMENT OF ACCOUNT

Account Number: 14411803

Statement Date: 06/30/2013

Page 1 of 1

Return Service Requested

DIXON FOUNDATION  
C/O DEL HOLLY  
PO BOX 880  
DIXON CA 95620-0880

101



3142-151

### BUSINESS STATEMENT ACCOUNT

14411803

Description	Debits	Credits	Date	Balance
BALANCE LAST STATEMENT .....			03/31/13	344.70
DEPOSIT .....		25.00	05/13/13	369.70
INTEREST .....		.04	06/30/13	369.74
BALANCE THIS STATEMENT .....			06/30/13	369.74

TOTAL CREDITS	(2)	25.04
TOTAL DEBITS	(0)	.00

#### INTEREST

AVERAGE LEDGER BALANCE:	358.16	INTEREST EARNED:	.04
AVERAGE AVAILABLE BALANCE:	358.16	DAYS IN PERIOD:	91
INTEREST PAID THIS PERIOD:	.04	ANNUAL PERCENTAGE YIELD EARNED:	.04%
INTEREST PAID 2013:	.08		
INTEREST RATE:	.0500%		

END OF STATEMENT



# FIRST NORTHERN BANK

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## STATEMENT OF ACCOUNT

Account Number. 14411803

Statement Date: 03/31/2013

Page 1 of 1

Return Service Requested

DIXON FOUNDATION  
C/O DEL HOLLY  
PO BOX 880  
DIXON CA 95620-0880

101



3268-151

### BUSINESS STATEMENT ACCOUNT

14411803

Description	Debits	Credits	Date	Balance
BALANCE LAST STATEMENT .....			12/31/12	344.66
INTEREST .....		.04	03/31/13	344.70
BALANCE THIS STATEMENT .....			03/31/13	344.70

TOTAL CREDITS	(1)	.04
TOTAL DEBITS	(0)	.00

#### INTEREST

AVERAGE LEDGER BALANCE:	344.66	INTEREST EARNED:	.04
AVERAGE AVAILABLE BALANCE:	344.66	DAYS IN PERIOD:	90
INTEREST PAID THIS PERIOD:	.04	ANNUAL PERCENTAGE YIELD EARNED:	.05%
INTEREST PAID 2013:	.04		
INTEREST RATE:	.0500%		

END OF STATEMENT