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Form

990-PF

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052

2013

Open to Public Inspection

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

Name of foundation THE TODD BROCK FAMILY FOUNDATION		A Employer identification number 26-2049780	
Number and street (or P O box number if mail is not delivered to street address) 4349 CROW RD		B Telephone number (see instructions) (409) 554-0175	
City or town, state or province, country, and ZIP or foreign postal code BEAUMONT, TX 77706		C If exemption application is pending, check here ☐	
G Check all that apply ☐ Initial return ☐ Final return ☒ Address change ☐ Initial return of a former public charity ☐ Amended return ☐ Name change		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐	
H Check type of organization ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 4,003,090	J Accounting method ☒ Cash ☐ Accrual ☐ Other (specify) _____ (Part I, column (d) must be on cash basis.)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐	

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)	1,000,000			
	2 Check ☒ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	242,076	242,023		
	4 Dividends and interest from securities.	13,439	13,439		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	185,192			
	b Gross sales price for all assets on line 6a 3,270,434				
	7 Capital gain net income (from Part IV, line 2) . . .		185,192		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
Operating and Administrative Expenses	11 Other income (attach schedule)	5,839	2,823		
	12 Total. Add lines 1 through 11	1,446,546	443,477		
	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)	2,662	2,662		
	c Other professional fees (attach schedule)	36,067	36,067		
	17 Interest	18,464	18,464		
	18 Taxes (attach schedule) (see instructions)	6,224	6,224		
	19 Depreciation (attach schedule) and depletion . . .				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	26,954	26,954		
	24 Total operating and administrative expenses.				
	Add lines 13 through 23	90,371	90,371		0
	25 Contributions, gifts, grants paid	649,449			649,449
	26 Total expenses and disbursements. Add lines 24 and 25	739,820	90,371		649,449
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	706,726			
	b Net investment income (if negative, enter -0-)		353,106		
	c Adjusted net income (if negative, enter -0-)				

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	549,331	502,408	502,407
	2	Savings and temporary cash investments	14,552		
	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)	646,370		
	b	Investments—corporate stock (attach schedule)	754,642		
	c	Investments—corporate bonds (attach schedule).	1,398,771	720,000	720,000
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	166,470	2,708,944	2,780,683
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
15	Other assets (describe ▶ _____)				
16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	3,530,136	3,931,352	4,003,090	
Liabilities	17	Accounts payable and accrued expenses	300,000		
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ _____)	5,510		
	23	Total liabilities (add lines 17 through 22)	305,510	0	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.				
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	3,224,626	3,931,352	
	30	Total net assets or fund balances (see page 17 of the instructions)	3,224,626	3,931,352	
31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	3,530,136	3,931,352		

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	3,224,626
2	Enter amount from Part I, line 27a	2	706,726
3	Other increases not included in line 2 (itemize) ▶ _____	3	
4	Add lines 1, 2, and 3	4	3,931,352
5	Decreases not included in line 2 (itemize) ▶ _____	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	3,931,352

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)		(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
1a	See Additional Data Table			
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 See Additional Data Table			
b			
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a See Additional Data Table			
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	185,192
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8		3	99,271

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2012	914,977	3,689,266	0 248011
2011	514,750	4,252,733	0 121040
2010	474,125	4,017,887	0 118004
2009	1,299,882	4,471,761	0 290687
2008	1,383,611	4,960,329	0 278935

2	Total of line 1, column (d).	2	1 056677
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0 211335
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	2,182,102
5	Multiply line 4 by line 3.	5	461,155
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	3,531
7	Add lines 5 and 6.	7	464,686
8	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	8	649,449

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)			
1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1		1	3,531
Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b			
c All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		2	
3 Add lines 1 and 2.		3	3,531
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		4	
5 Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0-		5	3,531
6 Credits/Payments			
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	5,003
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	5,003
8 Enter any penalty for underpayment of estimated tax Check here ☒ if Form 2220 is attached		8	5
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed		9	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid.		10	1,467
11 Enter the amount of line 10 to be Credited to 2014 estimated tax 1,467 Refunded		11	

Part VII-A Statements Regarding Activities			
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		1a	No
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)?		1b	No
If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.			
c Did the foundation file Form 1120-POL for this year?.		1c	No
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation \$ _____ (2) On foundation managers \$ _____			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$ _____			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS?		2	No
If "Yes," attach a detailed description of the activities.			
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		3	No
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?.		4a	No
b If "Yes," has it filed a tax return on Form 990-T for this year?.		4b	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?		5	No
If "Yes," attach the statement required by General Instruction T.			
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either - By language in the governing instrument, or - By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?		6	Yes
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV.		7	Yes
8a Enter the states to which the foundation reports or with which it is registered (see instructions) _____			
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation .		8b	Yes
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV		9	No
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses.		10	No

Part VII-A

Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
Website address N/A				
14	The books are in care of PAUL L PEVETO Telephone no (409) 554-0175 Located at 4349 CROW RD BEAUMONT TX ZIP+4 77706			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here and enter the amount of tax-exempt interest received or accrued during the year.	15		
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country				

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly)			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?		Yes	No
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?		Yes	No
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?		Yes	No
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?		Yes	No
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?		Yes	No
	(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days).		Yes	No
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here.	1b		
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?	1c		
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? If "Yes," list the years 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions).	2b		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?			
b	If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.).	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?	4b		No

Part VII-B

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

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

Part VIII

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

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).				
(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
TODD BROCK PO BOX 3528 BEAUMONT, TX 77704	PRESIDENT 5 00	0	0	0
DIANA BROCK PO BOX 3528 BEAUMONT, TX 77704	SECRETARY/TR 2 00	0	0	0
BRENNIN BROCK PO BOX 3528 BEAUMONT, TX 77704	VICE PRESIDE 1 00	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.				

Part VIII

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

NONE

Total number of others receiving over \$50,000 for professional services. 1

Part IX-A

1

2

3

4

Part IX-B

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

Amount

1 N/A

2

All other program-related investments See page 24 of the instructions

3

Total. Add lines 1 through 3

Part X

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities.	1a	2,083,468
b	Average of monthly cash balances.	1b	28,182
c	Fair market value of all other assets (see instructions).	1c	103,682
d	Total (add lines 1a, b, and c).	1d	2,215,332
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	
2	Acquisition indebtedness applicable to line 1 assets.	2	
3	Subtract line 2 from line 1d.	3	2,215,332
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	33,230
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	2,182,102
6	Minimum investment return. Enter 5% of line 5.	6	109,105

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	109,105
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	3,531
b	Income tax for 2013 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	3,531
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	105,574
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	105,574
6	Deduction from distributable amount (see instructions).	6	
7	Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1.	7	105,574

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	649,449
b	Program-related investments—total from Part IX-B.	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	649,449
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions).	5	3,531
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	645,918
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				105,574
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only.				
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2013				
a From 2008.	1,136,737			
b From 2009.	1,077,630			
c From 2010.	283,206			
d From 2011.	308,645			
e From 2012.	739,660			
f Total of lines 3a through e.	3,545,878			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 649,449				
a Applied to 2012, but not more than line 2a				
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).				
d Applied to 2013 distributable amount.				105,574
e Remaining amount distributed out of corpus	543,875			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).)				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	4,089,753			
b Prior years' undistributed income Subtract line 4b from line 2b.				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b Taxable amount—see instructions				
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions).				
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions). . .	1,136,737			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	2,953,016			
10 Analysis of line 9				
a Excess from 2009. . . .	1,077,630			
b Excess from 2010. . . .	283,206			
c Excess from 2011. . . .	308,645			
d Excess from 2012. . . .	739,660			
e Excess from 2013. . . .	543,875			

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

1a

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

b

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

☐ 4942(j)(3) or ☐ 4942(j)(5)

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

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

1

Information Regarding Foundation Managers:

a

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

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

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

TODD O BROCK
PO BOX 3528
BEAUMONT, TX 77704
(409) 833-6226

b

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

NONE

c

Any submission deadlines

NONE

d

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

NONE

Form 990-PF (2013)

Part XV

Supplementary Information (continued)

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year See Additional Data Table				
Total			3a	649,449
b Approved for future payment				
Total			3b	

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2013)

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(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)
SEE STATEMENT 1 - MERRILL LYNCH	P	2013-01-07	2013-12-31
SEE STATEMENT 1 - MERRILL LYNCH	P	2011-03-31	2013-12-31
SEE STATEMENT 1 - MERRILL LYNCH	P	2009-06-03	2013-12-31
SEE STATEMENT 2 - BLACKGOLD	P	2013-01-01	2013-12-31
SEE STATEMENT 2 - BLACKGOLD	P	2011-01-01	2013-12-31
FROM K-1 BLACKGOLD OPPORTUNITY FUND	P	2012-01-01	2013-12-31
FROM K-1 BLACKGOLD OPPORTUNITY FUND	P	2013-01-01	2013-12-31

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
876,383		815,815	60,568
228,622		199,034	29,588
82,060		55,113	26,947
1,569,905		1,514,979	54,926
505,375		484,078	21,297
8,064			8,064
		16,223	-16,223

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			60,568
			29,588
			26,947
			54,926
			21,297
			8,064
			-16,223

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
LEGACY CHRISTIAN ACADEMY 8200 HIGHWAY 105 8200 HIGHWAY 105 BEAUMONT,TX 77713	N/A	501(C)(3)	FUNDING FOR CHILD SPONSORSHIP	158,850
STAR OF HOPE 6897 ARDMORE ST 6897 ARDMORE ST HOUSTON,TX 77054	N/A	501(C)(3)	FUNDING TO HELP HOMELESS	10,000
YELLOWSTONE ACADEMY 3000 TRULLEY ST 3000 TRULLEY ST HOUSTON,TX 77004	N/A	501(C)(3)	FUNDING ANNUAL GOLF TOURNAMENT	200,000
12TH MAN FOUNDATION PO BOX 2800 PO BOX 2800 COLLEGE STATION,TX 77841	N/A	501(C)(3)	FUNDING OF KFC PROJECTS	25,000
ARCHWAY ACADEMY 6221 MAIN ST 6221 MAIN ST HOUSTON,TX 77030	N/A	501(C)(3)	FUNDING OF ATHLETES FOR ARCHWAY	500
BILLY GRAHAM EVANGELISTIC ASSOC PO BOX 3000 PO BOX 3000 BOONE,NC 28607	N/A	501(C)(3)	FUNDING OF HOPE AMERICA WITH BILLY G	15,000
EPILEPSY FOUNDATION 2630 FOUNTAIN VIEW 210 2630 FOUNTAIN VIEW 210 HOUSTON,TX 77057	N/A	501(C)(3)	FUNDING OF PASSPORT TO ADVENTURE	5,000
FAMILY LEGACY MISSIONS INT'L 5005 W ROYAL LANE 252 5005 W ROYAL LANE 252 IRVING,TX 75063	N/A	501(C)(3)	FUNDING OF CHILD SPONSORSHIPS	133,449
ILAM 24338 EL TORRO RD E246 24338 EL TORRO RD E246 LAGUNA WOODS,CA 92637	N/A	501(C)(3)	FUNDING MINISTRY ACTIVITIES	2,400
FIRST THINGS FIRST FOUNDATION ONE N FIRST ST STE 735 ONE N FIRST ST STE 735 PHOENIX,AZ 85004	N/A	501(C)(3)	FUNDING FOR TREASURE HOUSE COMMUNITY	40,000
LAMAR UNIVERSITY ATHLETICS PO BOX 10066 PO BOX 10066 BEAUMONT,TX 77710	N/A	501(C)(3)	FUNDING OF COLLEGIATE SPORT PROGRAMS	5,000
MEMORIAL VILLAGE POLICE OFFICERS 11981 MEMORIAL DR 11981 MEMORIAL DR HOUSTON,TX 77024	N/A	501(C)(3)	FUNDING FOR POLICE OFFICERS ASSOCIAT	1,500
SEAL LEGACY FOUNDATION 1401 MCKINNEY ST 2222 1401 MCKINNEY ST 2222 HOUSTON,TX 77010	N/A	501(C)(3)	FUNDING FOR NAVY SEALS AND FAMILIES	25,000
ASSOCIATION OF FORMER STUDENTS 505 GEORGE BUSH DR 505 GEORGE BUSH DR COLLEGE STATION,TX 77840	N/A	501(C)(3)	FUNDING FOR STUDENTS	250
THE ASTROS FOUNDATION PO BOX 288 PO BOX 288 HOUSTON,TX 77001	N/A	501(C)(3)	FUNDING FOUNDATION ANNUAL GOLF CLASS	2,500
Total  3a				649,449

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
TROOPS FIRST FOUNDATION 535 MAIN ST STE 211 535 MAIN ST STE 211 LAUREL, MD 20707	N/A	501(C)(3)	FUNDING THIRD ANNUAL VAQUEROS DEL MA	25,000
Total  3a				649,449

TY 2013 Accounting Fees Schedule

Name: THE TODD BROCK FAMILY FOUNDATION

EIN: 26-2049780

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INDIRECT ACCOUNTING FEES	2,662	2,662		

TY 2013 Compensation Explanation**Name:** THE TODD BROCK FAMILY FOUNDATION**EIN:** 26-2049780

Person Name	Explanation
TODD BROCK	
DIANA BROCK	
BRENNIN BROCK	

**TY 2013 Investments Corporate
Bonds Schedule****Name:** THE TODD BROCK FAMILY FOUNDATION**EIN:** 26-2049780

Name of Bond	End of Year Book Value	End of Year Fair Market Value
BG CCSINC 11.00% 11/15/2015		
BG NFREGY 9.75% 02/15/2017		
BG WDBNAC 12.00% 5/15/2016		
BG CCS INC 11.00% 11/15/2015		
BG GDP 5% 10/01/2029		
BG ROCKIE 7.5% 7/15/2038		
BG ROCKIE 6.875% 4/15/2040		
BG VQ 11.5% 10/01/2017		
BG VQ 8.875% 2/15/2019		
MERRILL LYNCH 98909	720,000	720,000

**TY 2013 Investments Corporate
Stock Schedule**

Name: THE TODD BROCK FAMILY FOUNDATION

EIN: 26-2049780

Name of Stock	End of Year Book Value	End of Year Fair Market Value
STATEMENT 6 - ML46237 VALUES		

TY 2013 Investments - Other Schedule**Name:** THE TODD BROCK FAMILY FOUNDATION**EIN:** 26-2049780

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
UTOPIA FILMS LLC	AT COST	103,683	103,683
STATEMENT 6 - ML46237 VALUES	AT COST		
BLACKGOLD OPPORTUNITY FUND	AT COST	2,605,261	2,677,000

TY 2013 Other Expenses Schedule**Name:** THE TODD BROCK FAMILY FOUNDATION**EIN:** 26-2049780

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXPENSES				
BANK SERVICE CHARGES	175	175		
BLACKGOLD OPPORTUNITY FUND -	3,650	3,650		
BLACKGOLD OPPORTUNITY FUND	11,441	11,441		
BLACK GOLD	11,688	11,688		

TY 2013 Other Income Schedule

Name: THE TODD BROCK FAMILY FOUNDATION

EIN: 26-2049780

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
BLACK GOLD	2,823	2,823	
UTOPIA FILMS LLC	1,243		
BLACKGOLD OPPORTUNITY FUND	1,773		

TY 2013 Other Liabilities Schedule

Name: THE TODD BROCK FAMILY FOUNDATION

EIN: 26-2049780

Description	Beginning of Year - Book Value	End of Year - Book Value
OTHER MISCELLANEOUS	5,510	

TY 2013 Other Professional Fees Schedule

Name: THE TODD BROCK FAMILY FOUNDATION

EIN: 26-2049780

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
MANAGEMENT FEES	33,497	33,497		
BG INVESTMENT EXPENSES	2,289	2,289		
LEGAL FEES	281	281		

TY 2013 Taxes Schedule**Name:** THE TODD BROCK FAMILY FOUNDATION**EIN:** 26-2049780

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAXES PAID	24	24		
OTHER TAXES	6,200	6,200		

TODD BROCK FAMILY FOUNDATION

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 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 "marketing 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)

ALTRIA GROUP INC	CUSIP Number	02209S103
1454.0000 Sale	03/27/12	01/03/13
307.0000 Sale	01/07/13	02/19/13
98.0000 Sale	01/07/13	03/07/13
283.0000 Sale	01/07/13	04/08/13
74.0000 Sale	01/07/13	04/09/13
212.0000 Sale	01/07/13	09/13/13
Security Subtotal		
ABBVIE INC SHS	CUSIP Number	00287Y109
71.0000 Sale	02/19/13	03/07/13
49.0000 Sale	02/19/13	04/08/13
13.0000 Sale	02/19/13	04/09/13
37.0000 Sale	02/19/13	09/13/13
Security Subtotal		
AT&T INC	CUSIP Number	00206R102
998.0000 Sale	03/27/12	01/03/13
211.0000 Sale	01/07/13	02/19/13
67.0000 Sale	01/07/13	03/07/13

TODD BROCK FAMILY FOUNDATION

2013 ANNUAL STATEMENT SUMMARY

1099-B

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1c 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
AT&T INC								
195 0000	Sale	01/07/13	04/08/13	7,314.28	6,915.67	0.00	398.61	
50 0000	Sale	01/07/13	04/09/13	1,891.45	1,773.25	0.00	118.20	
146 0000	Sale	01/07/13	09/13/13	5,004.79	5,177.89	0.00	(173.10)	
	Security Subtotal			59,122.64	55,372.37	0.00	3,750.27	
CONSOLIDATED EDISON INC								
159 0000	Sale	03/27/12	01/07/13	8,957.15	9,165.99	0.00	(208.84)	
CANADIAN IMPERIAL BANK OF COMM								
37 0000	Sale	04/18/12	01/07/13	3,037.63	2,805.37	0.00	232.26	
23 0000	Sale	04/18/12	02/19/13	1,918.44	1,743.88	0.00	174.56	
8 0000	Sale	04/18/12	03/07/13	645.50	606.56	0.00	38.94	
25 0000	Sale	04/18/12	04/08/13	1,918.45	1,895.52	0.00	22.93	
7 0000	Sale	04/18/12	04/09/13	541.08	530.74	0.00	10.34	
7 0000	Sale	03/28/13	09/13/13	550.33	546.53	0.00	3.80	
	Security Subtotal			8,611.43	8,128.60	0.00	482.83	
CHEVRON CORP								
49 0000	Sale	08/10/12	01/03/13	5,412.50	5,526.54	114.04 (W)	0.00	
46 0000	Sale	08/14/12	02/19/13	5,333.12	5,153.25	0.00 (Y)	179.87	
3 0000	Sale	08/14/12	03/07/13	355.70	336.09	0.00 (Y)	19.61	
12 0000	Sale	01/07/13	03/07/13	1,422.81	1,316.40	0.00	106.41	
43 0000	Sale	01/07/13	04/08/13	5,055.82	4,717.10	0.00	338.72	
11 0000	Sale	01/07/13	04/09/13	1,305.89	1,206.70	0.00	99.19	
32 0000	Sale	01/07/13	09/13/13	3,967.61	3,510.40	0.00	457.21	
	Security Subtotal			22,853.45	21,766.48	114.04	1,201.01	
CENTERPOINT ENERGY INC								
299 0000	Sale	03/27/12	01/07/13	5,851.29	5,857.29	0.00	(6.00)	
191 0000	Sale	03/27/12	02/19/13	3,900.13	3,741.61	0.00	158.52	
61 0000	Sale	03/27/12	03/07/13	1,316.35	1,194.97	0.00	121.38	
36 0000	Sale	03/08/13	09/13/13	823.67	784.12	0.00	39.55	
	Security Subtotal			11,891.44	11,577.99	0.00	313.45	
CONOCOPHILLIPS								
239 0000	Sale	03/27/12	01/03/13	14,179.55	14,203.34	23.79 (W)	0.00	
118 0000	Sale	03/27/12	01/03/13	7,000.78	7,012.53	0.00	(11.75)	
26 0000	Sale	03/31/12	02/19/13	1,519.93	1,540.62	20.69 (WY)	0.00	

TODD BROCK FAMILY FOUNDATION

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
CONOCOPHILLIPS								
49 0000	Sale	03/31/12	02/19/13	2,864.47	2,903.47	0.00 (Y)	(39.00)	
28 0000	Sale	03/31/12	03/07/13	1,620.88	1,659.12	0.00 (Y)	(38.24)	
	Security Subtotal			27,185.61	27,319.08	44.48	(88.99)	
COVANTA HLDG CORP								
16 0000	Sale	08/12/13	09/13/13	344.80	334.53	0.00	10.27	
41 0000	Sale	06/17/13	09/13/13	883.52	837.32	0.00	46.20	
	Security Subtotal			1,228.32	1,171.85	0.00	56.47	
CINEMARK HLDGS INC								
126 0000	Sale	04/24/12	01/07/13	3,428.38	2,830.49	0.00	597.89	
80 0000	Sale	04/24/12	02/19/13	2,351.94	1,797.14	0.00	554.80	
25 0000	Sale	04/24/12	03/07/13	681.23	561.60	0.00	119.63	
74 0000	Sale	04/24/12	04/08/13	2,150.39	1,662.35	0.00	488.04	
19 0000	Sale	04/24/12	04/09/13	550.60	426.82	0.00	123.78	
	Security Subtotal			9,162.54	7,278.40	0.00	1,884.14	
CISCO SYSTEMS INC COM								
158 0000	Sale	08/30/12	01/07/13	3,198.63	2,987.34	0.00	211.29	
99 0000	Sale	08/30/12	02/19/13	2,118.55	1,871.81	0.00	246.74	
32 0000	Sale	08/30/12	03/07/13	697.90	605.03	0.00	92.87	
91 0000	Sale	08/30/12	04/08/13	1,863.63	1,720.56	0.00	143.07	
24 0000	Sale	08/30/12	04/09/13	504.34	453.77	0.00	50.57	
	Security Subtotal			8,383.05	7,638.51	0.00	744.54	
CONAGRA FOODS INC								
106 0000	Sale	10/24/12	01/07/13	3,195.26	2,972.13	0.00	223.13	
67 0000	Sale	10/24/12	02/19/13	2,239.75	1,878.61	0.00	361.14	
21 0000	Sale	10/24/12	03/07/13	727.42	588.82	0.00	138.60	
62 0000	Sale	10/24/12	04/08/13	2,137.09	1,738.42	0.00	398.67	
17 0000	Sale	10/24/12	04/09/13	584.78	476.66	0.00	108.12	
46 0000	Sale	10/24/12	09/13/13	1,469.21	1,289.80	0.00	179.41	
	Security Subtotal			10,353.51	8,944.44	0.00	1,409.07	

TODD BROCK FAMILY FOUNDATION

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
DOMINION RES INC NEW VA								
	CUSIP Number	25746U109						
74 0000	Sale	03/27/12	01/07/13	3,891.57	3,772.52	0.00	119.05	
48 0000	Sale	03/27/12	02/19/13	2,662.50	2,447.04	0.00	215.46	
15 0000	Sale	03/27/12	03/07/13	837.73	764.70	0.00	73.03	
6 0000	Sale	06/17/13	09/13/13	367.98	339.89	0.00	28.09	
Security Subtotal				7,759.78	7,324.15	0.00	435.63	
DR PEPPER SNAPPLE GROUP INC								
	CUSIP Number	26138E109						
69 0000	Sale	03/27/12	01/07/13	3,122.86	2,664.09	0.00	458.77	
44 0000	Sale	03/27/12	02/19/13	1,890.19	1,698.84	0.00	191.35	
14 0000	Sale	03/27/12	03/07/13	611.08	540.54	0.00	70.54	
Security Subtotal				5,624.13	4,903.47	0.00	720.66	
DUKE ENERGY CORP NEW								
	CUSIP Number	26441C204						
123 0000	Sale	03/27/12	01/07/13	7,956.69	7,770.48	0.00	186.21	
79 0000	Sale	03/27/12	02/19/13	5,437.44	4,990.80	0.00	446.64	
28 0000	Sale	03/27/12	03/07/13	1,945.67	1,768.89	0.00	176.78	
17 0000	Sale	03/07/13	09/13/13	1,112.81	1,184.61	0.00	(71.80)	
Security Subtotal				16,452.61	15,714.78	0.00	737.83	
DOW CHEMICAL CO								
	CUSIP Number	260543103						
87 0000	Sale	01/07/13	02/19/13	2,800.46	2,918.35	0.00	(117.89)	
27 0000	Sale	01/07/13	03/07/13	877.35	905.69	0.00	(28.34)	
80 0000	Sale	01/07/13	04/08/13	2,442.34	2,683.54	0.00	(241.20)	
20 0000	Sale	01/07/13	04/09/13	626.98	670.88	0.00	(43.90)	
60 0000	Sale	01/07/13	09/13/13	2,392.75	2,012.65	0.00	380.10	
Security Subtotal				9,139.88	9,191.11	0.00	(51.23)	
EXXON MOBIL CORP COM								
	CUSIP Number	30231G102						
58 0000	Sale	05/09/12	01/07/13	5,968.22	5,687.60	0.00	280.62	
43 0000	Sale	05/09/12	02/19/13	3,838.95	3,596.57	0.00	242.38	
14 0000	Sale	05/09/12	03/07/13	1,241.21	1,170.98	0.00	70.23	
1 0000	Sale	05/09/12	04/08/13	88.59	83.64	0.00	4.95	
28 0000	Sale	05/14/12	04/08/13	2,480.74	2,303.83	0.00	176.91	
11 0000	Sale	08/13/12	04/08/13	974.59	966.48	0.00	8.11	
10 0000	Sale	08/13/12	04/09/13	892.08	878.62	0.00	13.46	
11 0000	Sale	08/13/12	07/09/13	1,015.76	966.48	0.00	49.28	
Security Subtotal				16,500.14	15,654.20	0.00	845.94	

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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
ISHARES IBOXX \$ INVT GRADE CORP BD FUND								
		CUSIP Number	464287242					
51 0000	Sale	03/27/12	01/07/13	6,157.60	5,907.43	0.00	250.17	
33 0000	Sale	03/27/12	02/19/13	3,933.84	3,822.46	0.00	111.38	
11 0000	Sale	03/27/12	03/07/13	1,311.28	1,274.15	0.00	37.13	
20 0000	Sale	03/28/13	09/13/13	2,225.96	2,398.43	0.00	(172.47)	
2.0000	Sale	06/27/13	09/13/13	222.60	227.04	0.00	(4.44)	
Security Subtotal				13,851.28	13,629.51	0.00	221.77	
S&P US PFD STK INDEX FD ISHARES								
		CUSIP Number	464288687					
160 0000	Sale	03/27/12	01/07/13	6,389.15	6,259.12	0.00	130.03	
102 0000	Sale	03/27/12	02/19/13	4,089.08	3,990.19	0.00	98.89	
33.0000	Sale	03/27/12	03/07/13	1,326.24	1,290.94	0.00	35.30	
49.0000	Sale	03/28/13	09/13/13	1,843.11	1,985.38	0.00	(142.27)	
Security Subtotal				13,647.58	13,525.63	0.00	121.95	
ISHARES IBOXX\$ HIGH YIELD CORPORATE BOND FUND								
		CUSIP Number	464288513					
200.0000	Sale	03/27/12	01/03/13	18,843.85	18,259.92	0.00	583.93	
59 0000	Sale	03/27/12	02/19/13	5,516.96	5,386.68	0.00	130.28	
19 0000	Sale	03/27/12	03/07/13	1,784.44	1,734.69	0.00	49.75	
51 0000	Sale	01/07/13	04/08/13	4,794.91	4,799.61	0.00	(4.70)	
15 0000	Sale	01/07/13	04/09/13	1,415.06	1,411.65	0.00	3.41	
41 0000	Sale	01/07/13	09/13/13	3,732.16	3,858.51	0.00	(126.35)	
Security Subtotal				36,087.38	35,451.06	0.00	636.32	
GLAXOSMITHKLINE PLC ADR								
		CUSIP Number	37733W105					
92.0000	Sale	03/27/12	01/07/13	4,069.98	4,199.80	0.00	(129.82)	
59 0000	Sale	03/27/12	02/19/13	2,707.44	2,693.35	0.00	14.09	
19 0000	Sale	03/27/12	03/07/13	851.56	867.35	0.00	(15.79)	
Security Subtotal				7,628.98	7,760.50	0.00	(131.52)	
GENERAL ELECTRIC								
		CUSIP Number	369604103					
709 0000	Sale	01/30/12	01/03/13	15,030.46	13,344.58	0.00	1,685.88	
310 0000	Sale	03/27/12	01/03/13	6,571.85	6,242.84	0.00	329.01	
174 0000	Sale	07/31/12	01/03/13	3,688.72	3,631.21	0.00	57.51	
251 0000	Sale	01/07/13	02/19/13	5,944.54	5,299.87	0.00	644.67	
81 0000	Sale	01/07/13	03/07/13	1,919.65	1,710.32	0.00	209.33	
232 0000	Sale	01/07/13	04/08/13	5,335.88	4,898.68	0.00	437.20	

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1c 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
GENERAL ELECTRIC								
61 0000	Sale	01/07/13	369604103 04/09/13	1,407.84	1,288.01	0.00	119.83	
17 0000	Sale	01/07/13	07/09/13	401.44	358.96	0.00	42.48	
157 0000	Sale	01/07/13	09/13/13	3,732.07	3,315.05	0.00	417.02	
Security Subtotal				44,032.45	40,089.52	0.00	3,942.93	
GENUINE PARTS CO								
48 0000	Sale	03/27/12	372460105 01/07/13	3,125.68	3,001.92	0.00	123.76	
31 0000	Sale	03/27/12	02/19/13	2,132.13	1,938.74	0.00	193.39	
10 0000	Sale	03/27/12	03/07/13	730.88	625.40	0.00	105.48	
Security Subtotal				5,988.69	5,566.06	0.00	422.63	
HCP INC								
456 0000	Sale	03/27/12	40414L109 01/03/13	20,770.38	18,095.70	0.00	2,674.68	
96 0000	Sale	01/07/13	02/19/13	4,617.49	4,366.19	0.00	251.30	
31 0000	Sale	01/07/13	03/07/13	1,520.82	1,409.92	0.00	110.90	
88 0000	Sale	01/07/13	04/08/13	4,512.53	4,002.34	0.00	510.19	
24 0000	Sale	01/07/13	04/09/13	1,244.13	1,091.55	0.00	152.58	
15 0000	Sale	01/07/13	08/12/13	629.97	681.23	0.00	(51.26)	
9 0000	Sale	01/07/13	08/29/13	365.91	408.73	0.00	(42.82)	
42 0000	Sale	01/07/13	09/13/13	1,739.60	1,907.37	0.00	(167.77)	
12 0000	Sale	06/06/13	09/13/13	497.04	562.12	0.00	(65.08)	
Security Subtotal				35,897.87	32,525.15	0.00	3,372.72	
HASBRO INC								
80 0000	COM Sale	08/10/12	418056107 01/07/13	2,824.73	2,999.15	0.00	(174.42)	
50 0000	Sale	08/10/12	02/19/13	2,042.45	1,874.47	0.00	167.98	
17 0000	Sale	08/10/12	03/07/13	698.43	637.32	0.00	61.11	
47 0000	Sale	08/10/12	04/08/13	2,026.12	1,762.01	0.00	264.11	
12 0000	Sale	08/10/12	04/09/13	525.58	449.87	0.00	75.71	
Security Subtotal				8,117.31	7,722.82	0.00	394.49	
HEINZ H J CO PV 25CT								
101 0000	Sale	03/27/12	423074103 01/07/13	5,887.34	5,382.29	0.00	505.05	
174 0000	Sale	03/27/12	02/14/13	12,609.39	9,272.46	0.00	3,336.93	
33 0000	Sale	05/14/12	02/14/13	2,391.44	1,817.72	0.00	573.72	
Security Subtotal				20,888.17	16,472.47	0.00	4,415.70	

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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
INTL PAPER CO								
		CUSIP Number	460146103					
82 0000	Sale	03/27/12	01/07/13	3,339.78	2,940.52	0.00	399.26	
52 0000	Sale	03/27/12	02/19/13	2,177.71	1,864.72	0.00	312.99	
17 0000	Sale	03/27/12	03/07/13	784.36	609.62	0.00	174.74	
	Security Subtotal			6,301.85	5,414.86	0.00	886.99	
JPMORGAN CHASE & CO								
		CUSIP Number	46625H100					
9 0000	Sale	05/14/12	04/08/13	433.61	326.54	0.00	107.07	
14 0000	Sale	05/14/12	04/09/13	683.74	507.94	0.00	175.80	
	Security Subtotal			1,117.35	834.48	0.00	282.87	
JOHNSON AND JOHNSON COM								
		CUSIP Number	478160104					
26 0000	Sale	02/14/13	02/19/13	1,998.31	1,972.65	0.00	25.66	
9 0000	Sale	02/14/13	03/07/13	700.00	682.84	0.00	17.16	
24 0000	Sale	02/14/13	04/08/13	1,939.15	1,820.91	0.00	118.24	
6 0000	Sale	02/14/13	04/09/13	490.12	455.23	0.00	34.89	
18 0000	Sale	02/14/13	09/13/13	1,590.27	1,365.67	0.00	224.60	
	Security Subtotal			6,717.85	6,297.30	0.00	420.55	
KRAFT FOODS GROUP INC								
		CUSIP Number	50076Q106					
64 0000	Sale	03/27/12	01/07/13	2,943.61	2,593.18	0.00	350.43	
42 0000	Sale	03/27/12	02/19/13	1,989.07	1,701.77	0.00	287.30	
17 0000	Sale	03/27/12	03/07/13	831.79	688.81	0.00	142.98	
31 0000	Sale	11/19/12	04/08/13	1,594.30	1,384.56	0.00	209.74	
13 0000	Sale	11/19/12	04/09/13	660.77	580.62	0.00	80.15	
8 0000	Sale	11/19/12	09/13/13	432.71	357.31	0.00	75.40	
28 0000	Sale	03/07/13	09/13/13	1,514.49	1,374.34	0.00	140.15	
	Security Subtotal			9,966.74	8,680.59	0.00	1,286.15	
KIMBERLY CLARK								
		CUSIP Number	494368103					
51 0000	Sale	03/27/12	01/07/13	4,305.83	3,762.75	0.00	543.08	
32 0000	Sale	03/27/12	02/19/13	2,945.53	2,360.94	0.00	584.59	
11 0000	Sale	03/27/12	03/07/13	1,035.95	811.57	0.00	224.38	
	Security Subtotal			8,287.31	6,935.26	0.00	1,352.05	

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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
LOCKHEED MARTIN CORP								
49 0000	Sale	03/27/12	01/07/13	4,613.24	4,458.51	0.00	154.73	
32 0000	Sale	03/27/12	02/19/13	2,818.17	2,911.68	0.00	(93.51)	
10 0000	Sale	03/27/12	03/07/13	886.78	909.90	0.00	(23.12)	
Security Subtotal				8,318.19	8,280.09	0.00	38.10	
ELI LILLY & CO								
117 0000	Sale	03/27/12	01/07/13	6,008.98	4,718.60	0.00	1,290.38	
74 0000	Sale	03/27/12	02/19/13	3,998.87	2,984.41	0.00	1,014.46	
24 0000	Sale	03/27/12	03/07/13	1,327.17	967.92	0.00	359.25	
Security Subtotal				11,335.02	8,670.93	0.00	2,664.09	
MARATHON OIL CORP								
79 0000	Sale	03/27/12	01/07/13	2,512.14	2,554.77	0.00	(42.63)	
50 0000	Sale	03/27/12	02/19/13	1,782.46	1,616.95	0.00	165.51	
16 0000	Sale	03/27/12	03/07/13	533.26	517.42	0.00	15.84	
93 0000	Sale	03/27/12	03/19/13	3,182.79	3,007.52	0.00	175.27	
Security Subtotal				8,010.65	7,696.66	0.00	313.99	
MEADWESTVACO CORP								
101 0000	Sale	03/27/12	01/07/13	3,328.88	2,838.30	0.00	490.58	
65 0000	Sale	03/27/12	02/19/13	2,280.14	1,826.63	0.00	453.51	
21 0000	Sale	03/27/12	03/07/13	751.15	590.14	0.00	161.01	
Security Subtotal				6,360.17	5,255.07	0.00	1,105.10	
MERCK AND CO INC SHS								
7 0000	Sale	06/17/13	09/13/13	334.25	334.51	0.00	(0.26)	
MONDELEZ INTERNATIONAL INC								
142 0000	Sale	03/27/12	01/07/13	3,787.05	3,547.70	0.00	239.35	
90 0000	Sale	03/27/12	02/19/13	2,424.54	2,248.54	0.00	176.00	
29 0000	Sale	03/27/12	03/07/13	827.93	724.53	0.00	103.40	
168 0000	Sale	03/27/12	03/08/13	4,786.09	4,197.27	0.00	588.82	
Security Subtotal				11,825.61	10,718.04	0.00	1,107.57	

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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
MARSH & MCLENNAN COS INC								
91.0000	Sale	03/27/12	01/07/13	3,213.13	3,006.31	0.00	206.82	
58.0000	Sale	03/27/12	02/19/13	2,099.55	1,916.11	0.00	183.44	
18.0000	Sale	03/27/12	03/07/13	664.18	594.66	0.00	69.52	
	Security Subtotal			5,976.86	5,517.08	0.00	459.78	
MAXIM INTEGRATED PRODS								
102.0000	Sale	11/14/12	01/07/13	3,047.69	2,869.94	0.00	177.75	
65.0000	Sale	11/14/12	02/19/13	2,126.10	1,828.89	0.00	297.21	
20.0000	Sale	11/14/12	03/07/13	636.98	562.73	0.00	74.25	
60.0000	Sale	11/14/12	04/08/13	1,888.75	1,688.20	0.00	200.55	
16.0000	Sale	11/14/12	04/09/13	514.06	450.19	0.00	63.87	
45.0000	Sale	11/14/12	06/17/13	1,273.39	1,266.15	0.00	7.24	
	Security Subtotal			9,486.97	8,666.10	0.00	820.87	
MCDONALDS CORP COM								
1.0000	Sale	03/27/12	03/07/13	96.91	97.62	0.71 (W)	0.00	
3.0000	Sale	03/28/13	09/13/13	291.74	298.99	0.00	(7.25)	
	Security Subtotal			388.65	396.61	0.71	(7.25)	
NATIONAL RETAIL PTYS INC								
150.0000	Sale	03/27/12	01/07/13	4,822.89	4,060.68	0.00	762.21	
96.0000	Sale	03/27/12	02/19/13	3,264.88	2,591.31	0.00	673.57	
31.0000	Sale	03/27/12	03/07/13	1,096.75	836.78	0.00	259.97	
59.0000	Sale	08/10/12	04/08/13	2,193.57	1,746.88	0.00	446.69	
24.0000	Sale	08/10/12	04/09/13	888.22	710.60	0.00	177.62	
17.0000	Sale	06/17/13	09/13/13	520.53	613.27	0.00	(92.74)	
	Security Subtotal			12,786.84	10,559.52	0.00	2,227.32	
PHILIP MORRIS INTL INC								
29.0000	Sale	03/27/12	01/03/13	2,479.45	2,549.97	70.52 (W)	0.00	
29.0000	Sale	03/31/12	02/19/13	2,647.34	2,571.33	0.00 (Y)	76.01	
50.0000	Sale	01/07/13	02/19/13	4,564.40	4,311.75	0.00	252.65	
26.0000	Sale	01/07/13	03/07/13	2,384.92	2,242.11	0.00	142.81	
72.0000	Sale	01/07/13	04/08/13	6,791.60	6,208.92	0.00	582.68	
19.0000	Sale	01/07/13	04/09/13	1,801.15	1,638.47	0.00	162.68	
55.0000	Sale	01/07/13	09/13/13	4,818.46	4,742.93	0.00	75.53	
	Security Subtotal			25,487.32	24,265.48	70.52	1,292.36	

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1c 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
Pfizer Inc								
187 0000	Sale	CUSIP Number 01/11/12	717081103 01/07/13	4,857 22	4,084 55	0 00	772 67	
22 0000	Sale	03/27/12	03/07/13	620 61	496 04	0 00	124 57	
	Security Subtotal			5,477.83	4,580.59	0.00	897 24	
Pinnacle West Cap Corp								
53 0000	Sale	CUSIP Number 03/27/12	723484101 01/07/13	2,748 51	2,537 64	0 00	210 87	
35 0000	Sale	03/27/12	02/19/13	1,921 45	1,675 80	0 00	245 65	
11 0000	Sale	03/27/12	03/07/13	627 09	526 68	0 00	100 41	
	Security Subtotal			5,297.05	4,740.12	0.00	556.93	
Procter & Gamble Co								
67 0000	Sale	CUSIP Number 03/27/12	742718109 01/07/13	4,592 07	4,502 23	0 00	89 84	
43 0000	Sale	03/27/12	02/19/13	3,321 24	2,889 49	0 00	431 75	
13 0000	Sale	03/27/12	03/07/13	1,000 58	873 57	0 00	127 01	
	Security Subtotal			8,913.89	8,265.29	0.00	648.60	
Reynolds American Inc								
887 0000	Sale	CUSIP Number 03/27/12	761713106 01/03/13	37,847 62	36,783 36	0 00	1,064 26	
187 0000	Sale	01/07/13	02/19/13	8,253 99	7,879 86	0 00	374 13	
60 0000	Sale	01/07/13	03/07/13	2,577 54	2,528 30	0 00	49 24	
173 0000	Sale	01/07/13	04/08/13	7,717 35	7,289 93	0 00	427 42	
45 0000	Sale	01/07/13	04/09/13	2,047 45	1,896 22	0 00	151 23	
129 0000	Sale	01/07/13	09/13/13	6,292 51	5,435 84	0 00	856 67	
	Security Subtotal			64,736 46	61,813.51	0.00	2,922.95	
Royal Dutch Shell PLC								
SPONS ADR B								
121 0000	Sale	CUSIP Number 03/27/12	780259107 01/07/13	8,583 54	8,658 76	0 00	(75.22)	
78 0000	Sale	03/27/12	02/19/13	5,311 68	5,581 68	0 00	(270 00)	
25 0000	Sale	03/27/12	03/07/13	1,717 21	1,789 00	0 00	(71 79)	
	Security Subtotal			15,612.43	16,029 44	0.00	(417.01)	
Scana Corp New								
163 0000	Sale	CUSIP Number 03/27/12	80589M102 01/07/13	7,500 55	7,380 64	0 00	119 91	
Seadrill Ltd								
31 0000	Sale	CUSIP Number 08/29/13	G7945E105 09/13/13	1,448 29	1,423 45	0 00	24 84	

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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
SONOCO PRODUCTS CO								
56 0000	Sale	03/19/13	04/08/13	1,931.95	1,911.85	0.00	20.10	
14 0000	Sale	03/19/13	04/09/13	480.88	477.96	0.00	2.92	
42 0000	Sale	03/19/13	09/13/13	1,628.73	1,433.89	0.00	194.84	
	Security Subtotal			4,041.56	3,823.70	0.00	217.86	
SOUTHERN COMPANY								
115 0000	Sale	03/27/12	01/07/13	4,982.90	5,161.20	0.00	(178.30)	
74 0000	Sale	03/27/12	02/19/13	3,284.78	3,321.12	0.00	(36.34)	
23 0000	Sale	03/27/12	03/07/13	1,046.36	1,032.24	0.00	14.12	
	Security Subtotal			9,314.04	9,514.56	0.00	(200.52)	
STAPLES INC								
241 0000	Sale	01/17/13	02/19/13	3,477.43	3,081.35	0.00	396.08	
SYSCO CORPORATION								
99 0000	Sale	03/27/12	01/07/13	3,142.18	2,970.99	0.00	171.19	
63 0000	Sale	03/27/12	02/19/13	2,031.07	1,890.63	0.00	140.44	
20 0000	Sale	03/27/12	03/07/13	654.48	600.20	0.00	54.28	
35 0000	Sale	08/13/12	04/08/13	1,190.33	1,049.83	0.00	140.50	
15 0000	Sale	08/13/12	04/09/13	512.83	449.92	0.00	62.91	
	Security Subtotal			7,530.89	6,961.57	0.00	569.32	
TEXAS INSTRUMENTS								
54 0000	Sale	03/08/13	04/08/13	1,882.12	1,891.63	0.00	(9.51)	
14 0000	Sale	03/08/13	04/09/13	494.81	490.42	0.00	4.39	
40 0000	Sale	03/08/13	09/13/13	1,605.77	1,401.21	0.00	204.56	
	Security Subtotal			3,982.70	3,783.26	0.00	199.44	
TIME WARNER CABLE INC								
31 0000	Sale	11/19/12	01/07/13	3,013.44	2,842.47	0.00	170.97	
20 0000	Sale	11/19/12	02/19/13	1,737.56	1,833.85	0.00	(96.29)	
7 0000	Sale	11/19/12	03/07/13	626.20	641.85	0.00	(15.65)	
18 0000	Sale	11/19/12	04/08/13	1,729.04	1,650.47	0.00	78.57	
5 0000	Sale	11/19/12	04/09/13	474.68	458.46	0.00	16.22	
14 0000	Sale	11/19/12	09/13/13	1,557.89	1,283.70	0.00	274.19	
	Security Subtotal			9,138.81	8,710.80	0.00	428.01	

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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
UNITED PARCEL SVC CL B								
17 0000	Sale	CUSIP Number 08/12/13	917312106 09/13/13	1,506.00	1,492.35	0.00	13.65	
VENTAS INC REIT								
63 0000	Sale	CUSIP Number 03/27/12	01/07/13	4,077.89	3,611.16	0.00	466.73	
40 0000	Sale	CUSIP Number 03/27/12	02/19/13	2,762.33	2,292.80	0.00	469.53	
13 0000	Sale	CUSIP Number 03/27/12	03/07/13	921.02	745.16	0.00	175.86	
	Security Subtotal			7,761.24	6,649.12	0.00	1,112.12	
VERIZON COMMUNICATIONS COM								
814 0000	Sale	CUSIP Number 03/27/12	92343V104 01/03/13	35,872.17	31,664.52	0.00	4,207.65	
172 0000	Sale	CUSIP Number 01/07/13	02/19/13	7,646.08	7,684.96	0.00	(38.88)	
55 0000	Sale	CUSIP Number 01/07/13	03/07/13	2,605.84	2,457.40	0.00	148.44	
159 0000	Sale	CUSIP Number 01/07/13	04/08/13	7,826.29	7,104.12	0.00	722.17	
41 0000	Sale	CUSIP Number 01/07/13	04/09/13	2,027.20	1,831.88	0.00	195.32	
119 0000	Sale	CUSIP Number 01/07/13	09/13/13	5,696.43	5,316.92	0.00	379.51	
	Security Subtotal			61,674.01	56,059.80	0.00	5,614.21	
VODAFONE GROU PLC SP ADR								
123 0000	Sale	CUSIP Number 03/27/12	92857W209 01/07/13	3,260.04	3,435.02	0.00	(174.98)	
78 0000	Sale	CUSIP Number 03/27/12	02/19/13	1,973.35	2,178.31	0.00	(204.96)	
25 0000	Sale	CUSIP Number 03/27/12	03/07/13	668.98	698.17	0.00	(29.19)	
	Security Subtotal			5,902.37	6,311.50	0.00	(409.13)	
WAL-MART STORES INC								
19 0000	Sale	CUSIP Number 08/16/13	931142103 09/13/13	1,410.72	1,409.35	0.00	1.37	
WALGREEN CO								
83 0000	Sale	CUSIP Number 08/29/12	931422109 01/07/13	3,155.58	2,942.27	0.00	213.31	
54 0000	Sale	CUSIP Number 08/29/12	02/19/13	2,245.26	1,914.25	0.00	331.01	
17 0000	Sale	CUSIP Number 08/29/12	03/07/13	681.00	602.64	0.00	78.36	
99 0000	Sale	CUSIP Number 08/29/12	03/28/13	4,679.20	3,509.46	0.00	1,169.74	
	Security Subtotal			10,761.04	8,968.62	0.00	1,792.42	

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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
WEINGARTEN RLTY INVS SBI REIT								
	CUSIP Number	948741103						
104 0000	Sale	03/27/12	01/07/13	2,874.49	2,747.68	0.00	126.81	
67 0000	Sale	03/27/12	02/19/13	2,042.11	1,770.14	0.00	271.97	
21 0000	Sale	03/27/12	03/07/13	646.57	554.82	0.00	91.75	
Security Subtotal				5,563.17	5,072.64	0.00	490.53	
WILLIAMS COMPANIES DEL								
	CUSIP Number	969457100						
44 0000	Sale	07/09/13	09/13/13	1,583.09	1,475.78	0.00	107.31	
WASTE MANAGEMENT INC NEW								
	CUSIP Number	94106L109						
37 0000	Sale	06/17/13	09/13/13	1,509.94	1,500.34	0.00	9.60	
NELLS FARGO & CO NEW DEL								
	CUSIP Number	949746101						
51 0000	Sale	05/09/13	09/13/13	2,147.57	1,953.48	0.00	194.09	
Covered Short Term Capital Gains and Losses Subtotal				876,382.74	816,044.08	229.75	60,568.41	
NET SHORT TERM CAPITAL GAINS AND LOSSES				876,382.74	816,044.08	229.75	60,568.41	

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

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

BRISTOL-MYERS SQUIBB CO								
	CUSIP Number	110122108						
123 0000	Sale	03/31/11	01/07/13	4,105.64	3,279.58	0.00	826.06	
79 0000	Sale	03/31/11	02/19/13	2,911.08	2,106.40	0.00	804.68	
25 0000	Sale	03/31/11	03/07/13	940.22	666.58	0.00	273.64	
71 0000	Sale	03/31/11	04/08/13	2,882.89	1,893.10	0.00	989.79	
2 0000	Sale	03/27/12	04/08/13	81.21	67.43	0.00	13.78	
19 0000	Sale	03/27/12	04/09/13	773.85	640.59	0.00	133.26	
54 0000	Sale	03/27/12	09/13/13	2,351.11	1,820.61	0.00	530.50	
Security Subtotal				14,046.00	10,474.29	0.00	3,571.71	
CANADIAN IMPERIAL BANK OF COMM								
	CUSIP Number	136069101						
11 0000	Sale	04/18/12	09/13/13	864.80	834.03	0.00	30.77	

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2013 ANNUAL STATEMENT SUMMARY

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

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1c 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	166764100					
	CHEVRON CORP	09/14/11	01/03/13	8,394.89	7,339.73	0.00	1,055.16	
	76.0000 Sale							
		CUSIP Number	15189J107					
	CENTERPOINT ENERGY INC	03/27/12	04/08/13	4,638.43	3,800.38	0.00	838.05	
	194.0000 Sale							
	51.0000 Sale	03/27/12	04/09/13	1,224.48	999.07	0.00	225.41	
	109.0000 Sale	03/27/12	09/13/13	2,493.87	2,135.27	0.00	358.60	
	Security Subtotal			8,356.78	6,934.72	0.00	1,422.06	
		CUSIP Number	20825C104					
	CONOCOPHILLIPS	03/31/12	04/08/13	4,729.49	4,740.37	0.00 (Y)	(10.88)	
	80.0000 Sale							
	22.0000 Sale	03/31/12	04/09/13	1,320.19	1,303.60	0.00 (Y)	16.59	
	34.0000 Sale	03/31/12	09/13/13	2,354.45	2,014.66	0.00 (Y)	339.79	
	26.0000 Sale	04/16/12	09/13/13	1,800.47	1,529.98	0.00 (Y)	270.49	
	Security Subtotal			10,204.60	9,588.61	0.00	615.99	
		CUSIP Number	17243V102					
	CINEMARK HLDGS INC	04/24/12	09/13/13	1,690.12	1,235.53	0.00	454.59	
	55.0000 Sale							
		CUSIP Number	17275R102					
	CISCO SYSTEMS INC COM	08/30/12	09/13/13	1,670.12	1,304.60	0.00	365.52	
	69.0000 Sale							
		CUSIP Number	191216100					
	COCA COLA COM	03/25/11	01/07/13	3,726.91	3,267.51	0.00	459.40	
	100.0000 Sale							
	63.0000 Sale	03/25/11	02/19/13	2,368.11	2,058.53	0.00	309.58	
	1.0000 Sale	03/25/11	03/07/13	39.03	32.68	0.00	6.35	
	20.0000 Sale	07/29/11	03/07/13	780.79	686.65	0.00	94.14	
	59.0000 Sale	07/29/11	04/08/13	2,397.11	2,025.63	0.00	371.48	
	15.0000 Sale	07/29/11	04/09/13	613.33	514.99	0.00	98.34	
	44.0000 Sale	07/29/11	09/13/13	1,700.57	1,510.64	0.00	189.93	
	Security Subtotal			11,625.85	10,096.63	0.00	1,529.22	
		CUSIP Number	25746U109					
	DOMINION RES INC NEW VA	03/27/12	04/08/13	2,629.82	2,243.12	0.00	386.70	
	44.0000 Sale							
	11.0000 Sale	03/27/12	04/09/13	660.64	560.78	0.00	99.86	
	33.0000 Sale	03/27/12	09/13/13	2,023.84	1,682.34	0.00	341.50	
	Security Subtotal			5,314.30	4,486.24	0.00	828.06	

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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
JR PEPPER SNAPPLE GROUP								
		CUSIP Number	26138E109					
41 0000	Sale	03/27/12	04/08/13	1,910.96	1,583.01	0.00	327.95	
11 0000	Sale	03/27/12	04/09/13	511.15	424.71	0.00	86.44	
8 0000	Sale	03/27/12	09/13/13	359.67	308.88	0.00	50.79	
22 0000	Sale	05/09/12	09/13/13	989.10	901.65	0.00	87.45	
Security Subtotal				3,770.88	3,218.25	0.00	552.63	
DUKE ENERGY CORP NEW								
		CUSIP Number	26441C204					
14 0000	Sale	03/27/12	04/08/13	1,016.65	884.45	0.00	132.20	
66 0000	Sale	03/27/12	04/08/13	4,792.81	4,025.95	0.00	766.86	
22 0000	Sale	03/27/12	04/09/13	1,599.36	1,341.99	0.00	257.37	
43 0000	Sale	03/27/12	09/13/13	2,814.72	2,622.97	0.00	191.75	
Security Subtotal				10,223.54	8,875.36	0.00	1,348.18	
DU PONT E I DE NEMOURS								
		CUSIP Number	263534109					
77 0000	Sale	03/25/11	02/19/13	3,630.46	4,181.76	0.00	(551.30)	
13 0000	Sale	03/25/11	03/07/13	632.82	706.01	0.00	(73.19)	
11 0000	Sale	03/25/11	04/08/13	534.25	597.39	0.00	(63.14)	
28 0000	Sale	03/25/11	04/08/13	1,359.93	1,481.53	0.00	(121.60)	
10 0000	Sale	03/25/11	04/09/13	493.18	529.13	0.00	(35.95)	
1 0000	Sale	03/25/11	09/13/13	58.76	52.91	0.00	5.85	
28 0000	Sale	08/16/11	09/13/13	1,645.54	1,305.42	0.00	340.12	
Security Subtotal				8,354.94	8,854.15	0.00	(499.21)	
XXON MOBIL CORP COM								
		CUSIP Number	30231G102					
19 0000	Sale	08/13/12	09/13/13	1,678.24	1,669.38	0.00	8.86	
SHARES IBOXX \$ INVT GRADE CORP BD FUND								
		CUSIP Number	464287242					
40,0000	Sale	03/27/12	04/08/13	4,837.09	4,633.29	0.00	203.80	
11 0000	Sale	03/27/12	04/09/13	1,330.86	1,274.15	0.00	56.71	
10 0000	Sale	03/27/12	09/13/13	1,112.97	1,158.32	0.00	(45.35)	
Security Subtotal				7,280.92	7,065.76	0.00	215.16	

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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
S&P US PFD STK INDEX FD								
ISHARES								
119,0000	Sale	03/27/12	04/08/13	4,787.76	4,055.22	0.00	132.54	
31 0000	Sale	03/27/12	04/09/13	1,247.72	1,212.71	0.00	35.01	
40 0000	Sale	03/27/12	09/13/13	1,504.57	1,564.78	0.00	(60.21)	
				7,540.05	7,432.71	0.00	107.34	
Security Subtotal								
ISHARES IBOX\$ HIGH YIELD CORPORATE BOND FUND								
4 0000 Sale								
				376.07	365.20	0.00	10.87	
GLAXOSMITHKLINE PLC ADR								
55 0000 Sale								
				2,583.29	2,510.75	0.00	72.54	
				663.02	639.10	0.00	23.92	
				2,107.36	1,871.65	0.00	235.71	
				5,353.67	5,021.50	0.00	332.17	
Security Subtotal								
GENUINE PARTS CO								
28,0000 Sale								
				2,169.95	1,751.12	0.00	418.83	
				619.02	500.32	0.00	118.70	
				1,673.25	1,313.34	0.00	359.91	
				4,462.22	3,564.78	0.00	897.44	
Security Subtotal								
HASBRO INC								
35 0000 COM Sale								
				1,636.93	1,312.13	0.00	324.80	
INTEL CORP								
25,0000 Sale								
				522.87	705.50	0.00	(182.63)	
				784.60	1,015.92	0.00	(231.32)	
				2,424.45	2,934.88	0.00	(510.43)	
				3,731.92	4,656.30	0.00	(924.38)	
Security Subtotal								
INTL PAPER CO								
48 0000 Sale								
				2,257.86	1,721.28	0.00	536.58	
				615.66	466.18	0.00	149.48	
				1,660.69	1,290.96	0.00	369.73	
				4,534.21	3,478.42	0.00	1,055.79	
Security Subtotal								

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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
IPMORGAN CHASE & CO								
43 0000	Sale	05/14/12	09/13/13	2,261.76	1,560.12	0.00	701.64	
CUSIP Number 46625H100								
GRAFT FOODS GROUP INC								
19 0000	Sale	03/27/12	04/08/13	977.14	769.85	0.00	207.29	
9999	Sale	03/27/12	09/13/13	54.07	40.50	0.00	13.57	
				1,031.21	810.35	0.00	220.86	
Security Subtotal								
CLIMBERLY CLARK								
30 0000	Sale	03/27/12	04/08/13	2,972.63	2,213.39	0.00	759.24	
8 0000	Sale	03/27/12	04/09/13	795.26	590.23	0.00	205.03	
22 0000	Sale	03/27/12	09/13/13	2,102.94	1,623.15	0.00	479.79	
				5,870.83	4,426.77	0.00	1,444.06	
Security Subtotal								
OCKHEED MARTIN CORP								
29 0000	Sale	03/27/12	04/08/13	2,743.62	2,638.71	0.00	104.91	
8 0000	Sale	03/27/12	04/09/13	762.22	727.92	0.00	34.30	
3 0000	Sale	03/27/12	08/12/13	370.78	272.97	0.00	97.81	
19 0000	Sale	03/27/12	09/13/13	2,416.37	1,728.81	0.00	687.56	
				6,292.99	5,368.41	0.00	924.58	
Security Subtotal								
LI LILLY & CO								
69 0000	Sale	03/27/12	04/08/13	3,903.24	2,782.76	0.00	1,120.48	
18 0000	Sale	03/27/12	04/09/13	1,023.45	725.94	0.00	297.51	
52 0000	Sale	03/27/12	09/13/13	2,765.31	2,097.15	0.00	668.16	
				7,692.00	5,605.85	0.00	2,086.15	
Security Subtotal								
HEADWESTVACO CORP								
60 0000	Sale	03/27/12	04/08/13	2,176.15	1,686.12	0.00	490.03	
16 0000	Sale	03/27/12	04/09/13	580.14	449.64	0.00	130.50	
2 0000	Sale	03/27/12	09/13/13	76.79	56.20	0.00	20.59	
43 0000	Sale	05/09/12	09/13/13	1,651.17	1,187.21	0.00	463.96	
				4,484.25	3,379.17	0.00	1,105.08	
Security Subtotal								
MERCK AND CO INC SHS								
91 0000	Sale	03/31/11	01/07/13	3,822.82	3,021.38	0.00	801.44	
58 0000	Sale	03/31/11	02/19/13	2,440.00	1,925.72	0.00	514.28	
19 0000	Sale	03/31/11	03/07/13	821.16	630.84	0.00	190.32	

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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
MERCK AND CO INC SHS								
	CUSIP Number	58933Y105						
54 0000	Sale	03/31/11	04/08/13	2,434.26	1,792.90	0.00	641.36	
3 0000	Sale	03/31/11	04/09/13	137.33	99.61	0.00	37.72	
11 0000	Sale	03/27/12	04/09/13	503.57	427.52	0.00	76.05	
40 0000	Sale	03/27/12	09/13/13	1,909.96	1,554.60	0.00	355.36	
Security Subtotal				12,069.10	9,452.57	0.00	2,616.53	
MARSH & MCLENNAN COS INC								
	CUSIP Number	571748102						
54 0000	Sale	03/27/12	04/08/13	2,010.64	1,783.97	0.00	226.67	
14 0000	Sale	03/27/12	04/09/13	523.86	462.51	0.00	61.35	
40 0000	Sale	03/27/12	05/09/13	1,575.09	1,321.45	0.00	253.64	
Security Subtotal				4,109.59	3,567.93	0.00	541.66	
MCDONALDS CORP COM								
	CUSIP Number	580135101						
20 0000	Sale	03/27/12	04/08/13	2,022.75	1,952.40	0.00	70.35	
5 0000	Sale	03/27/12	04/09/13	504.63	488.10	0.00	16.53	
10 0000	Sale	03/27/12	09/13/13	972.42	976.20	0.00	(3.78)	
1 0000	Sale	04/17/12	09/13/13	97.24	100.37	0.00 (Y)	(3.13)	
Security Subtotal				3,597.04	3,517.07	0.00	79.97	
NATIONAL RETAIL PPTYS INC								
	CUSIP Number	637417106						
29 0000	Sale	03/27/12	04/08/13	1,078.19	782.79	0.00	295.40	
66 0000	Sale	08/10/12	09/13/13	2,020.88	1,943.64	0.00	77.24	
Security Subtotal				3,099.07	2,726.43	0.00	372.64	
PFIZER INC								
	CUSIP Number	717081103						
180 0000	Sale	01/11/12	02/19/13	4,970.58	3,931.65	0.00	1,038.93	
35 0000	Sale	01/11/12	03/07/13	987.32	764.49	0.00	222.83	
166 0000	Sale	03/27/12	04/08/13	4,811.40	3,742.82	0.00	1,068.58	
44 0000	Sale	03/27/12	04/09/13	1,287.41	992.07	0.00	295.34	
124 0000	Sale	03/27/12	09/13/13	3,532.69	2,795.84	0.00	736.85	
Security Subtotal				15,589.40	12,226.87	0.00	3,362.53	
PINNACLE WEST CAP CORP								
	CUSIP Number	723484101						
32 0000	Sale	03/27/12	04/08/13	1,870.67	1,532.16	0.00	338.51	
8 0000	Sale	03/27/12	04/09/13	467.74	383.04	0.00	84.70	
24 0000	Sale	03/27/12	08/29/13	1,295.80	1,149.12	0.00	146.68	
Security Subtotal				3,634.21	3,064.32	0.00	569.89	

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1c 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
PROCTER & GAMBLE CO								
40 0000	Sale	03/27/12	742718109	3,144.72	2,687.89	0.00	456.83	
10 0000	Sale	03/27/12	04/08/13	784.88	671.97	0.00	112.91	
30 0000	Sale	03/27/12	04/09/13	2,370.25	2,015.92	0.00	354.33	
	Security Subtotal			6,299.85	5,375.78	0.00	924.07	
ROYAL DUTCH SHELL PLC SPONS ADR B								
72 0000	Sale	03/27/12	780259107	4,713.73	5,152.32	0.00	(438.59)	
18 0000	Sale	03/27/12	04/08/13	1,189.77	1,288.08	0.00	(98.31)	
40 0000	Sale	03/27/12	09/13/13	2,741.14	2,862.40	0.00	(121.26)	
14 0000	Sale	08/10/12	09/13/13	959.41	1,026.35	0.00	(66.94)	
	Security Subtotal			9,604.05	10,329.15	0.00	(725.10)	
SOUTHERN COMPANY								
68 0000	Sale	03/27/12	842587107	3,214.96	3,051.84	0.00	163.12	
18 0000	Sale	03/27/12	04/08/13	854.44	807.84	0.00	46.60	
51 0000	Sale	03/27/12	04/09/13	2,085.35	2,288.88	0.00	(203.53)	
	Security Subtotal			6,154.75	6,148.56	0.00	6.19	
YSCO CORPORATION								
24 0000	Sale	03/27/12	871829107	816.21	720.24	0.00	95.97	
44 0000	Sale	08/13/12	04/08/13	1,445.37	1,319.78	0.00	125.59	
	Security Subtotal			2,261.58	2,040.02	0.00	221.56	
VENTAS INC REIT								
37 0000	Sale	03/27/12	92276F100	2,787.51	2,120.84	0.00	666.67	
10 0000	Sale	03/27/12	04/08/13	757.08	573.20	0.00	183.88	
4 0000	Sale	03/27/12	04/09/13	257.76	229.28	0.00	28.48	
24 0000	Sale	03/27/12	08/12/13	1,435.71	1,375.68	0.00	60.03	
	Security Subtotal			5,238.06	4,299.00	0.00	939.06	
ODAFONE GROU PLC SP ADR								
73 0000	Sale	03/27/12	92857W209	2,071.33	2,038.67	0.00	32.66	
19 0000	Sale	03/27/12	04/08/13	546.80	530.61	0.00	16.19	
54 0000	Sale	03/27/12	04/09/13	1,813.28	1,508.06	0.00	305.22	
	Security Subtotal			4,431.41	4,077.34	0.00	354.07	

TODD BROCK FAMILY FOUNDATION

Account No.
16H-46237

Taxpayer No.
26-2049780

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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
WEINGARTEN RLTY INVS SBI REIT								
		CUSIP Number	948741103					
61.0000	Sale	03/27/12	04/08/13	1,951.95	1,611.62	0.00	340.33	
16.0000	Sale	03/27/12	04/09/13	513.10	422.72	0.00	90.38	
46.0000	Sale	03/27/12	09/13/13	1,325.23	1,215.32	0.00	109.91	
Security Subtotal				3,790.28	3,249.66	0.00	540.62	
Covered Long Term Capital Gains and Losses Subtotal				228,622.48	199,033.69	0.00	29,588.79	

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

CHEVRON CORP								
95.0000	Sale	CUSIP Number	166764100	10/13/08	01/03/13	10,493.61	6,192.84	0.00
INTEL CORP								
235.0000	Sale	CUSIP Number	458140100	02/10/10	01/07/13	4,987.76	4,666.49	0.00
150.0000	Sale	02/10/10	02/19/13	3,161.17	2,978.61	0.00	182.56	
48.0000	Sale	02/10/10	03/07/13	1,050.69	953.15	0.00	97.54	
113.0000	Sale	02/10/10	04/08/13	2,363.33	2,243.89	0.00	119.44	
Security Subtotal				11,562.95	10,842.14	0.00	720.81	
JPMORGAN CHASE & CO								
96.0000	Sale	CUSIP Number	46625H100	02/17/09	01/07/13	4,357.82	2,149.17	0.00
21.0000	Sale	02/17/09	02/19/13	1,036.74	470.13	0.00	566.61	
40.0000	Sale	06/03/09	02/19/13	1,974.76	1,380.54	0.00	594.22	
20.0000	Sale	06/03/09	03/07/13	1,009.17	690.27	0.00	318.90	
48.0000	Sale	06/03/09	04/08/13	2,312.58	1,656.66	0.00	655.92	
Security Subtotal				10,691.07	6,346.77	0.00	4,344.30	
MCDONALDS CORP COM								
29.0000	Sale	CUSIP Number	580135101	06/03/09	01/07/13	2,635.46	1,763.91	0.00
19.0000	Sale	06/03/09	02/19/13	1,781.78	1,155.66	0.00	626.12	
5.0000	Sale	06/03/09	03/07/13	484.53	304.12	0.00	180.41	
Security Subtotal				4,901.77	3,223.69	0.00	1,678.08	

TODD BROCK FAMILY FOUNDATION

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
MICROSOFT CORP								
144 0000	Sale	11/04/10	CUSIP Number 594918104	3,840.39	3,916.34	0.00	(75.95)	
93 0000	Sale	11/16/10	01/07/13	2,603.94	2,401.56	0.00	202.38	
29 0000	Sale	11/16/10	02/19/13	815.46	748.87	0.00	66.59	
86 0000	Sale	11/16/10	03/07/13	2,450.08	2,220.80	0.00	229.28	
22 0000	Sale	11/16/10	04/08/13	652.17	568.11	0.00	84.06	
64 0000	Sale	11/16/10	04/09/13	2,110.04	1,652.68	0.00	457.36	
	Security Subtotal			12,472.08	11,508.36	0.00	963.72	

PHILIP MORRIS INTL INC
345 0000 Sale

CUSIP Number 718172109
10/13/08 01/03/13

15,366.30

14,130.57

PFIZER INC
94 0000 Sale

CUSIP Number 717081103
11/04/10 01/07/13

1,633.27

808.32

Noncovered Long Term Capital Gains and Losses Subtotal

82,059.94

26,946.57

JET LONG TERM CAPITAL GAINS AND LOSSES

310,682.42

56,535.36

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

KRAFT FOODS GROUP INC								
SHS	0001 Sale	10/08/12	CUSIP Number 50076Q106	0.00	N/A	0.00	N/A	
Other Transactions Subtotal								
				0.00		0.00		

TOTAL SALES PROCEEDS FOR CAPITAL GAINS AND LOSSES 1,187,065.16
TOTAL REPORTED SALES PROCEEDS 1,187,065.16

(W) This transaction has been identified as a "Wash Sale" based on IRS regulations. The Wash Sale Loss Disallowed column reflects the deferred loss amount. The cost basis of the related transaction(s) has been adjusted by the deferred loss amount from either the cost basis on purchases or proceeds from short sales. Please refer to the instructions for Form 8949 for how to report the deferred loss amount and applicable adjustment code.

(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."

Realized Gain/Loss - YTD
Report Date 12/31/2013

61160344 - The Todd Brock Family Foundation

Close Date	Open Date	Tran Type	Settle Ccy	Lot ID	Quantity	Unit Cost	Total Cost	Unit Proceeds	Proceeds	ST Gain/Loss	LT Gain/Loss	FX Gain/Loss	Total Gain/Loss
Trading Activity													
12500VAA9 CCSINC 11.000000% 11/15/2015													
02/08/2013	06/02/2011	Sell	USD	4338219	55,000	107.26	58,995.71	101.98	56,090.00	0.00	(2,905.71)	0.00	(2,905.71)
02/11/2013	02/21/2012	Sell	USD	5236597	20,000	101.43	20,285.00	101.98	20,396.43	111.43	0.00	0.00	111.43
02/11/2013	06/02/2011	Sell	USD	4338219	1,000	107.27	1,072.65	101.98	1,019.82	0.00	(52.83)	0.00	(52.83)
02/11/2013	06/16/2011	Sell	USD	4383507	33,000	107.28	35,402.50	101.98	33,654.11	0.00	(1,748.39)	0.00	(1,748.39)
02/11/2013	11/15/2011	Sell	USD	4943904	2,000	99.00	1,980.00	101.98	2,039.64	0.00	59.64	0.00	59.64
Total 12500VAA9:					111,000.00	106.07	117,735.86	101.98	113,200.00	111.43	(4,647.29)	0.00	(4,535.86)
382410603 GOODRICH PETROLEUM CORP													
01/04/2013	11/14/2012	Sell	USD	6133119	1,400	26.63	37,285.00	30.93	43,295.36	6,010.36	0.00	0.00	6,010.36
Total 382410603:					1,400.00	26.63	37,285.00	30.93	43,295.36	6,010.36	0.00	0.00	6,010.36
382410AC2 GDP 5.000000% 10/01/2029													
02/06/2013	11/16/2012	Sell	USD	6148013	21,000	89.05	18,700.00	97.87	20,552.06	1,852.06	0.00	0.00	1,852.06
02/06/2013	11/16/2012	Sell	USD	6148052	11,000	89.22	9,813.75	97.87	10,765.36	951.61	0.00	0.00	951.61
02/06/2013	11/16/2012	Sell	USD	6148074	8,000	89.25	7,140.00	97.87	7,829.35	689.35	0.00	0.00	689.35
02/06/2013	11/19/2012	Sell	USD	6152506	16,000	90.56	14,490.00	97.87	15,558.71	1,168.71	0.00	0.00	1,168.71
02/06/2013	11/20/2012	Sell	USD	6152796	10,000	91.00	9,100.00	97.87	9,786.69	686.69	0.00	0.00	686.69
02/06/2013	11/20/2012	Sell	USD	6152826	4,000	90.88	3,635.00	97.87	3,914.68	279.68	0.00	0.00	279.68
02/06/2013	11/21/2012	Sell	USD	6158417	8,000	91.00	7,280.00	97.87	7,829.36	549.36	0.00	0.00	549.36
02/06/2013	11/21/2012	Sell	USD	6158434	16,000	91.25	14,600.00	97.87	15,558.71	1,058.71	0.00	0.00	1,058.71
02/06/2013	11/26/2012	Sell	USD	6162886	11,000	91.63	10,078.75	97.87	10,765.36	686.61	0.00	0.00	686.61
02/06/2013	12/03/2012	Sell	USD	6188045	9,000	93.11	8,380.00	97.87	8,808.03	428.03	0.00	0.00	428.03
02/06/2013	12/04/2012	Sell	USD	6193050	10,000	93.00	9,300.00	97.87	9,786.69	486.69	0.00	0.00	486.69
Total 382410AC2					124,000.00	90.74	112,517.50	97.87	121,355.00	8,837.50	0.00	0.00	8,837.50
62910TAB1 NFRECY 9.750000% 02/15/2017													
01/23/2013	01/13/2012	Sell	USD	5105757	18,000	91.50	16,470.00	99.92	17,985.36	0.00	1,515.36	0.00	1,515.36
01/23/2013	03/01/2012	Sell	USD	5270781	35,000	83.25	29,137.50	99.92	34,971.52	5,834.02	0.00	0.00	5,834.02
01/28/2013	03/01/2012	Sell	USD	5270781	6,000	83.25	4,995.00	100.96	6,057.60	1,062.60	0.00	0.00	1,062.60
01/28/2013	03/07/2012	Sell	USD	5298625	19,000	83.25	15,817.50	100.96	19,182.40	3,364.90	0.00	0.00	3,364.90
05/15/2013	03/07/2012	Sell	USD	5298625	8,000	83.25	6,660.00	104.96	8,396.52	0.00	1,736.52	0.00	1,736.52
05/15/2013	03/12/2012	Sell	USD	5308793	15,000	85.25	12,787.50	104.96	15,743.48	0.00	2,955.98	0.00	2,955.98
Total 62910TAB1:					101,000.00	85.02	85,867.50	101.32	102,336.88	10,261.52	6,207.86	0.00	16,469.38
74837RAC8 KWK 7 125000% 04/01/2016													
03/15/2013	01/10/2013	Sell	USD	6302386	20,000	82.05	16,410.00	87.24	17,447.44	1,037.44	0.00	0.00	1,037.44
03/15/2013	01/11/2013	Sell	USD	6304949	10,000	82.35	8,235.00	87.24	8,723.72	488.72	0.00	0.00	488.72
03/15/2013	01/14/2013	Sell	USD	6312195	15,000	83.07	12,460.00	87.24	13,085.58	625.58	0.00	0.00	625.58
03/15/2013	01/18/2013	Sell	USD	6335180	21,000	84.80	17,807.50	87.24	18,319.80	512.30	0.00	0.00	512.30

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Realized Gain/Loss - YTD

Report Date: 12/31/2013

61160344 - The Todd Brock Family Foundation

Close Date	Open Date	Tran Type	Settle Ccy	Lot ID	Quantity	Unit Cost	Total Cost	Unit Proceeds	Proceeds	ST Gain/Loss	LT Gain/Loss	FX Gain/Loss	Total Gain/Loss
74837RAC8													
KWK 7.1250000% 04/01/2016													
03/15/2013	01/22/2013	Sell	USD	6335201	11,000	84.59	9,305.00	87.24	9,596.09	291.09	0.00	0.00	291.09
03/15/2013	01/25/2013	Sell	USD	6348620	1,000	84.55	845.45	87.24	872.37	26.92	0.00	0.00	26.92
03/15/2013	01/25/2013	Sell	USD	6348620	6,000	84.55	5,072.73	87.08	5,225.00	152.27	0.00	0.00	152.27
Total 74837RAC8:					84,000.00	83.49	70,135.68	87.23	73,270.00	3,134.32	0.00	0.00	3,134.32
74837RAE4													
KWK 8.2500000% 08/01/2015													
06/21/2013	01/03/2013	Sell	USD	6284495	22,000	93.80	20,635.00	102.79	22,613.80	1,978.80	0.00	0.00	1,978.80
06/21/2013	02/12/2013	Sell	USD	6403929	28,000	96.85	27,117.50	102.79	28,781.20	1,663.70	0.00	0.00	1,663.70
06/21/2013	02/19/2013	Sell	USD	6428017	19,000	96.80	18,392.50	102.79	19,530.10	1,137.60	0.00	0.00	1,137.60
06/21/2013	02/21/2013	Sell	USD	6438604	14,000	96.45	13,502.50	102.79	14,390.60	888.10	0.00	0.00	888.10
06/21/2013	03/27/2013	Sell	USD	6560018	17,000	98.68	16,776.25	102.79	17,474.30	698.05	0.00	0.00	698.05
Total 74837RAE4:					100,000.00	96.42	96,423.75	102.79	102,790.00	6,366.25	0.00	0.00	6,366.25
74837RAF1													
KWK 11.7500000% 01/01/2016													
01/24/2013	01/03/2013	Sell	USD	6284396	14,000	99.43	13,920.28	104.43	14,520.00	699.72	0.00	0.00	699.72
01/25/2013	01/03/2013	Sell	USD	6284396	4,000	99.43	3,977.22	104.69	4,187.65	210.43	0.00	0.00	210.43
01/25/2013	01/04/2013	Sell	USD	6285657	13,000	99.77	12,970.39	104.69	13,609.85	639.46	0.00	0.00	639.46
04/23/2013	01/08/2013	Sell	USD	6295097	11,000	100.08	11,009.17	106.94	11,763.53	754.36	0.00	0.00	754.36
04/23/2013	02/11/2013	Sell	USD	6401690	6,000	100.54	6,032.50	106.94	6,416.47	383.97	0.00	0.00	383.97
04/23/2013	01/04/2013	Sell	USD	6285557	32,000	99.77	31,927.11	106.73	34,152.00	2,224.89	0.00	0.00	2,224.89
04/23/2013	01/04/2013	Sell	USD	6288370	7,000	99.89	6,992.50	106.73	7,470.75	478.25	0.00	0.00	478.25
04/23/2013	01/08/2013	Sell	USD	6295097	1,000	100.08	1,000.83	106.73	1,067.25	66.42	0.00	0.00	66.42
05/02/2013	02/11/2013	Sell	USD	6401690	18,000	100.54	18,097.50	106.98	19,256.47	1,158.97	0.00	0.00	1,158.97
05/02/2013	02/12/2013	Sell	USD	6414575	18,000	100.93	18,167.50	106.98	19,256.47	1,088.97	0.00	0.00	1,088.97
05/02/2013	02/14/2013	Sell	USD	6416553	10,000	100.85	10,085.00	106.98	10,698.04	613.04	0.00	0.00	613.04
05/02/2013	02/19/2013	Sell	USD	6427376	5,000	101.31	5,065.44	106.98	5,349.02	283.58	0.00	0.00	283.58
06/21/2013	02/19/2013	Sell	USD	6427376	12,000	101.31	12,157.06	106.80	12,816.00	658.94	0.00	0.00	658.94
06/21/2013	03/08/2013	Sell	USD	6496127	28,000	101.79	28,500.00	106.80	29,904.00	1,404.00	0.00	0.00	1,404.00
06/21/2013	03/15/2013	Sell	USD	6514417	9,000	102.36	9,212.50	106.80	9,612.00	399.50	0.00	0.00	399.50
06/21/2013	03/21/2013	Sell	USD	6538061	23,000	102.29	23,527.50	106.80	24,564.00	1,036.50	0.00	0.00	1,036.50
06/21/2013	03/22/2013	Sell	USD	6538415	17,000	102.56	17,435.00	106.80	18,156.00	721.00	0.00	0.00	721.00
06/21/2013	03/25/2013	Sell	USD	6543577	39,000	102.53	39,985.00	106.80	41,652.00	1,667.00	0.00	0.00	1,667.00
06/21/2013	03/26/2013	Sell	USD	6548235	13,000	102.33	13,302.50	106.80	13,884.00	581.50	0.00	0.00	581.50
Total 74837RAF1:					280,000.00	101.20	283,365.00	106.58	298,435.50	15,070.50	0.00	0.00	15,070.50
74837RAJ3													
KWK 11.0000000% 07/01/2021													
08/16/2013	06/12/2013	Sell	USD	6873488	10,000	94.95	9,494.93	93.90	9,390.00	(104.93)	0.00	0.00	(104.93)
08/27/2013	06/12/2013	Sell	USD	6873488	22,000	94.95	20,888.84	91.95	20,230.00	(658.84)	0.00	0.00	(658.84)
08/29/2013	06/12/2013	Sell	USD	6873488	15,000	94.95	14,242.39	92.43	13,865.00	(377.39)	0.00	0.00	(377.39)
Total 74837RAJ3					47,000.00	94.95	44,626.16	92.52	43,485.00	(1,141.16)	0.00	0.00	(1,141.16)

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Jefferies

Realized Gain/Loss - YTD

Report Date 12/31/2013

61160344 - The Todd Brock Family Foundation

Close Date	Open Date	Tran Type	Settle Ccy	Lot ID	Quantity	Unit Cost	Total Cost	Unit Proceeds	Proceeds	ST Gain/Loss	LT Gain/Loss	FX Gain/Loss	Total Gain/Loss
VQ 11.500000% 10/01/2017													
9227SPAD1													
08/21/2013	10/18/2012	Sell	USD	6047916	90,000	100.26	90,235.00	106.88	96,187.50	5,952.50	0.00	0.00	5,952.50
Total 9227SPAD1					90,000.00	100.26	90,235.00	106.88	96,187.50	5,952.50	0.00	0.00	5,952.50
VQ 8.875000% 02/15/2019													
9227SPAF6													
05/03/2013	09/14/2012	Sell	USD	5933987	38,000	88.78	33,735.00	102.22	38,845.26	5,110.26	0.00	0.00	5,110.26
05/03/2013	09/18/2012	Sell	USD	5948288	1,000	88.76	887.63	102.22	1,022.24	134.61	0.00	0.00	134.61
05/06/2013	09/18/2012	Sell	USD	5948288	23,000	88.76	20,415.49	102.58	23,593.75	3,178.26	0.00	0.00	3,178.26
06/28/2013	09/18/2012	Sell	USD	5948288	53,000	88.76	47,044.38	97.74	51,800.34	4,755.96	0.00	0.00	4,755.96
06/28/2013	09/19/2012	Sell	USD	5952525	21,000	87.52	18,379.29	97.74	20,524.66	2,145.37	0.00	0.00	2,145.37
07/08/2013	09/19/2012	Sell	USD	5952525	28,000	87.52	24,505.71	97.72	27,362.00	2,856.29	0.00	0.00	2,856.29
07/08/2013	09/25/2012	Sell	USD	5970240	7,000	86.97	6,087.61	97.72	6,840.50	752.89	0.00	0.00	752.89
07/11/2013	09/25/2012	Sell	USD	5970240	4,000	86.97	3,478.64	97.88	3,915.00	436.36	0.00	0.00	436.36
07/11/2013	10/01/2012	Sell	USD	5989591	12,000	85.53	10,263.43	97.88	11,745.00	1,481.57	0.00	0.00	1,481.57
08/06/2013	10/01/2012	Sell	USD	5989591	19,000	85.53	16,250.43	100.70	19,132.50	2,882.07	0.00	0.00	2,882.07
Total 9227SPAF6:					206,000.00	87.89	181,047.61	99.41	204,781.25	23,733.64	0.00	0.00	23,733.64
WDBNAC 12.000000% 05/15/2016													
978699AC0													
07/17/2013	01/04/2012	Sell	USD	5082400	3,000	91.71	2,751.43	105.99	3,179.59	0.00	428.16	0.00	428.16
07/17/2013	01/24/2012	Sell	USD	5141793	71,000	98.51	69,944.47	105.99	75,250.41	0.00	5,305.94	0.00	5,305.94
08/21/2013	01/24/2012	Sell	USD	5141793	4,000	98.51	3,940.53	106.48	4,259.31	0.00	318.78	0.00	318.78
08/21/2013	02/13/2012	Sell	USD	5211015	34,000	100.40	34,137.50	106.48	36,204.14	0.00	2,066.64	0.00	2,066.64
08/21/2013	02/14/2012	Sell	USD	5216852	12,000	100.33	12,040.00	106.48	12,777.93	0.00	737.93	0.00	737.93
08/21/2013	02/16/2012	Sell	USD	5223373	8,000	100.31	8,025.00	106.48	8,518.62	0.00	493.62	0.00	493.62
Total 978699AC0					132,000.00	99.12	130,838.93	106.20	140,190.00	0.00	9,351.07	0.00	9,351.07
PMGCN 2.625000% 08/25/2016													
B50NST8													
06/20/2013	03/26/2013	Sell	USD	6559529	30,000	97.53	29,260.00	99.97	29,990.62	730.62	0.00	0.00	730.62
06/20/2013	04/01/2013	Sell	USD	6559552	11,000	98.38	10,821.25	99.97	10,996.56	175.31	0.00	0.00	175.31
06/20/2013	04/02/2013	Sell	USD	6589395	40,000	98.14	39,255.00	99.97	39,987.50	732.50	0.00	0.00	732.50
06/20/2013	04/09/2013	Sell	USD	6588469	5,000	99.10	4,955.00	99.97	4,998.44	43.44	0.00	0.00	43.44
06/20/2013	04/11/2013	Sell	USD	6602732	30,000	98.43	29,530.00	99.97	29,990.63	460.63	0.00	0.00	460.63
06/20/2013	04/15/2013	Sell	USD	6616119	15,000	98.12	14,717.50	99.97	14,995.31	277.81	0.00	0.00	277.81
06/20/2013	04/17/2013	Sell	USD	6627309	28,000	97.32	27,250.00	99.97	27,991.25	741.25	0.00	0.00	741.25
06/20/2013	05/20/2013	Sell	USD	6753124	17,000	98.57	16,757.50	99.97	16,994.69	237.19	0.00	0.00	237.19
Total B50NST8:					176,000.00	98.04	172,546.25	99.97	175,945.00	3,398.75	0.00	0.00	3,398.75
BLACKBRUSH TERM LOAN (6/13)													
BLKBRTLPTV													
06/27/2013	06/26/2013	Sell	USD	6896000	685	99.00	678.15	100.00	685.00	6.85	0.00	0.00	6.85
08/15/2013	06/26/2013	Sell	USD	6896000	27,000	99.00	26,730.00	98.25	26,526.33	(203.67)	0.00	0.00	(203.67)
08/15/2013	06/26/2013	Sell	USD	6896000	20,000	99.00	19,800.00	98.93	19,786.49	(13.51)	0.00	0.00	(13.51)
08/15/2013	06/26/2013	Sell	USD	6896000	28,000	99.00	27,720.00	99.16	27,765.58	45.58	0.00	0.00	45.58

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Realized Gain/Loss - YTD

Report Date: 12/31/2013

61160344 - The Todd Brock Family Foundation

Close Date	Open Date	Tran Type	Settle Ccy	Lot ID	Quantity	Unit Cost	Total Cost	Unit Proceeds	Proceeds	ST Gain/Loss	LT Gain/Loss	FX Gain/Loss	Total Gain/Loss
BLKBRTLTPVT													
08/15/2013	06/26/2013	Sell	USD	6896000	13,000	99.00	12,870.00	99.48	12,931.85	61.85	0.00	0.00	61.85
Total BLKBRTLTPVT:									87,695.25	(102.90)	0.00	0.00	(102.90)
C14802AA7													
CCS INC 11.0000000% 11/15/2015													
02/12/2013	01/03/2011	Sell	USD	3822395	16,000	89.56	14,330.00	101.56	16,250.00	0.00	1,920.00	0.00	1,920.00
Total C14802AA7:									16,250.00	0.00	1,920.00	0.00	1,920.00
CRSTWTLTPVT													
CRESTWOOD TERM LOAN (3/12)													
02/22/2013	12/21/2012	Sell	USD	6242142	3,383	101.56	3,435.66	100.00	3,383.00	(52.66)	0.00	0.00	(52.66)
05/23/2013	12/21/2012	Sell	USD	6242142	2,316	101.56	2,352.05	100.00	2,316.00	(36.05)	0.00	0.00	(36.05)
06/20/2013	12/21/2012	Sell	USD	6242142	167,456	101.56	170,062.63	100.00	167,456.00	(2,606.63)	0.00	0.00	(2,606.63)
Total CRSTWTLTPVT									173,155.00	(2,695.34)	0.00	0.00	(2,695.34)
EVEP130119P50.00													
PUT EVEP JAN 50.00000 01/19/2013													
01/18/2013	12/06/2012	Expire	USD	6201387	(10)	0.73	(729.67)	0.00	0.00	729.67	0.00	0.00	729.67
Total EVEP130119P50.00									0.00	729.67	0.00	0.00	729.67
EVEP130316P50.00													
PUT EVEP MAR 50.00000 03/16/2013													
03/15/2013	02/28/2013	Expire	USD	6460570	(22)	0.52	(1,148.91)	0.00	0.00	1,148.91	0.00	0.00	1,148.91
Total EVEP130316P50.00									0.00	1,148.91	0.00	0.00	1,148.91
GMXRPR													
GMXR PREFERRED 9.2500000%													
02/08/2013	02/06/2012	CoverShort	USD	5189418	(187)	14.43	(2,698.63)	15.42	(2,883.91)	(185.28)	0.00	0.00	(185.28)
02/08/2013	02/24/2012	CoverShort	USD	5250781	(564)	14.67	(8,272.19)	15.42	(8,698.01)	(425.82)	0.00	0.00	(425.82)
02/08/2013	02/24/2012	CoverShort	USD	5250803	(372)	14.77	(5,496.28)	15.42	(5,736.99)	(240.71)	0.00	0.00	(240.71)
Total GMXRPR									(17,318.91)	(851.81)	0.00	0.00	(851.81)
SPY													
SPDR S&P 500 ETF TRUST													
06/06/2013	01/04/2013	CoverShort	USD	6282554	(180)	146.38	(26,348.60)	160.85	(28,952.17)	(2,603.57)	0.00	0.00	(2,603.57)
06/06/2013	01/18/2013	CoverShort	USD	6331301	(470)	146.73	(68,961.46)	160.85	(75,597.33)	(6,635.87)	0.00	0.00	(6,635.87)
08/28/2013	01/18/2013	CoverShort	USD	6331301	(332)	146.73	(48,713.21)	163.46	(54,268.76)	(5,555.55)	0.00	0.00	(5,555.55)
Total SPY:									(158,818.26)	(14,794.99)	0.00	0.00	(14,794.99)
SPY130420P130.00													
PUT SPY APR 130.00000 04/20/2013													
04/19/2013	01/09/2013	Expire	USD	6295218	16	1.06	1,700.44	0.00	0.00	(1,700.44)	0.00	0.00	(1,700.44)
Total SPY130420P130.00:									0.00	(1,700.44)	0.00	0.00	(1,700.44)
SPY130622P129.00													
PUT SPY JUN 129.00000 06/22/2013													
06/21/2013	01/28/2013	Expire	USD	6352909	26	1.09	2,834.98	0.00	0.00	(2,834.98)	0.00	0.00	(2,834.98)
06/21/2013	02/01/2013	Expire	USD	6371716	13	1.06	1,377.58	0.00	0.00	(1,377.58)	0.00	0.00	(1,377.58)
Total SPY130622P129.00:									0.00	(4,212.56)	0.00	0.00	(4,212.56)

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Realized Gain/Loss - YTD Report Date: 12/31/2013

61160344 - The Todd Brock Family Foundation

Close Date	Open Date	Tran Type	Settle Ccy	Lot ID	Quantity	Unit Cost	Total Cost	Unit Proceeds	Proceeds	ST Gain/Loss	LT Gain/Loss	FX Gain/Loss	Total Gain/Loss
SPY130921P145.00													
PUT SPY SEP 145.0000 09/21/2013													
08/21/2013	06/05/2013	Sell	USD	6835384	25	1.66	4,152.72	0.15	364.14	(3,788.58)	0.00	0.00	(3,788.58)
08/21/2013	06/07/2013	Sell	USD	6840211	10	1.42	1,422.88	0.15	145.65	(1,277.22)	0.00	0.00	(1,277.22)
					35.00	1.59	5,575.60	0.15	509.80	(5,065.80)	0.00	0.00	(5,065.80)
Total SPY130921P145.00-													
TLT													
ISHARES LEHMAN 20+ YR TREAS													
01/04/2013	05/14/2012	CoverShort	USD	5517314	(140)	121.04	(16,945.98)	118.44	(16,581.89)	364.09	0.00	0.00	364.09
01/04/2013	12/26/2012	CoverShort	USD	6251072	(71)	121.86	(8,651.83)	118.44	(8,409.39)	242.44	0.00	0.00	242.44
					(211.00)	121.32	(25,597.81)	118.44	(24,991.28)	606.53	0.00	0.00	606.53
Total TLT													
VAREL INTERNATIONAL TERM LOAN													
VARELTPVT													
01/15/2013	02/27/2012	Sell	USD	5281423	43,021	97.87	42,106.80	100.00	43,021.00	914.20	0.00	0.00	914.20
01/15/2013	04/11/2011	Sell	USD	4151178	27,379	95.08	26,032.85	100.00	27,379.00	0.00	1,346.15	0.00	1,346.15
01/15/2013	04/11/2011	Sell	USD	4151190	105,000	97.08	101,937.50	100.00	105,000.00	0.00	3,062.50	0.00	3,062.50
01/15/2013	06/26/2012	Sell	USD	5676307	25,000	98.11	24,527.10	100.00	25,000.00	472.90	0.00	0.00	472.90
01/15/2013	07/12/2012	Sell	USD	5805570	70,000	98.27	68,786.67	100.00	70,000.00	1,213.33	0.00	0.00	1,213.33
01/15/2013	11/29/2011	Sell	USD	4973577	81,627	95.03	77,568.51	100.00	81,627.00	0.00	4,058.49	0.00	4,058.49
					352,027.00	96.86	340,959.43	100.00	352,027.00	2,600.43	8,467.14	0.00	11,067.57
Total VARELTPVT													
VAREL INTERNATIONAL TERM LOAN 1/13													
VARINTLPVT													
03/27/2013	02/04/2013	Sell	USD	6378951	2,250	98.00	2,205.00	100.00	2,250.00	45.00	0.00	0.00	45.00
06/28/2013	02/04/2013	Sell	USD	6378951	2,250	98.00	2,205.00	100.00	2,250.00	45.00	0.00	0.00	45.00
					4,500.00	98.00	4,410.00	100.00	4,500.00	90.00	0.00	0.00	90.00
Total VARINTLPVT													
VENOCO TERM LOAN													
VENOTLPVT													
01/07/2013	12/06/2012	Sell	USD	6214059	51,074	102.02	52,104.01	103.00	52,606.22	502.21	0.00	0.00	502.21
01/08/2013	12/06/2012	Sell	USD	6214059	23,298	102.02	23,767.85	103.00	23,996.94	229.09	0.00	0.00	229.09
02/04/2013	12/06/2012	Sell	USD	6214059	7,476	102.02	7,626.77	103.00	7,700.28	73.51	0.00	0.00	73.51
03/12/2013	12/06/2012	Sell	USD	6214059	2,179	102.02	2,222.94	103.00	2,244.37	21.43	0.00	0.00	21.43
04/05/2013	12/06/2012	Sell	USD	6214059	42,973	102.02	43,839.63	94.13	40,452.20	(3,387.43)	0.00	0.00	(3,387.43)
					127,000.00	102.02	129,561.20	100.00	127,000.01	(2,561.19)	0.00	0.00	(2,561.19)
Total VENOTLPVT													
Total Trading Activity:							1,999,055.20		2,075,280.10	54,926.12	21,298.78	0.00	76,224.90
Total 61160344:							1,999,055.20		2,075,280.10	54,926.12	21,298.78	0.00	76,224.90

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