



See a Social Security Number? Say Something!
Report Privacy Problems to <https://public.resource.org/privacy>
Or call the IRS Identity Theft Hotline at 1-800-908-4490



Form

990-PF

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

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

OMB No 1545-0052

2013

Open to Public Inspection

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

Name of foundation THE PALETTE FUND INC		A Employer identification number 26-2736653	
% TERRENCE MECK		B Telephone number (see instructions) (646) 861-3292	
Number and street (or P O box number if mail is not delivered to street address) 1201 BROADWAY Suite 504		C If exemption application is pending, check here ▶ <input type="checkbox"/>	
City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10001		D 1. Foreign organizations, check here ▶ <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation ▶ <input type="checkbox"/>	
G Check all that apply <div><input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change</div> <div><input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change</div>		E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ <input type="checkbox"/>	
H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ <input type="checkbox"/>	
I Fair market value of all assets at end of year (<i>from Part II, col. (c), line 16</i>)▶ \$ 20,889,746		J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.)	

Part I Analysis of Revenue and Expenses <small>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))</small>		(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)	2,100			
	2 Check ▶ <input type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	138	138	138	
	4 Dividends and interest from securities.	648,714	648,714	648,714	
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	262,772			
	b Gross sales price for all assets on line 6a 5,357,202				
	7 Capital gain net income (from Part IV, line 2) . . .		262,772		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
Operating and Administrative Expenses	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)	 151,147	151,147	151,147	
	12 Total. Add lines 1 through 11	1,064,871	1,062,771	799,999	
	13 Compensation of officers, directors, trustees, etc	110,000			110,000
	14 Other employee salaries and wages	117,475			79,225
	15 Pension plans, employee benefits	19,250			
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)	19,558	0	0	0
	c Other professional fees (attach schedule)	 228,975	93,051		135,924
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	 36,329	7,326		25,752
	19 Depreciation (attach schedule) and depletion . . .	 7,514			
	20 Occupancy	27,472			27,472
	21 Travel, conferences, and meetings	79,295			79,295
	22 Printing and publications	2,925			
	23 Other expenses (attach schedule)	 143,331	6,217		137,114
	24 Total operating and administrative expenses. Add lines 13 through 23	792,124	106,594	0	594,782
	25 Contributions, gifts, grants paid	1,089,102			1,089,102
	26 Total expenses and disbursements. Add lines 24 and 25	1,881,226	106,594	0	1,683,884
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-816,355			
	b Net investment income (if negative, enter -0-)		956,177		
	c Adjusted net income (if negative, enter -0-)			799,999	

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	34,395	611,169	611,169
	2	Savings and temporary cash investments	1,702,514	3,190,693	3,190,693
	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) ▶ <u>2,998,768</u> Less allowance for doubtful accounts ▶ _____	3,095,647	2,998,768	2,998,768
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges		6,779	6,779
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	4,723,568	5,401,869	6,037,095
	c	Investments—corporate bonds (attach schedule).	4,945,944	3,912,578	4,062,138
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	5,546,390	3,936,397	3,983,104
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____	826,150		
15	Other assets (describe ▶ _____)				
16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	20,874,608	20,058,253	20,889,746	
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ _____)			
	23	Total liabilities (add lines 17 through 22)		0	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted	20,874,608	20,058,253	
	25	Temporarily restricted			
	26	Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input type="checkbox"/> 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			
	30	Total net assets or fund balances (see page 17 of the instructions)	20,874,608	20,058,253	
31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	20,874,608	20,058,253		

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 20,874,608
2	Enter amount from Part I, line 27a	2 -816,355
3	Other increases not included in line 2 (itemize) ▶ _____	3
4	Add lines 1, 2, and 3	4 20,058,253
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 20,058,253

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	262,772
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8		3	

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2012	1,484,105	18,369,423	0 080792
2011	1,477,353	17,983,257	0 082152
2010	1,111,688	13,562,196	0 08197
2009	394,692	7,324,506	0 053887
2008	35,665	616,454	0 057855

2	Total of line 1, column (d).	2	0 356656
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 071331
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	19,600,745
5	Multiply line 4 by line 3.	5	1,398,141
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	9,562
7	Add lines 5 and 6.	7	1,407,703
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	1,683,884

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 <input type="checkbox"/> and enter "N/A" on line 1		
Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)		
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b	1	9,562
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	9,562
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	9,562
6 Credits/Payments		
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a	2,775
b Exempt foreign organizations—tax withheld at source	6b	
c Tax paid with application for extension of time to file (Form 8868)	6c	
d Backup withholding erroneously withheld	6d	
7 Total credits and payments. Add lines 6a through 6d.	7	2,775
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached.	8	131
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	6,918
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	
11 Enter the amount of line 10 to be Credited to 2014 estimated tax <input type="checkbox"/> Refunded <input type="checkbox"/>	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? <input checked="" type="checkbox"/>		Yes	No
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? <i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.</i>	1a		No
c Did the foundation file Form 1120-POL for this year?	1b		No
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation <input type="checkbox"/> \$ _____ (2) On foundation managers <input type="checkbox"/> \$ _____	1c		No
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ _____			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i>	2		No
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes.</i> <input checked="" type="checkbox"/>	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? <i>If "Yes," attach the statement required by General Instruction T.</i> <input checked="" type="checkbox"/>	5		No
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes	
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i>	7	Yes	
8a Enter the states to which the foundation reports or with which it is registered (see instructions): <input checked="" type="checkbox"/> NY _____			
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation.</i>	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)? <i>If "Yes," complete Part XIV</i>	9		No
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i>	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 ▶ WWW.THEPALETTEFUND.ORG				
14	The books are in care of ▶ TERRENCE MECK Telephone no ▶ (646) 861-3292			
	Located at ▶ 1201 BROADWAY SUITE 504 NEW YORK NY ZIP +4 ▶ 10001			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here ▶ <input type="checkbox"/>			
	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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? . . . Organizations relying on a current notice regarding disaster assistance check here. ▶ <input type="checkbox"/>	1b		
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?	1c		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	If "Yes," list the years ▶ 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions).	2b		No
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ▶ 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (<i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.</i>)	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))?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(3) Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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).	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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.	<input checked="" type="checkbox"/>		
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?	<input type="checkbox"/> Yes <input type="checkbox"/> 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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?	7b		

Part VIII

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

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).				
(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
See Additional Data Table				
2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."				
(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
RYAN FULLER	CONTROLLER	38,250	4,250	
1201 BROADWAY STE 504 NEW YORK, NY 10001	40 0			
CLARA RODRIGUEZ	PROGRAM DIRECTOR	71,154		
1201 BROADWAY STE 504 NEW YORK, NY 10001	40 0			
Total number of other employees paid over \$50,000.				

Part VIII

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

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".		
(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
Total number of others receiving over \$50,000 for professional services.		

Part IX-A

Summary of Direct Charitable Activities

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

Part IX-B

Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1	
2	
All other program-related investments. See page 24 of the instructions.	
3	
Total. Add lines 1 through 3.	

Part X

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities.	1a	10,141,196
b	Average of monthly cash balances.	1b	2,769,387
c	Fair market value of all other assets (see instructions).	1c	6,988,651
d	Total (add lines 1a, b, and c).	1d	19,899,234
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	
2	Acquisition indebtedness applicable to line 1 assets.	2	0
3	Subtract line 2 from line 1d.	3	19,899,234
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	298,489
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	19,600,745
6	Minimum investment return. Enter 5% of line 5.	6	980,037

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	980,037
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	9,562
b	Income tax for 2013 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	9,562
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	970,475
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	970,475
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	970,475

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	1,683,884
b	Program-related investments—total from Part IX-B.	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes.	2	0
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	0
b	Cash distribution test (attach the required schedule).	3b	0
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	1,683,884
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	9,562
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	1,674,322
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			
2		Undistributed income, if any, as of the end of 2013			
a		Enter amount for 2012 only. 0			
b		Total for prior years 2011 , 2010 , 2009 0			
3		Excess distributions carryover, if any, to 2013			
a		From 2008. 4,922			
b		From 2009. 32,006			
c		From 2010. 440,424			
d		From 2011. 587,682			
e		From 2012. 584,770			
f		Total of lines 3a through e. 1,649,804			
4		Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 1,683,884			
a		Applied to 2012, but not more than line 2a 0			
b		Applied to undistributed income of prior years (Election required—see instructions).			
c		Treated as distributions out of corpus (Election required—see instructions).			
d		Applied to 2013 distributable amount. 970,475			
e		Remaining amount distributed out of corpus 713,409			
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 2,363,213			
b		Prior years' undistributed income Subtract line 4b from line 2b 0			
c		Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.			
d		Subtract line 6c from line 6b Taxable amount—see instructions 0			
e		Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions 0			
f		Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014 0			
7		Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions).			
8		Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions). 4,922			
9		Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a 2,358,291			
10		Analysis of line 9			
a		Excess from 2009. 32,006			
b		Excess from 2010. 440,424			
c		Excess from 2011. 587,682			
d		Excess from 2012. 584,770			
e		Excess from 2013. 713,409			

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 of the person to whom applications should be addressed

b

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

c

Any submission deadlines

d

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

Form 990-PF (2013)

Part XV

Supplementary Information (continued)

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year See Additional Data Table				
Total			3a	1,089,102
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)
MORGAN STANELY LT 113541- SEE ATTACHED STATEMENT	P	2010-01-01	2013-12-31
MORGAN STANLEY ST 118335- SEE ATTACHED STATEMENTS	P	2013-01-01	2013-12-31
MORGAN STANLEY ST 118335- SEE ATTACHED STATEMENTSMORGAN STANLEY LT 118	P	2010-01-01	2013-12-31
MORGAN STANLEY ST 014929- SEE ATTACHED STATEMENTS	P	2013-01-01	2013-12-31
MORGAN STANLEY LT 014929- SEE ATTACHED STATEMENTS	P	2010-01-01	2013-12-31
MORGAN STANLEY ST 014425- SEE ATTACHED STATEMENTS	P	2010-01-01	2013-12-31
MORGAN STANLEY ST 016428- SEE ATTACHED STATEMENTS	P	2013-01-01	2013-12-31
MORGAN STANLEY LT 016428- SEE ATTACHED STATEMENTS	P	2010-01-01	2013-12-31
MORGAN STANLEY ST 017125 - SEE ATTACHED STATEMENTS	P	2013-01-01	2013-12-31
WELLS FARGO ST 4748-9742- SEE ATTACHED STATEMENTS	P	2013-01-01	2013-12-31
WELLS FARGO LT 4748-9742- SEE ATTACHED STATEMENTS	P	2010-01-01	2013-12-31
OFFICE BUILDING AND IMPROVEMENTS	P	2010-12-09	2013-04-01

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)
406,282		356,000	50,282
109,863		111,021	-1,158
1,754,996		1,673,115	81,881
15,255		15,218	37
372,705		357,835	14,870
44,278		29,049	15,229
86,459		99,883	-13,424
163,019		167,874	-4,855
77,130		78,233	-1,103
377,498		375,774	1,724
1,031,091		1,011,793	19,298
879,844		818,635	61,209


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	
			50,282
			-1,158
			81,881
			37
			14,870
			15,229
			-13,424
			-4,855
			-1,103
			1,724
			19,298
			61,209


Form 990PF Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
TERRENCE MECK	PRESIDENT 0	110,000	15,000	
1201 BROADWAY NEW YORK, NY 10001				
PETER BENASSI	CHAIR 10	0		
1201 BROADWAY NEW YORK, NY 10001				
KRISTIN RESNANSKY	SECRETARY & TREASURER 10	0		
1201 BROADWAY NEW YORK, NY 10001				
TODD SEARS	DIRECTOR 10	0		
1201 BROADWAY NEW YORK, NY 10001				
BLAIRE MILANESE	DIRECTOR 10	0		
1201 BROADWAY NEW YORK, NY 10001				


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				
RAINFOREST ACTION NETWORK 221 PINE STREET 5TH FL SAN FRANCISCO,CA 94104			CONTRIBUTION	5,250
TRUE COLORS FUND 330 WEST 38TH STREET SUITE 405 NEW YORK,NY 10018			CONTRIBUTION	27,000
GOD'S LOVE WE DELIVER 166 AVENUE OF THE AMERICAS NEW YORK,NY 10013			CONTRIBUTION & GRANT	35,834
THRESHOLD FOUNDATION PO BOX 29903 SAN FRANCISCO,CA 94129			CONTRIBUTION	32,000
LGBT COMMUNITY CENTER 1800 MARKEY STREET SAN FRANCISCO,CA 94012			CONTRIBUTION	66,000
NEW YORK ZEN CENTER 70A GREENWICH AVE NEW YORK,NY 10011			CONTRIBUTION	30,000
BROADWAY CARES 165 West 46th Street Suite 1300 NEW YORK,NY 10036			CONTRIBUTION	17,350
AMERICAN PROGRESS CENTER 1333 H Street NW 10th Floor WASHINGTON,DC 20005			GRANT	50,000
FRIENDS OF HIGH LINE 529 W 20th St 8W NEW YORK,NY 10011			GRANT	21,500
FIRST DESCENTS 767 SANTA FE DRIVE DENVER,CO 80204			GRANT	25,000
ROSIE'S THEATER KIDS 455 WEST 45TH STREET NEW YORK,NY 10036			GRANT	10,000
FOOD FIGHT 285 RIVERSIDE DRIVE NEW YORK,NY 10025			GRANT	50,000
EDIBLE SCHOOLYARD 350 AVENUE X BROOKLYN,NY 11223			GRANT	25,000
JEFFREY FASHION CARES 120 WALL STREET NEW YORK,NY 10005			GRANT	100,000
LIBERTY HILLQUEER YOUTH FUND 6420 WILSHIRE BLVD LOS ANGELES,CA 90048			GRANT	110,696
Total  3a				1,089,102

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				
POINT FOUNDATION PO BOX 60108 LOS ANGELES,CA 90060			GRANT	125,000
NATIONAL LGBT CANCER NETWORK 136 WEST 16TH STREET NEW YORK,NY 10011			GRANT	12,500
PANCAN 1500 Rosecrans Avenue Suite 200 MANHATTAN BEACH,CA 90266			CONTRIBUTION	67,500
SMITH CENTER FOR HEALING 1632 U STREET NW WASHINGTON,DC 20009			GRANT	50,000
WELLNESS IN THE SCHOOLS 466 West End Ave NEW YORK,NY 10024			GRANT	1,553
SHARE OUR STRENGTH 1030 15th Street Washington,DC 20000			CONTRIBUTION	5,000
YOUNG WOMENS LEADERSHIP 322 8th Avenue 14th Floor NEW YORK,NY 10001			CONTRIBUTION	500
ROUNDAABOUT THEATRE 231 West 39th Street Suite 1200 NEW YORK,NY 10018			CONTRIBUTION	5,000
THE ULMAN CANCER FUND 611 S Kingsley Drive Los Angeles,CA 90000			CONTRIBUTION	500
AIDS WALK NYC 611 S Kingsley Drive Los Angeles,CA 90000			CONTRIBUTION	1,000
BAILEY HOUSE 1751 Park Avenue NEW YORK,NY 10035			CONTRIBUTION	25,000
GILL FOUNDATION 2215 MARKET STREET DENVER,CO 80205			CONTRIBUTION	2,500
GARRISON INSTITUTE 14 Marys Way Route 9D GARRISON,NY 10524			CONTRIBUTION	10,000
VICTORY FUND 1919 Connecticut Avenue Washington,DC 20006			CONTRIBUTION	2,500
VARIOUS ONLINE ORGANIZATIONS 1201 BROADWAY NEW YORK,NY 10001			CONTRIBUTION	7,419
Total  3a				1,089,102

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>				
MOVEMENT ADVANCEMENT PROJECT 8403 Colesville Road Suite 450 Silver Spring, MD 20910			GRANT	30,000
ATHLETE ALLY 105 W 86th St Suite 238 New York, NY 10024			GRANT	5,000
CAMPUS PRIDE GRANT PO Box 240473 Charlotte, NC 28224			GRANT	2,500
MAUTNER PROJECT 1110 VERMONT AVE NW STE 550 WASHINGTON, DC 20005			GRANT	10,000
IMMIGRATION EQUALITY 40 Exchange Place Suite 1300 NEW YORK, NY 10005			GRANT	15,000
GLAD 30 Winter Street Suite 800 Boston, MA 02108			GRANT	15,000
CENTERLINK P O Box 24490 Fort Lauderdale, FL 33307			GRANT	25,000
NATURAL GOURMET INSTITUTE 48 West 21st Street NEW YORK, NY 10010			GRANT	10,000
THE TREVOR PROJECT POB 29789 NEW YORK, NY 10087			GRANT	5,000
COLUMBIA UNIVERSITY 615 West 131st Street Room 254 NEW YORK, NY 10027			GRANT	5,000
OUT2ENROLL CAMPAIGN Box 24490 Fort Lauderdale, FL 33307			GRANT	10,000
HRC TIME TO THRIVE CONFERENCE 1640 Rhode Island Ave NW Washington, DC 20036			GRANT	5,000
NATIONAL PROGRESSIVE LEADERSHIP 1400 Eye St NW Suite 900 WASHINGTON, DC 20005			GRANT	10,000
ASSOCIATION OF TRANS PROFESSION 6110 S Palm Caynon Drive Ste 20 Palm Springs, CA 92264			GRANT	10,000
POINT IN TIME - YOUTH COUNT 5757 Wilshire Blvd Suite 370 Los Angeles, CA 90003			GRANT	10,000
Total  3a				1,089,102

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

TY 2013 Depreciation Schedule

Name: THE PALETTE FUND INC

EIN: 26-2736653

Description of Property	Date Acquired	Cost or Other Basis	Prior Years' Depreciation	Computation Method	Rate / Life (# of years)	Current Year's Depreciation Expense	Net Investment Income	Adjusted Net Income	Cost of Goods Sold Not Included
222 WEST 14TH ST	2010-12-09	780,247	60,019	SL	39	6,562			
IMPROVEMENTS	2010-12-09	16,103	1,239	SL	39	138			
IMPROVEMENTS	2011-03-18	80,304	4,118	SL	39	686			
IMPROVEMENTS	2012-11-14	14,936	64	SL	39	128			

TY 2013 Investments - Land Schedule**Name:** THE PALETTE FUND INC**EIN:** 26-2736653

TY 2013 Investments - Other Schedule**Name:** THE PALETTE FUND INC**EIN:** 26-2736653

Category / Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
MORGAN STANLEY CROSSROADS	AT COST	515,109	515,109
MORGAN STANLEY HEDGE	AT COST		
MSSB REAL ESTATE DEBT	AT COST	324,392	331,637
RENEWAL 2 SOCIAL FUND	AT COST	141,822	141,822
D.E. SHAW OCULUS INT'L FUND	AT COST	1,997,417	1,995,140
FRONTPOINT OFFSHORE	AT COST	23,910	12,666
STARBOARD OFFSHORE	AT COST	902,008	954,991
YORK CREDIT OFFSHORE	AT COST		
RENEWAL 3 US LIMITED	AT COST	31,739	31,739

TY 2013 Land, Etc. Schedule

Name: THE PALETTE FUND INC

EIN: 26-2736653

Category / Item	Cost / Other Basis	Accumulated Depreciation	Book Value	End of Year Fair Market Value
222 WEST 14TH ST				
IMPROVEMENTS				
IMPROVEMENTS				
IMPROVEMENTS				

TY 2013 Other Expenses Schedule**Name:** THE PALETTE FUND INC**EIN:** 26-2736653

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
DUES AND SUBSCRIPTIONS	9,840			9,840
INSURANCE	2,450			2,450
MARKETING	14,234			14,234
ANNIVERSARY EVENT	90,979			90,979
NUTRITION	7,000			7,000
LICENSE AND PERMITS	775			775
OFFICE SUPPLIES	2,987			2,987
TELEPHONE	2,893			2,893
WEBSITE	4,546			4,546
REPAIRS AND MAINTENANCE	502			502
BANK SERVICE CHARGE	908			908
OTHER EXPENSES FORM K-1	6,217	6,217		

TY 2013 Other Income Schedule

Name: THE PALETTE FUND INC

EIN: 26-2736653

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
OTHER INCOME FROM K-1'S	151,147	151,147	151,147

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

TY 2013 Other Notes/Loans

Receivable Long Schedule

Name: THE PALETTE FUND INC

EIN: 26-2736653

Borrower's Name	Relationship to Insider	Original Amount of Loan	Balance Due	Date of Note	Maturity Date	Repayment Terms	Interest Rate	Security Provided by Borrower	Purpose of Loan	Description of Lender Consideration	Consideration FMV
JAMMIN PROPERTIES LLC		3,150,000	2,998,768	2012-04	2032-04	MONTHLY	500 %				

**TY 2013 Other Notes/Loans
Receivable Short Schedule**

Name: THE PALETTE FUND INC

EIN: 26-2736653

Name of 501(c)(3) Organization	Balance Due
JAMMIN PROPERTIES LLC	2,998,768

TY 2013 Other Professional Fees Schedule**Name:** THE PALETTE FUND INC**EIN:** 26-2736653

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
PROFESSIONAL FEES	225,627	93,051		132,576
PAYROLL & 401K FEES	3,348			3,348

TY 2013 Taxes Schedule**Name:** THE PALETTE FUND INC**EIN:** 26-2736653

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL	5,000	5,000		
FOREIGN TAXES PAID	2,326	2,326		
PAYROLL TAXES	29,003			25,752

TY 2013 IRS Payment**Name:** THE PALETTE FUND INC**EIN:** 26-2736653**Routing Transit Number:** 026012881**Bank Account Number:** 2000031501631**Type of Account:** Checking**Payment Amount in Dollars and** 6,918**Cents:****Requested Payment Date:** 2014-11-14**Taxpayer's Daytime Phone** (646) 861-3292**Number:**

Corporate Tax Statement
Tax Year 2013

THE PALETTE FUND, INC.
ATTN: TERRENCE MECK
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number 26-4310632

Taxpayer ID Number 26-2736653
Account Number 876 113541 066

Customer Service: 866-324-6088

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

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
COMSTOCK RESOURCE 8375 *17OC15		CUSIP: 205768AG9	Symbol (Box 1d):					
	150,000.000	02/07/12	10/15/13	\$156,282.00	\$144,750.00	\$0.00	\$11,532.00	\$0.00
FIFTH THIRD CAP 6500 *37AP15		CUSIP: 316781AA1	Symbol (Box 1d):					
	250,000.000	03/10/10	12/30/13	\$250,000.00	\$211,250.00	\$0.00	\$38,750.00	\$0.00
Total Long Term Noncovered Securities				\$406,282.00	\$356,000.00	\$0.00	\$50,282.00	\$0.00
Form 1099-B Total Reportable Amounts								
Total Sales Price (Box 2a)				\$406,282.00				
Total Cost or Other Basis (Box 3)					\$0.00			
Total Wash Sale Loss Disallowed (Box 5)						\$0.00		
Total Fed Tax Withheld (Box 4)								\$0.00

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

Corporate Tax Statement Tax Year 2013

THE PALETTE FUND, INC
BOND PORTFOLIO
ATTN: TERRENCE MECK
1201 BROADWAY SUITE 504
NEW YORK NY 10001-5405

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-2736653
Account Number: 876 118335 066

Customer Service: 866-324-6088

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

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
LORILLARD TOBACCO 2300 17AU21								
		CUSIP: 544152AF8		Symbol (Box 1d):				
	110,000.000	02/07/13	10/01/13	\$109,862.50	\$111,020.54	\$0.00	(\$1,158.04)	\$0.00
Total Short Term Noncovered Securities				\$109,862.50	\$111,020.54	\$0.00	(\$1,158.04)	\$0.00

Corporate Tax Statement
Tax Year 2013

THE PALETTE FUND, INC.
BOND PORTFOLIO
ATTN: TERRENCE MECK
1201 BROADWAY SUITE 504
NEW YORK NY 10001-5405

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-2736653
Account Number 876 118335 066

Customer Service: 866-324-6088

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

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
ALTRIA GROUP INC 4125 15SP11	CUSIP: 02209SAK9		Symbol (Box 1d):					
	275,000.000	06/08/10	09/23/13	\$291,912.50	\$273,828.50	\$0.00	\$18,084.00	\$0.00
	102,000.000	06/08/10	09/23/13	\$106,150.00	\$99,583.00	\$0.00	\$6,567.00	\$0.00
Security Subtotal	375,000.000			\$398,062.50	\$373,411.50	\$0.00	\$24,651.00	\$0.00
ENTERPRISE PRODUC 1250 15AU13	CUSIP: 29379VAX1		Symbol (Box 1d):					
	200,000.000	08/06/12	10/01/13	\$201,300.00	\$199,882.00	\$0.00	\$1,118.00	\$0.00
NASDAQ OMX GROUP 4000 15JA15	CUSIP: 631103AC2		Symbol (Box 1d):					
	330,000.000	01/13/10	09/24/13	\$341,220.00	\$329,141.67	\$0.00	\$12,078.33	\$0.00
PETROBRAS INTL CO 3500 17FB06	CUSIP: 71645WAU5		Symbol (Box 1d):					
	300,000.000	02/02/12	09/24/13	\$305,223.00	\$301,285.59	\$0.00	\$3,937.41	\$0.00
POTASH CORP 3750 15SP30	CUSIP: 73755LAG2		Symbol (Box 1d):					
	250,000.000	03/08/10	10/01/13	\$263,340.00	\$251,484.48	\$0.00	\$11,855.52	\$0.00

CONTINUED ON NEXT PAGE

Corporate Tax Statement Tax Year 2013

THE PALETTE FUND, INC
BOND PORTFOLIO
ATTN: TERRENCE MECK
1201 BROADWAY SUITE 504
NEW YORK NY 10001-5405

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-2736653
Account Number 876 118335 066

Customer Service: 866-324-6088

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

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

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
VALE OVERSEAS 6250 17JA23		CUSIP: 91911TAG8	Symbol (Box 1d):					
	220,000 000	04/07/09	10/01/13	\$246,150.74	\$217,910.00	\$0.00	\$28,240.74	\$0.00
Total Long Term Noncovered Securities				\$1,754,996.24	\$1,673,115.24	\$0.00	\$81,881.00	\$0.00
Total Short and Long Term, Covered and Noncovered Securities				\$1,864,858.74	\$1,784,135.78	\$0.00	\$80,722.96	\$0.00

Form 1099-B Total Reportable Amounts

Total Sales Price (Box 2a)	\$1,864,858.74		
Total Cost or Other Basis (Box 3)	\$0.00		
Total Wash Sale Loss Disallowed (Box 5)	\$0.00		
Total Fed Tax Withheld (Box 4)			\$0.00

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

**Corporate Tax Statement
Tax Year 2013**

THE PALETTE FUND, INC
ATTN: TERRENCE MECK
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-2736653
Account Number: 876 014929 066

Customer Service: 866-324-6088

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

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
EATON CORP PLC SHS		CUSIP: G29183103	Symbol (Box 1d): ETN					
	20.000	12/21/12	06/24/13	\$1,236.68	\$1,080.87	\$0.00	\$155.81	\$0.00
RIO TINTO PLC SPON ADR		CUSIP: 767204100	Symbol (Box 1d): RIO					
	15.000	12/14/12	06/24/13	\$596.90	\$827.68	\$0.00	(\$230.78)	\$0.00
TECK RESOURCES LTD		CUSIP: 878742204	Symbol (Box 1d): TCK					
	68.000	12/13/12	06/24/13	\$1,385.95	\$2,386.49	\$0.00	(\$1,000.54)	\$0.00
	50.000	12/14/12	06/24/13	\$1,019.08	\$1,776.08	\$0.00	(\$757.00)	\$0.00
Security Subtotal	118.000			\$2,405.03	\$4,162.57	\$0.00	(\$1,757.54)	\$0.00
Total Short Term Covered Securities				\$4,238.61	\$6,071.12	\$0.00	(\$1,832.51)	\$0.00

**Corporate Tax Statement
Tax Year 2013**

THE PALETTE FUND, INC
ATTN: TERRENCE MECK
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number 26-4310632

Taxpayer ID Number: 26-2736653
Account Number 876 014929 066

Customer Service: 866-324-6088

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

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
BROOKFIELD PPTY PARTNERS LP		CUSIP: G16249107	Symbol (Box 1d): BPY					
	0.000	04/15/13	04/15/13	\$9.90	\$0.00	\$0.00	\$9.90	\$0.00
EATON CORP PLC SHS		CUSIP: G29183103	Symbol (Box 1d): ETN					
	178.000	12/03/12	06/24/13	\$11,006.43	\$9,146.61	\$0.00	\$1,859.82	\$0.00
Total Short Term Noncovered Securities				\$11,016.33	\$9,146.61	\$0.00	\$1,869.72	\$0.00
Total Short Term Covered and Noncovered Securities				\$15,254.94	\$15,217.73	\$0.00	\$37.21	\$0.00

Corporate Tax Statement Tax Year 2013

THE PALETTE FUND. INC
ATTN: TERRENCE MECK
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-2736653
Account Number: 876 014929 066

Customer Service: 866-324-6088

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

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
AXA ADS		CUSIP: 054536107		Symbol (Box 1d): AXAHY				
	195.000	03/04/10	06/24/13	\$3,708.83	\$4,018.05	\$0.00	(\$309.22)	\$0.00
	30.000	06/30/10	06/24/13	\$570.59	\$467.70	\$0.00	\$102.89	\$0.00
Security Subtotal	225.000			\$4,279.42	\$4,485.75	\$0.00	(\$206.33)	\$0.00
BASF SE SP ADR		CUSIP: 055262505		Symbol (Box 1d): BASFY				
	140.000	03/04/10	06/24/13	\$12,511.58	\$7,973.00	\$0.00	\$4,533.58	\$0.00
BHP BILLITON LTD		CUSIP: 088606108		Symbol (Box 1d): BHP				
	255.000	03/04/10	06/24/13	\$14,450.03	\$19,351.47	\$0.00	(\$4,901.44)	\$0.00
	10.000	06/30/10	06/24/13	\$566.67	\$631.00	\$0.00	(\$64.33)	\$0.00
Security Subtotal	265.000			\$15,016.70	\$19,982.47	\$0.00	(\$4,965.77)	\$0.00
BRITISH AMER TOB SPON ADR		CUSIP: 110448107		Symbol (Box 1d): BTI				
	130.000	03/04/10	06/24/13	\$13,223.48	\$9,067.14	\$0.00	\$4,156.34	\$0.00
BROOKFIELD ASSET MGMT CL A LTD		CUSIP: 112585104		Symbol (Box 1d): BAM				
	165.000	03/04/10	06/24/13	\$5,596.37	\$3,988.91	\$0.00	\$1,607.46	\$0.00
BROOKFIELD PPTY PARTNERS LP		CUSIP: G16249107		Symbol (Box 1d): BPY				
	9.000		04/17/13	\$199.15	NOT ON FILE			\$0.00
CANADIAN NATL RAILWAY CO		CUSIP: 136375102		Symbol (Box 1d): CN				
	145.000	03/04/10	06/24/13	\$13,594.01	\$8,015.35	\$0.00	\$5,578.66	\$0.00
	25.000	12/13/10	06/24/13	\$2,343.79	\$1,676.36	\$0.00	\$667.43	\$0.00
Security Subtotal	170.000			\$15,937.80	\$9,691.71	\$0.00	\$6,246.09	\$0.00

CONTINUED ON NEXT PAGE

Corporate Tax Statement Tax Year 2013

THE PALETTE FUND, INC
ATTN: TERRENCE MECK
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number 26-4310632

Taxpayer ID Number: 26-2736653
Account Number: 876 014929 066

Customer Service: 866-324-6088

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

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

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
CANADIAN NATURAL RESOURCES LTD	CUSIP: 136385101		Symbol (Box 1d): CNQ					
	170.000	03/04/10	06/24/13	\$4,603.86	\$5,972.85	\$0.00	(\$1,368.99)	\$0.00
	30.000	12/29/10	06/24/13	\$812.44	\$1,336.44	\$0.00	(\$524.00)	\$0.00
Security Subtotal	200.000			\$5,416.30	\$7,309.29	\$0.00	(\$1,892.99)	\$0.00
CDN PACIFIC RY LTD NEW	CUSIP: 13645T100		Symbol (Box 1d): CP					
	150.000	03/04/10	06/24/13	\$17,284.07	\$7,976.18	\$0.00	\$9,307.89	\$0.00
	40.000	05/12/10	06/24/13	\$4,609.09	\$2,405.50	\$0.00	\$2,203.59	\$0.00
	55.000	12/13/10	06/24/13	\$6,337.49	\$3,541.72	\$0.00	\$2,795.77	\$0.00
Security Subtotal	245.000			\$28,230.65	\$13,923.40	\$0.00	\$14,307.25	\$0.00
CORE LABORATORIES N V	CUSIP: N22717107		Symbol (Box 1d): CLB					
	60.000	03/04/10	06/24/13	\$8,865.44	\$3,839.21	\$0.00	\$5,026.23	\$0.00
DIAGEO PLC SPON ADR NEW	CUSIP: 25243Q205		Symbol (Box 1d): DEO					
	150.000	03/04/10	06/24/13	\$16,844.85	\$9,768.33	\$0.00	\$7,076.52	\$0.00
ENSIGN ENERGY SERVICES ORD	CUSIP: 293570107		Symbol (Box 1d): ESVIF					
	135.000	03/04/10	06/24/13	\$2,084.96	\$1,937.41	\$0.00	\$147.55	\$0.00
	10.000	06/30/10	06/24/13	\$154.44	\$119.52	\$0.00	\$34.92	\$0.00
Security Subtotal	145.000			\$2,239.40	\$2,056.93	\$0.00	\$182.47	\$0.00
FINNING INTL INC COM NEW	CUSIP: 318071404		Symbol (Box 1d): FINGF					
	35.000	12/20/10	06/24/13	\$700.96	\$923.71	\$0.00	(\$222.75)	\$0.00
INGERSOLL-RAND PLC SHS	CUSIP: G47791101		Symbol (Box 1d): IR					
	295.000	03/04/10	06/24/13	\$15,871.40	\$9,435.93	\$0.00	\$6,435.47	\$0.00

CONTINUED ON NEXT PAGE

Corporate Tax Statement
Tax Year 2013

THE PALETTE FUND, INC
ATTN: TERRENCE MECK
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-2736653
Account Number: 876 014929 066

Customer Service: 866-324-6088

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

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

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
MANULIFE FINANCIAL CORP								
		CUSIP: 56501R106		Symbol (Box 1d): MFC				
	215.000	03/04/10	06/24/13	\$3,394.80	\$4,082.01	\$0.00	(\$687.21)	\$0.00
	20.000	06/30/10	06/24/13	\$315.80	\$292.07	\$0.00	\$23.73	\$0.00
Security Subtotal	235.000			\$3,710.60	\$4,374.08	\$0.00	(\$663.48)	\$0.00
NABORS INDUSTRIES LTD NEW								
		CUSIP: G6359F103		Symbol (Box 1d): NBR				
	810.000	03/04/10	06/24/13	\$12,225.76	\$18,444.35	\$0.00	(\$6,218.59)	\$0.00
	90.000	06/30/10	06/24/13	\$1,358.42	\$1,613.40	\$0.00	(\$254.98)	\$0.00
Security Subtotal	900.000			\$13,584.18	\$20,057.75	\$0.00	(\$6,473.57)	\$0.00
NESTLE SPON ADR REP REG SHR								
		CUSIP: 641069406		Symbol (Box 1d): NSRGY				
	320.000	03/04/10	06/24/13	\$20,415.64	\$16,032.00	\$0.00	\$4,383.64	\$0.00
NOBLE CORP NEW								
		CUSIP: H5833N103		Symbol (Box 1d):				
	510.000	03/04/10	06/24/13	\$18,224.98	\$22,382.67	\$0.00	(\$4,157.69)	\$0.00
	85.000	05/26/10	06/24/13	\$3,037.50	\$2,648.73	\$0.00	\$388.77	\$0.00
	70.000	06/30/10	06/24/13	\$2,501.47	\$2,177.94	\$0.00	\$323.53	\$0.00
Security Subtotal	665.000			\$23,763.95	\$27,209.34	\$0.00	(\$3,445.39)	\$0.00
NOVARTIS AG ADR								
		CUSIP: 66987V109		Symbol (Box 1d): NVS				
	145.000	03/04/10	06/24/13	\$9,829.38	\$7,813.88	\$0.00	\$2,015.50	\$0.00
PARTNERRE HLDGS								
		CUSIP: G6852T105		Symbol (Box 1d): PRE				
	50.000	03/04/10	06/24/13	\$4,319.42	\$3,941.17	\$0.00	\$378.25	\$0.00
POTASH CP OF SASKATCHEWAN INC								
		CUSIP: 73755L107		Symbol (Box 1d): POT				
	465.000	03/04/10	06/24/13	\$17,704.01	\$17,831.22	\$0.00	(\$127.21)	\$0.00
	60.000	06/30/10	06/24/13	\$2,284.39	\$1,768.40	\$0.00	\$515.99	\$0.00
Security Subtotal	525.000			\$19,988.40	\$19,599.62	\$0.00	\$388.78	\$0.00

CONTINUED ON NEXT PAGE

IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Page 15 of 20

Corporate Tax Statement Tax Year 2013

THE PALETTE FUND, INC
ATTN: TERRENCE MECK
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-2736653
Account Number: 876 014929 066

Customer Service: 866-324-6088

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

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

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
RIO TINTO PLC SPON ADR		CUSIP: 767204100	Symbol (Box 1d): RIO					
	340.000	03/04/10	06/24/13	\$13,529.72	\$18,468.61	\$0.00	(\$4,938.89)	\$0.00
	25.000	06/30/10	06/24/13	\$994.83	\$1,113.00	\$0.00	(\$118.17)	\$0.00
Security Subtotal	365.000			\$14,524.55	\$19,581.61	\$0.00	(\$5,057.06)	\$0.00
SCHLUMBERGER LTD		CUSIP: 806857108	Symbol (Box 1d): SLB					
	315.000	03/04/10	06/24/13	\$22,279.59	\$19,788.77	\$0.00	\$2,490.82	\$0.00
SUNCOR ENERGY INC NEW COM		CUSIP: 867224107	Symbol (Box 1d): SU					
	640.000	03/04/10	06/24/13	\$18,158.91	\$19,494.14	\$0.00	(\$1,335.23)	\$0.00
TALISMAN ENERGY INC		CUSIP: 87425E103	Symbol (Box 1d): TLM					
	215.000	03/04/10	06/24/13	\$2,388.79	\$4,001.34	\$0.00	(\$1,612.55)	\$0.00
	10.000	06/30/10	06/24/13	\$111.11	\$152.40	\$0.00	(\$41.29)	\$0.00
Security Subtotal	225.000			\$2,499.90	\$4,153.74	\$0.00	(\$1,653.84)	\$0.00
TENARIS S.A		CUSIP: 98031M109	Symbol (Box 1d): TS					
	355.000	03/04/10	06/24/13	\$13,703.39	\$15,617.37	\$0.00	(\$1,913.98)	\$0.00
	25.000	06/30/10	06/24/13	\$965.03	\$882.36	\$0.00	\$82.67	\$0.00
Security Subtotal	380.000			\$14,668.42	\$16,499.73	\$0.00	(\$1,831.31)	\$0.00
TRANSOCEAN LTD		CUSIP: H8817H100	Symbol (Box 1d): RIG					
	175.000	03/04/10	06/24/13	\$8,083.41	\$14,509.55	\$0.00	(\$6,426.14)	\$0.00
	160.000	06/30/10	06/24/13	\$7,390.54	\$7,498.90	\$0.00	(\$108.36)	\$0.00
Security Subtotal	335.000			\$15,473.95	\$22,008.45	\$0.00	(\$6,534.50)	\$0.00
UBS AG NEW		CUSIP: H89231338	Symbol (Box 1d): UBS					
	555.000	03/04/10	06/24/13	\$9,175.10	\$8,154.39	\$0.00	\$1,020.71	\$0.00

CONTINUED ON NEXT PAGE

Corporate Tax Statement Tax Year 2013

THE PALETTE FUND, INC
ATTN. TERRENCE MECK
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632
Taxpayer ID Number: 26-2736653
Account Number 876 014929 066
Customer Service: 866-324-6088

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

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

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
UNILEVER NV NY SH NEW	CUSIP: 904784709		Symbol (Box 1d): UN					
	290.000	03/04/10	06/24/13	\$10,947.88	\$8,917.04	\$0.00	\$2,030.84	\$0.00
VALE S A	CUSIP: 91912E105		Symbol (Box 1d): VALE					
	480.000	03/04/10	06/24/13	\$6,119.94	\$13,880.83	\$0.00	(\$7,760.89)	\$0.00
	5.000	06/30/10	06/24/13	\$63.75	\$125.16	\$0.00	(\$61.41)	\$0.00
	35.000	12/07/10	06/24/13	\$446.24	\$1,212.05	\$0.00	(\$765.81)	\$0.00
Security Subtotal	520.000			\$6,629.93	\$15,218.04	\$0.00	(\$8,588.11)	\$0.00
WEATHERFORD INTERNATIONAL LTD	CUSIP: H27013103		Symbol (Box 1d): WFT					
	1,170.000	03/04/10	06/24/13	\$15,215.47	\$19,908.14	\$0.00	(\$4,692.67)	\$0.00
	125.000	06/30/10	06/24/13	\$1,625.58	\$1,686.04	\$0.00	(\$60.46)	\$0.00
Security Subtotal	1,295.000			\$16,841.05	\$21,594.18	\$0.00	(\$4,753.13)	\$0.00

CONTINUED ON NEXT PAGE

**Corporate Tax Statement
Tax Year 2013**

THE PALETTE FUND, INC
ATTN: TERRENCE MECK
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-2736653
Account Number 876 014929 066

Customer Service: 866-324-6088

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

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

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
YARA INTL ASA SPONS ADR		CUSIP: 984851204	Symbol (Box 1d): YARIY					
	20.000	03/04/10	06/24/13	\$768.18	\$808.60	\$0.00	(\$40.42)	\$0.00
	5.000	06/30/10	06/24/13	\$192.05	\$142.75	\$0.00	\$49.30	\$0.00
Security Subtotal	25.000			\$960.23	\$951.35	\$0.00	\$8.88	\$0.00
Total Long Term Noncovered Securities				\$372,704.58	\$357,835.06	\$0.00	\$14,670.37	\$0.00
Total Short and Long Term, Covered and Noncovered Securities				\$387,959.52	\$373,052.79	\$0.00	\$14,707.58	\$0.00
Form 1099-B Total Reportable Amounts								
Total Sales Price (Box 2a)				\$387,959.52				
Total Cost or Other Basis (Box 3)					\$6,071.12			
Total Wash Sale Loss Disallowed (Box 5)						\$0.00		
Total Fed Tax Withheld (Box 4)								\$0.00

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

**Corporate Tax Statement
Tax Year 2013**

THE PALETTE FUND, INC
ATTN: TERRENCE MECK
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-2736653
Account Number: 876 014425 066

Customer Service: 866-324-6088

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

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
KIMBERLY CLARK CORP	CUSIP: 494368103		Symbol (Box 1d): KMB					
	55.000	08/12/09	06/21/13	\$5,235.21	\$3,188.23	\$0.00	\$2,046.98	\$0.00
MONDELEZ INTL INC COM	CUSIP: 609207105		Symbol (Box 1d): MDLZ					
	160.000	08/12/09	03/22/13	\$4,771.17	\$2,946.85	\$0.00	\$1,824.32	\$0.00
	180.000	08/13/10	03/22/13	\$5,367.57	\$3,453.08	\$0.00	\$1,914.49	\$0.00
	260.000	09/09/10	03/22/13	\$7,753.15	\$5,157.49	\$0.00	\$2,595.66	\$0.00
Security Subtotal	600.000			\$17,891.89	\$11,557.42	\$0.00	\$6,334.47	\$0.00
VERIZON COMMUNICATIONS	CUSIP: 92343V104		Symbol (Box 1d): VZ					
	200.000	08/13/10	02/20/13	\$9,000.30	\$5,992.00	\$0.00	\$3,008.30	\$0.00
	270.000	09/09/10	02/20/13	\$12,150.40	\$8,311.44	\$0.00	\$3,838.96	\$0.00
Security Subtotal	470.000			\$21,150.70	\$14,303.44	\$0.00	\$6,847.26	\$0.00
Total Long Term Noncovered Securities				\$44,277.80	\$29,049.09	\$0.00	\$15,228.71	\$0.00

Form 1099-B Total Reportable Amounts

Total Sales Price (Box 2a)	\$44,277.80
Total Cost or Other Basis (Box 3)	\$0.00
Total Wash Sale Loss Disallowed (Box 5)	\$0.00
Total Fed Tax Withheld (Box 4)	\$0.00

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

Corporate Tax Statement Tax Year 2013

THE PALETTE FUND, INC
C/O TERRENCE MECK
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number 26-4310632

Taxpayer ID Number: 26-2736653
Account Number: 876 016428 066

Customer Service: 866-324-6088

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

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
APPLE INC		CUSIP: 037833100	Symbol (Box 1d): AAPL					
	43.000	04/18/12	01/25/13	\$19,127.76	\$26,174.81	\$0.00	(\$7,047.05)	\$0.00
FACTSET RESEARCH SYSTEMS INC		CUSIP: 303075105	Symbol (Box 1d): FDS					
	74.000	04/18/12	04/05/13	\$6,583.28	\$7,535.26	\$0.00	(\$951.98)	\$0.00
INTUITIVE SURGICAL INC		CUSIP: 46120E602	Symbol (Box 1d): ISRG					
	20.000	04/18/12	03/06/13	\$10,435.72	\$11,788.00	\$0.00	(\$1,352.28)	\$0.00
MICROSOFT CORP		CUSIP: 594918104	Symbol (Box 1d): MSFT					
	986.000	04/18/12	01/14/13	\$26,455.06	\$30,704.73	\$0.00	(\$4,249.67)	\$0.00
	213.000	08/20/12	01/14/13	\$5,714.94	\$6,539.44	\$0.00	(\$824.50)	\$0.00
Security Subtotal	1,199.000			\$32,170.00	\$37,244.17	\$0.00	(\$5,074.17)	\$0.00
Total Short Term Covered Securities				\$68,316.76	\$82,742.24	\$0.00	(\$14,425.48)	\$0.00

**Corporate Tax Statement
Tax Year 2013**

THE PALETTE FUND, INC
C/O TERRENCE MECK
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number 26-4310632
Taxpayer ID Number: 26-2736653
Account Number 876 016428 066
Customer Service: 866-324-6088

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

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
ABBVIE INC COM		CUSIP: 00287Y109		Symbol (Box 1d): ABBV				
	413.000	04/18/12	01/09/13	\$13,979.28	\$12,889.45	\$0.00	\$1,089.83	\$0.00
	123.000	07/27/12	01/09/13	\$4,163.32	\$4,251.16	\$0.00	(\$87.86)	\$0.00
Security Subtotal	536.000			\$18,142.60	\$17,140.63	\$0.00	\$1,001.97	\$0.00
Total Short Term Noncovered Securities				\$18,142.60	\$17,140.63	\$0.00	\$1,001.97	\$0.00
Total Short Term Covered and Noncovered Securities				\$86,459.36	\$99,882.87	\$0.00	(\$13,423.51)	\$0.00

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

Corporate Tax Statement Tax Year 2013

THE PALETTE FUND, INC
C/O TERRENCE MECK
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632
Taxpayer ID Number: 26-2736653
Account Number 876 016428 066
Customer Service: 866-324-6088

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

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
CH ROBINSON WORLDWIDE INC NEW	CUSIP: 12541W209		Symbol (Box 1d): CHRW					
	36.000	04/18/12	12/12/13	\$2,054.36	\$2,392.26	\$0.00	(\$337.90)	\$0.00
	14.000	04/18/12	12/13/13	\$789.38	\$930.32	\$0.00	(\$140.94)	\$0.00
	63.000	04/18/12	12/16/13	\$3,537.88	\$4,186.45	\$0.00	(\$648.57)	\$0.00
	88.000	04/18/12	12/17/13	\$4,958.45	\$5,847.74	\$0.00	(\$889.29)	\$0.00
	71.000	04/18/12	12/18/13	\$4,001.77	\$4,718.06	\$0.00	(\$716.29)	\$0.00
Security Subtotal	272.000			\$15,341.84	\$18,074.83	\$0.00	(\$2,732.99)	\$0.00
COGNIZANT TECH SOLUTIONS CL A	CUSIP: 192446102		Symbol (Box 1d): CTSH					
	223.000	04/18/12	04/24/13	\$14,202.10	\$16,258.71	\$0.00	(\$2,056.61)	\$0.00
	98.000	04/18/12	04/25/13	\$6,175.57	\$7,145.08	\$0.00	(\$969.51)	\$0.00
	184.000	04/18/12	05/14/13	\$11,463.19	\$13,415.26	\$0.00	(\$1,952.07)	\$0.00
	133.000	05/10/12	05/14/13	\$8,285.90	\$8,075.37	\$0.00	\$210.53	\$0.00
Security Subtotal	638.000			\$40,126.76	\$44,894.42	\$0.00	(\$4,767.66)	\$0.00
INTUIT INC	CUSIP: 461202103		Symbol (Box 1d): INTU					
	290.000	04/18/12	10/03/13	\$19,029.03	\$17,815.34	\$0.00	\$1,213.69	\$0.00
	40.000	04/18/12	11/22/13	\$2,873.26	\$2,457.29	\$0.00	\$415.97	\$0.00
	154.000	09/24/12	11/22/13	\$11,062.03	\$8,964.77	\$0.00	\$2,097.26	\$0.00
	65.000	09/24/12	11/25/13	\$4,715.96	\$3,783.83	\$0.00	\$932.13	\$0.00
	1.000	09/25/12	11/25/13	\$72.55	\$58.11	\$0.00	\$14.44	\$0.00
Security Subtotal	550.000			\$37,752.83	\$33,079.34	\$0.00	\$4,673.49	\$0.00
INTUITIVE SURGICAL INC	CUSIP: 46120E602		Symbol (Box 1d): ISRG					
	44.000	04/18/12	07/09/13	\$18,306.38	\$25,933.60	\$0.00	(\$7,627.22)	\$0.00

CONTINUED ON NEXT PAGE

IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

THE PALETTE FUND, INC
C/O TERRENCE MECK
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-2736653
Account Number: 876 016428 066

Customer Service: 866-324-6088

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

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

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
NIKE INC B	CUSIP: 654106103		Symbol (Box 1d): NKE					
	177.000	06/04/12	10/01/13	\$12,782.71	\$9,207.44	\$0.00	\$3,575.27	\$0.00
STARBUCKS CORP WASHINGTON	CUSIP: 855244109		Symbol (Box 1d): SBUX					
	130.000	04/18/12	06/24/13	\$8,251.02	\$7,835.10	\$0.00	\$415.92	\$0.00
VARIAN MEDICAL SYS INC	CUSIP: 92220P105		Symbol (Box 1d): VAR					
	142.000	04/18/12	06/25/13	\$9,472.11	\$9,504.83	\$0.00	(\$32.72)	\$0.00
	15.000	04/18/12	09/03/13	\$1,065.18	\$1,004.03	\$0.00	\$61.15	\$0.00
	21.000	04/18/12	09/04/13	\$1,506.38	\$1,405.64	\$0.00	\$100.74	\$0.00
	44.000	04/18/12	09/05/13	\$3,157.99	\$2,945.16	\$0.00	\$212.83	\$0.00
	35.000	04/18/12	09/06/13	\$2,517.14	\$2,342.74	\$0.00	\$174.40	\$0.00
	64.000	04/18/12	09/09/13	\$4,628.02	\$4,283.86	\$0.00	\$344.16	\$0.00

CONTINUED ON NEXT PAGE

**Corporate Tax Statement
Tax Year 2013**

THE PALETTE FUND, INC
C/O TERRENCE MECK
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632
Taxpayer ID Number: 26-2736653
Account Number: 876 016428 066
Customer Service: 866-324-6088

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

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

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
VARIAN MEDICAL SYS INC	74.000	04/18/12	09/10/13	\$5,433.80	\$4,953.22	\$0.00	\$480.58	\$0.00
	36.000	04/18/12	09/11/13	\$2,676.94	\$2,409.67	\$0.00	\$267.27	\$0.00
Security Subtotal	431.000			\$30,457.56	\$28,849.15	\$0.00	\$1,608.41	\$0.00
Total Long Term Covered Securities				\$163,019.10	\$167,873.88	\$0.00	(\$4,854.78)	\$0.00
Total Short and Long Term, Covered and Noncovered Securities				\$249,478.46	\$267,756.75	\$0.00	(\$18,278.29)	\$0.00

Form 1099-B Total Reportable Amounts

Total Sales Price (Box 2a)	\$249,478.46
Total Cost or Other Basis (Box 3)	\$250,616.12
Total Wash Sale Loss Disallowed (Box 5)	\$0.00
Total Fed Tax Withheld (Box 4)	\$0.00

Corporate Tax Statement Tax Year 2013

THE PALETTE FUND, INC
C/O TERRENCE MECK
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-2736653
Account Number: 876 017125 066

Customer Service: 866-324-6088

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

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
ATWOOD OCEANICS INC	CUSIP: 050095108	Symbol (Box 1d): ATW						
	276.000	04/18/13	09/25/13	\$15,343.95	\$12,191.42	\$0.00	\$3,152.53	\$0.00
HATTERAS FINL CORP COM	CUSIP: 41902R103	Symbol (Box 1d): HTS						
	42.000	04/18/13	10/04/13	\$767.15	\$1,148.51	\$0.00	(\$381.36)	\$0.00
	178.000	04/18/13	11/06/13	\$3,151.89	\$4,867.50	\$0.00	(\$1,715.61)	\$0.00
Security Subtotal	220.000			\$3,919.04	\$6,016.01	\$0.00	(\$2,096.97)	\$0.00
HERSHEY COMPANY	CUSIP: 427866108	Symbol (Box 1d): HSY						
	70.000	04/18/13	09/06/13	\$6,332.14	\$6,232.66	\$0.00	\$99.48	\$0.00
	51.000	04/18/13	09/09/13	\$4,626.15	\$4,540.94	\$0.00	\$85.21	\$0.00
Security Subtotal	121.000			\$10,958.29	\$10,773.60	\$0.00	\$184.69	\$0.00
KINDER MORGAN MGMT LLC	CUSIP: 49455U100	Symbol (Box 1d): KMR						
	0.935	04/18/13	05/15/13	\$80.65	\$80.64	\$0.00	\$0.01	\$0.00
	0.072	04/18/13	08/14/13	\$5.70	\$6.11	\$0.00	(\$0.41)	\$0.00
	134.000	04/18/13	09/25/13	\$10,059.84	\$11,378.13	\$0.00	(\$1,318.29)	\$0.00
Security Subtotal	135.007			\$10,146.19	\$11,464.88	\$0.00	(\$1,318.69)	\$0.00
LORILLARD INC	CUSIP: 544147101	Symbol (Box 1d): LO						
	197.000	04/18/12	09/25/13	\$8,774.95	\$8,048.00	\$0.00	\$726.95	\$0.00
MONTPELIER RE HLDGS LTD	CUSIP: G62185106	Symbol (Box 1d): MRH						
	299.000	04/18/13	05/21/13	\$7,411.20	\$7,625.46	\$0.00	(\$214.26)	\$0.00
	118.000	04/18/13	05/22/13	\$2,966.33	\$3,009.38	\$0.00	(\$43.05)	\$0.00
	79.000	04/18/13	09/04/13	\$1,990.93	\$2,014.75	\$0.00	(\$23.82)	\$0.00
Security Subtotal	496.000			\$12,368.46	\$12,649.59	\$0.00	(\$281.13)	\$0.00

CONTINUED ON NEXT PAGE

IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

THE PALETTE FUND, INC
C/O TERRENCE MECK
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number. 26-4310632

Taxpayer ID Number: 26-2736653
Account Number 876 017125 066

Customer Service: 866-324-6088

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

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

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
STAPLES INC	CUSIP: 855030102		Symbol (Box 1d): SPLS					
	522.000	04/18/13	10/15/13	\$7,869.16	\$6,523.49	\$0.00	\$1,345.67	\$0.00
	27.000	09/25/13	10/15/13	\$407.03	\$399.33	\$0.00	\$7.70	\$0.00
Security Subtotal	549.000			\$8,276.19	\$6,922.82	\$0.00	\$1,353.37	\$0.00
VALUE CLICK INC	CUSIP: 92046N102		Symbol (Box 1d):					
	164.000	04/18/13	09/25/13	\$3,390.62	\$4,750.00	\$0.00	(\$1,359.38)	\$0.00
	187.000	04/18/13	11/14/13	\$3,951.82	\$5,416.15	\$0.00	(\$1,464.33)	\$0.00
Security Subtotal	351.000			\$7,342.44	\$10,166.15	\$0.00	(\$2,823.71)	\$0.00
Total Short Term Covered Securities				\$77,129.51	\$78,232.47	\$0.00	(\$1,102.96)	\$0.00

Form 1099-B Total Reportable Amounts

Total Sales Price (Box 2a)	\$77,129.51
Total Cost or Other Basis (Box 3)	\$78,232.47
Total Wash Sale Loss Disallowed (Box 5)	\$0.00
Total Fed Tax Withheld (Box 4)	\$0.00



2013 ENHANCED SUMMARY

Page 5 of 32

As of Date: 2/07/14

THE PALETTE FUND INC.
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Your Financial Advisor
CHRISTOPHER AFFENITA
50 MAIN STREET 5TH FLOOR
WHITE PLAINS, NY 10606
(866) 544-1230

Account Number: 4748-9742

Year-End Account Summary

**This information is NOT provided to the Internal Revenue Service, but is being provided to you for courtesy purposes.
Please consult with your Financial Advisor or Tax Advisor regarding specific questions.**

For noncovered transactions, we provide supplemental cost basis information, when it is available, to assist you with completing your tax return, however, THIS INFORMATION IS NOT PROVIDED TO THE INTERNAL REVENUE SERVICE.

SHORT TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6)

Proceeds from Broker and Barter Exchange Transactions for 2013

8-Description / CUSIP 1a-Date of Sale or Exchange	1e-Quantity Sold	1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information	
					Gain or Loss Amount	Additional Information
BLACKROCK FDS II / 09256H336 MULTI-ASSET INCOME PORT INSTL SHS 11/22/13	194.6760	10/15/13	2,192.05	2,164.80	27.25	SALE
FIDELITY ADVISOR SER / 315920801 VIII STRATEGIC INCOME FD INSTL CL 02/19/13	3,245.6280	06/04/12	41,414.21	40,180.88	1,233.33	SALE
03/22/13	180.2250	06/04/12	2,303.28	2,231.19	72.09	SALE
04/10/13	1,698.6870	06/04/12	21,828.13	21,029.75	798.38	SALE
FORWARD FDS / 34986P705 TACTICAL GROWTH FD ADVISOR CLASS 02/19/13	1,037.2580	06/04/12	27,300.62	26,699.03	601.59	SALE
04/10/13	622.2080	06/04/12	16,706.28	16,015.64	690.64	SALE
05/23/13	295.9510	06/04/12	8,114.99	7,617.78	497.21	SALE
GOLDMAN SACHS TR / 38145C646 STRATEGIC INCOME FD CL INSTL SHS 12/23/13	274.9900	10/16/13	2,920.39	2,890.15	30.24	SALE

2013 ENHANCED SUMMARY

Page 6 of 32

As of Date: 2/07/14

THE PALETTE FUND, INC
1201 BROADWAY
SUITE 5C4
NEW YORK NY 10001-5405

Your Financial Advisor :
CHRISTOPHER AFFENITA
5C MAIN STREET 5TH FLOOR
WHITE PLAINS, NY 10606
(866) 544-1230

Account Number: 4748-9742

Year-End Account Summary

This information is NOT provided to the Internal Revenue Service, but is being provided to you for courtesy purposes.
Please consult with your Financial Advisor or Tax Advisor regarding specific questions.

SHORT TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6) Proceeds from Broker and Barter Exchange Transactions for 2013

continued

8-Description / CUSIP		1b-Date of		3-Cost or Other	Supplemental Information	
1a-Date of Sale or Exchange	1e-Quantity Sold	Acquisition	2a-Sales Price*	Basis	Gain or Loss Amount	Additional Information
GOLDMAN SACHS TR / 38145L885 DYNAMIC ALLOCATION FD CL INSTL						
02/19/13	2,428.5290	06/04/12	26,786.67	25,256.70	1,529.97	SALE
03/22/13	371.0510	06/04/12	4,159.48	3,858.93	300.55	SALE
04/10/13	1,262.5390	06/04/12	14,291.94	13,130.41	1,161.53	SALE
05/23/13	200.2620	06/04/12	2,305.01	2,082.73	222.28	SALE
GOLDMAN SACHS TR / 38142B500 FINL SQUARE TREAS INSTRS FD INSTL CL						
01/11/13	3,670.5500	01/17/12	3,670.55	3,670.55	0.00	SALE
IVY FDS INC / 466001864 ASSET STRATEGY FD CL I						
10/23/13	10.6090	10/16/13	326.65	323.26	3.39	SALE
12/23/13	136.6430	10/16/13	4,353.44	4,163.52	189.92	SALE
JANUS INVT FD / 47103C746 FLEXIBLE BD FD CLASS I						
	53.2130	11/01/12	558.20	589.60	-31.40	
	60.5780	12/03/12	635.46	669.39	-33.93	
	237.3950	01/02/13	2,490.27	2,568.61	-78.34	
	198.0290	01/02/13	2,077.32	2,142.67	-65.35	
	52.1580	01/02/13	547.13	564.35	-17.22	
	52.1930	02/01/13	547.50	561.07	-13.57	
	53.2800	03/01/13	558.90	574.89	-15.99	
	47.1990	04/01/13	495.11	509.28	-14.17	
	44.7680	05/01/13	469.61	486.18	-16.57	



2013 ENHANCED SUMMARY

Page 7 of 32

As of Date: 2/07/14

THE PALETTE FUND INC
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Your Financial Advisor :
CHRISTOPHER AFFENITA
50 MAIN STREET 5TH FLOOR
WHITE PLAINS, NY 10606
(866) 544-1230

Account Number: 4748-9742

Year-End Account Summary

This information is NOT provided to the Internal Revenue Service, but is being provided to you for courtesy purposes.
Please consult with your Financial Advisor or Tax Advisor regarding specific questions.

SHORT TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6) Proceeds from Broker and Barter Exchange Transactions for 2013

continued

8-Description / CUSIP 1a-Date of Sale c- Exchange	1e-Quantity Sold	1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information	
					Gain or Loss Amount	Additional Information
	4,710.2360	05/02/13	49,410.49	51,247.37	-1,836.88	
	62.1480	06/03/13	651.93	663.12	-11.19	
	47.2820	07/01/13	495.99	496.46	-0.47	
	55.8880	08/01/13	586.26	586.82	-0.56	
	57.3440	09/03/13	601.54	597.52	4.02	
	47.9230	10/01/13	502.73	502.71	0.02	
10/15/13	5,779.6340	Various	60,628.44	62,760.04	-2,131.60	SALE
						TOTAL 15 LOTS
METROPOLITAN WEST FDS / 592905509						
TOTAL RETURN BD FD CL I						
	73.2500	11/01/12	776.45	810.88	-34.43	
	63.0100	12/03/12	667.90	700.04	-32.14	
	306.3700	12/17/12	3,247.52	3,339.43	-91.91	
	135.1770	12/17/12	1,432.87	1,473.43	-40.56	
	66.5120	01/02/13	705.02	724.32	-19.30	
	55.6310	02/01/13	589.68	605.26	-15.58	
	54.6310	03/01/13	579.08	596.02	-16.94	
	49.5060	04/01/13	524.76	540.61	-15.85	
	60.8380	05/01/13	644.88	670.44	-25.56	
	4,454.0990	05/02/13	47,213.56	49,128.71	-1,915.15	
	59.5010	06/03/13	630.71	644.99	-14.28	
	51.9150	07/01/13	550.30	549.26	1.04	
	59.7900	08/01/13	633.77	633.77	0.00	
	57.3270	09/03/13	607.67	603.08	4.59	
	56.1330	10/01/13	595.02	596.13	-1.11	
10/15/13	5,603.6900	Various	59,399.19	61,616.37	-2,217.18	SALE
						TOTAL 15 LOTS
OPPENHEIMER GLOBAL FD / 683924401						
CL Y						
	20.7050	12/11/12	1,593.25	1,309.19	284.06	

2013 ENHANCED SUMMARY

Page 8 of 32

As of Date: 2/07/14

THE PALETTE FUND INC
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Your Financial Advisor :
CHRISTOPHER AFFENITA
50 MAIN STREET 5TH FLOOR
WHITE PLAINS, NY 10606
(866) 544-1230

Account Number: 4748-9742

Year-End Account Summary

**This information is NOT provided to the Internal Revenue Service, but is being provided to you for courtesy purposes.
Please consult with your Financial Advisor or Tax Advisor regarding specific questions.**

SHORT TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6)

continued

Proceeds from Broker and Barter Exchange Transactions for 2013

8-Description / CUSIP 1a-Date of Sale or Exchange	1e-Quantity Sold	1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information	
					Gain or Loss Amount	Additional Information
	2.6010	12/11/12	200.14	164.46	35.68	
	248.0030	05/02/13	19,083.85	17,729.72	1,354.13	
10/15/13	271.3090	Various	20,877.24	19,203.37	1,673.87	SALE
TOTAL 3 LOTS						
PIMCO FDS / 72201M719 INCOME FUND CLASS P 12/23/13	165.5220	10/15/13	2,030.96	2,022.68	8.28	SALE
PIMCO FDS PAC INVT / 693391880 MGMT SER DIVERSIFIED INCOME FD INSTL CL	49.2490	11/01/12	570.79	602.81	-32.02	
	53.0340	12/03/12	614.66	651.79	-37.13	
	28.9970	12/13/12	336.07	357.82	-21.75	
	98.9830	12/28/12	1,147.21	1,212.54	-65.33	
	49.1760	01/02/13	569.95	601.91	-31.96	
	47.6580	02/01/13	552.35	581.90	-29.55	
	45.0640	03/01/13	522.29	550.68	-28.39	
	41.6010	04/01/13	482.15	505.87	-23.72	
	38.2410	05/01/13	443.21	473.81	-30.60	
	2,340.0270	05/02/13	27,120.99	29,086.54	-1,965.55	
	46.7150	06/03/13	541.43	562.45	-21.02	
	42.0760	07/01/13	487.66	484.29	3.37	
	43.2250	08/01/13	500.98	500.11	0.87	
	46.7460	09/03/13	541.79	531.03	10.76	
	42.9640	10/01/13	497.96	495.80	2.16	
10/15/13	3,013.7560	Various	34,929.49	37,199.35	-2,269.86	SALE
TOTAL 15 LOTS						
PIONEER GLOBAL HIGH / 72369G405 YIELD CL Y	48.9310	11/01/12	481.97	487.35	-5.38	



2013 ENHANCED SUMMARY

Page 9 of 32

As of Date: 2/07/14

THE PALETTE FUND INC
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Your Financial Advisor :
CHRISTOPHER AFFENITA
50 MAIN STREET 5TH FLOOR
WHITE PLAINS, NY 10606
(866) 544-1230

Account Number: 4748-9742

Year-End Account Summary

This information is NOT provided to the Internal Revenue Service, but is being provided to you for courtesy purposes.
Please consult with your Financial Advisor or Tax Advisor regarding specific questions.

SHORT TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6) Proceeds from Broker and Barter Exchange Transactions for 2013

continued

8-Description / CUSIP 1a-Date of Sale or Exchange		1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information Gain or Loss Amount		Additional Information
	49.2090	12/03/12	484.71	488.15	-3.44		
	48.1840	01/02/13	474.61	485.21	-10.60		
	45.0940	02/01/13	444.17	461.31	-17.14		
	41.7070	03/01/13	410.81	427.08	-16.27		
	35.5540	04/01/13	350.20	363.72	-13.52		
	34.9120	05/01/13	343.88	358.20	-14.32		
	1,450.2980	05/02/13	14,285.50	14,923.57	-638.07		
	40.2600	06/03/13	396.56	409.04	-12.48		
	42.0040	07/01/13	413.74	411.64	2.10		
	41.0200	08/01/13	404.05	405.28	-1.23		
	40.6150	09/03/13	400.06	394.37	5.69		
	37.4860	10/01/13	369.25	366.99	2.26		
10/15/13	1,955.2740	Various	19,259.51	19,981.91	-722.40	SALE	TOTAL 13 LOTS
PUTNAM ABSOLUTE RETURN / 746764257							
700 CL Y							
11/22/13	138.1830	10/15/13	1,699.65	1,674.78	24.87	SALE	
TOTAL SHORT TERM GAINS OR LOSSES FOR COVERED SECURITIES			377,498.17	375,773.82	1,724.35		

2013 ENHANCED SUMMARY

Page 10 of 32

As of Date: 2/07/14

THE PALETTE FUND INC
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Your Financial Advisor :
CHRISTOPHER AFFENITA
50 MAIN STREET 5TH FLOOR
WHITE PLAINS, NY 10606
(866) 544-1230

Account Number: 4748-9742

Year-End Account Summary

This information is NOT provided to the Internal Revenue Service, but is being provided to you for courtesy purposes.
Please consult with your Financial Advisor or Tax Advisor regarding specific questions.

LONG TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6)

Proceeds from Broker and Barter Exchange Transactions for 2013

8-Description / CUSIP		1b-Date of		3-Cost or Other	Supplemental Information	
1a-Date of Sale or Exchange	1e-Quantity Sold	Acquisition	2a-Sales Price*	Basis	Gain or Loss Amount	Additional Information
FIDELITY ADVISOR SER / 315920801						
VIII STRATEGIC INCOME FD						
INSTL CL						
07/18/13	1,797.5420	06/04/12	22,433.33	22,253.57	179.76	SALE
10/07/13	1,504.8840	06/04/12	18,645.51	18,630.47	15.04	SALE
10/15/13	3,202.3750	06/04/12	39,677.43	39,645.40	32.03	SALE
10/23/13	64.6690	06/04/12	811.60	800.61	10.99	SALE
FORWARD FDS / 34986P705						
TACTICAL GROWTH FD						
ADVISOR CLASS						
07/18/13	666.7890	06/04/12	18,323.37	17,163.15	1,160.22	SALE
10/07/13	459.1920	06/04/12	12,595.65	11,819.60	776.05	SALE
10/15/13	30.7450	06/04/12	847.33	791.38	55.95	SALE
10/23/13	98.0240	06/04/12	2,773.09	2,523.14	249.95	SALE
11/22/13	120.3950	06/04/12	3,483.04	3,098.97	384.07	SALE
GOLDMAN SACHS TR / 38145L885						
DYNAMIC ALLOCATION FD CL						
INSTL						
07/18/13	1,117.9970	06/04/12	12,264.43	11,627.17	637.26	SALE
10/07/13	1,093.6740	06/04/12	11,910.11	11,374.21	535.90	SALE
10/15/13	29.2650	06/04/12	321.04	304.36	16.68	SALE
10/23/13	93.7410	06/04/12	1,040.53	974.91	65.62	SALE
11/22/13	90.3850	06/04/12	1,013.22	940.01	73.21	SALE



2013 ENHANCED SUMMARY

Page 11 of 32

As of Date: 2/07/14

THE PALETTE FUND INC
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Your Financial Advisor :
CHRISTOPHER AFFENITA
50 MAIN STREET 5TH FLOOR
WHITE PLAINS, NY 10606
(866) 544-1230

Account Number: 4748-9742

Year-End Account Summary

This information is NOT provided to the Internal Revenue Service, but is being provided to you for courtesy purposes.
Please consult with your Financial Advisor or Tax Advisor regarding specific questions.

LONG TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6)

continued

Proceeds from Broker and Barter Exchange Transactions for 2013

8-Description / CUSIP 1a-Date of Sale or Exchange	1e-Quantity Sold	1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information	
					Gain or Loss Amount	Additional Information
12/23/13	101.9390	06/04/12	1,115.21	1,060.17	55.04	SALE
GOLDMAN SACHS TR / 38142B500 FINL SQUARE TREAS INSTRS FD INSTL CL						
04/12/13	2,938.9300	01/17/12	2,938.93	2,938.93	0.00	SALE
08/23/13	3,436.1200	01/17/12	3,436.12	3,436.12	0.00	SALE
	1,916.8300	01/17/12	1,916.83	1,916.83	0.00	
	1,068.4300	06/04/12	1,068.43	1,068.43	0.00	
10/11/13	2,985.2600	Various	2,985.26	2,985.26	0.00	SALE
						TOTAL 2 LOTS
JANUS INVT FD / 47103C746 FLEXIBLE BD FD CLASS I						
	70.4540	01/03/12	739.06	742.58	-3.52	
	5,018.4070	01/17/12	52,643.11	53,144.93	-501.82	
	67.1590	02/01/12	704.49	716.59	-12.10	
	81.2410	03/01/12	852.21	871.72	-19.51	
	79.3890	04/02/12	832.79	847.08	-14.29	
	76.4450	05/01/12	801.90	823.31	-21.41	
	69.4700	06/01/12	728.74	753.06	-24.32	
	63.9010	07/02/12	670.32	693.33	-23.01	
	55.1970	08/01/12	579.01	606.62	-27.61	
	61.2450	09/04/12	642.46	673.08	-30.62	
	49.9040	10/01/12	523.49	550.44	-26.95	
10/15/13	5,692.8120	Various	59,717.58	60,422.74	-705.16	SALE
						TOTAL 11 LOTS
METROPOLITAN WEST FDS / 592905509 TOTAL RETURN BD FD CL I						
	83.9640	01/03/12	890.01	870.71	19.30	
	4,873.8140	01/17/12	51,662.45	50,833.88	828.57	

2013 ENHANCED SUMMARY

Page 12 of 32

As of Date: 2/07/14

THE PALETTE FUND INC
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Your Financial Advisor :
CHRISTOPHER AFFENITA
50 MAIN STREET 5TH FLOOR
WHITE PLAINS, NY 10606
(866) 544-1230

Account Number: 4748-9742

Year-End Account Summary

This information is NOT provided to the Internal Revenue Service, but is being provided to you for courtesy purposes.
Please consult with your Financial Advisor or Tax Advisor regarding specific questions.

LONG TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6)

continued

Proceeds from Broker and Barter Exchange Transactions for 2013

8-Description / CUSIP 1a-Date of Sale or Exchange	1e-Quantity Sold	1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information	
					Gain or Loss Amount	Additional Information
	90.3980	02/01/12	958.21	949.18	9.03	
	91.5960	03/01/12	970.91	966.34	4.57	
	105.2710	04/02/12	1,115.87	1,109.56	6.31	
	100.5100	05/01/12	1,065.40	1,066.41	-1.01	
	91.1640	06/01/12	966.33	971.81	-5.48	
	90.8260	07/02/12	962.75	969.11	-6.36	
	79.3190	08/01/12	840.78	860.61	-19.83	
	75.3990	09/04/12	799.23	823.36	-24.13	
	67.4460	10/01/12	714.92	745.28	-30.36	
10/15/13	5,749.7070	Various	60,946.86	60,166.25	780.61	SALE TOTAL 11 LOTS
OPPENHEIMER GLOBAL FD / 683924401						
CL Y	500.5250	01/17/12	38,515.40	27,463.83	11,051.57	
	204.2490	06/04/12	15,716.96	10,774.16	4,942.80	
10/15/13	704.7740	Various	54,232.36	38,237.99	15,994.37	SALE TOTAL 2 LOTS
PIMCO FDS PAC INVT / 693391880						
MGMT SER DIVERSIFIED						
INCOME FD INSTL CL						
	81.5190	01/03/12	944.80	918.72	26.08	
	3,906.2770	01/17/12	45,273.77	44,492.50	781.27	
	74.5730	02/01/12	864.30	861.32	2.98	
	86.3040	03/01/12	1,000.26	1,005.44	-5.18	
	91.6840	04/02/12	1,062.61	1,067.20	-4.59	
	79.2440	05/01/12	918.43	930.33	-11.90	
	88.7250	06/01/12	1,028.32	1,036.31	-7.99	
	58.6880	07/02/12	680.19	692.52	-12.33	
	43.5440	08/01/12	504.67	524.70	-20.03	
	49.7560	09/04/12	576.67	602.05	-25.38	



2013 ENHANCED SUMMARY

Page 13 of 32

As of Date: 2/07/14

THE PALETTE FUND INC
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Your Financial Advisor :
CHRISTOPHER AFFENITA
50 MAIN STREET 5TH FLOOR
WHITE PLAINS, NY 10606
(866) 544-1230

Account Number: 4748-9742

Year-End Account Summary

This information is NOT provided to the Internal Revenue Service, but is being provided to you for courtesy purposes.
Please consult with your Financial Advisor or Tax Advisor regarding specific questions.

LONG TERM GAINS OR LOSSES (Box 1c) FOR COVERED SECURITIES (Box 6)

continued

Proceeds from Broker and Barter Exchange Transactions for 2013

8-Description / CUSIP 1a-Date of Sale or Exchange	1e-Quantity Sold	1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information	
					Gain or Loss Amount	Additional Information
10/15/13	42.9530	10/01/12	497.82	523.17	-25.35	
	4,603.2670	Various	53,351.84	52,654.26	697.58	SALE
TOTAL 11 LOTS						
PIONEER GLOBAL HIGH / 72369G405 YIELD CL Y						
	186.9970	01/03/12	1,841.92	1,748.42	93.50	
	2,972.4410	01/17/12	29,278.56	28,149.02	1,129.54	
	110.8*80	02/01/12	1,091.55	1,072.72	18.83	
	119.2080	03/01/12	1,174.19	1,176.58	-2.39	
	120.6710	04/02/12	1,188.61	1,186.20	2.41	
	121.4910	05/01/12	1,196.68	1,186.97	9.71	
	122.3830	06/01/12	1,205.47	1,152.85	52.62	
	65.7230	07/02/12	647.37	625.03	22.34	
	51.3040	08/01/12	505.34	493.54	11.80	
	50.2160	09/04/12	494.62	488.60	6.02	
	49.6200	10/01/12	488.75	490.25	-1.50	
10/15/13	3,970.8720	Various	39,113.06	37,770.18	1,342.88	SALE
TOTAL 11 LOTS						
TOTAL LONG TERM GAINS OR LOSSES FOR COVERED SECURITIES			423,976.90	401,616.85	22,358.05	

LONG TERM GAINS OR LOSSES (Box 1c) FOR NONCOVERED SECURITIES (Box 6)

Proceeds from Broker and Barter Exchange Transactions for 2013

8-Description / CUSIP 1a-Date of Sale or Exchange	1e-Quantity Sold	1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information	
					Gain or Loss Amount	Additional Information
ARTIO GLOBAL INVT FDS / 04315J209 ABERDEEN TOTAL RETURN BD FD CL I						
02/19/13	1,583.0290	03/15/11	21,560.85	21,304.27	256.58	SALE

020 / Y1 / Y11X

2013 ENHANCED SUMMARY

Page 14 of 32

As of Date: 2/07/14

THE PALETTE FUND INC
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Your Financial Advisor :
CHRISTOPHER AFFENITA
50 MAIN STREET 5TH FLOOR
WHITE PLAINS, NY 10606
(866) 544-1230

Account Number: 4748-9742

Year-End Account Summary

This information is NOT provided to the Internal Revenue Service, but is being provided to you for courtesy purposes.
Please consult with your Financial Advisor or Tax Advisor regarding specific questions.

LONG TERM GAINS OR LOSSES (Box 1c) FOR NONCOVERED SECURITIES (Box 6) Proceeds from Broker and Barter Exchange Transactions for 2013

continued

8-Description / CUSIP 1a-Date of Sale or Exchange	1e-Quantity Sold	1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information	
					Gain or Loss Amount	Additional Information
04/10/13	1,113.3610	03/15/11	15,286.45	14,978.70	307.75	SALE
BLACKROCK GLOBAL ALLOC / 09251T509 GLOBAL ALLOCATION INSTIT						
	398.4920	03/15/11	8,185.02	7,782.53	402.49	
	1,027.0660	07/07/11	21,095.95	21,024.05	71.90	
02/19/13	1,425.5580	Various	29,280.97	28,806.58	474.39	SALE
03/22/13	64.9950	07/07/11	1,342.80	1,330.45	12.35	SALE
04/10/13	710.9810	07/07/11	14,916.38	14,553.78	362.60	SALE
07/18/13	1,080.8990	07/07/11	23,023.14	22,126.00	897.14	SALE
10/07/13	637.1780	07/07/11	13,641.99	13,043.04	598.95	SALE
10/15/13	19.6810	07/07/11	424.72	402.87	21.85	SALE
10/23/13	69.3310	07/07/11	1,519.74	1,419.21	100.53	SALE
11/22/13	91.2460	07/07/11	2,032.04	1,867.80	164.24	SALE
JANUS INVT FD / 47103C746 FLEXIBLE BD FD CLASS I						
02/19/13	2,867.6500	03/15/11	30,798.56	30,052.96	745.60	SALE
02/22/13	3.8480	03/15/11	41.40	40.33	1.07	SALE
04/10/13	1,957.7530	03/15/11	21,163.31	20,517.25	646.06	SALE
04/23/13	164.7500	03/15/11	1,785.89	1,726.58	59.31	SALE
06/21/13	889.9600	03/15/11	9,335.68	9,326.78	8.90	SALE
07/18/13	1,263.1580	03/15/11	13,301.05	13,237.89	63.16	SALE
10/07/13	1,611.8360	03/15/11	16,924.28	16,892.03	32.25	SALE
	1,630.2870	03/15/11	17,101.71	17,085.39	16.32	

TOTAL 2 LOTS



2013 ENHANCED SUMMARY

Page 15 of 32

As of Date: 2/07/14

THE PALETTE FUND INC
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Your Financial Advisor :
CHRISTOPHER AFFENITA
50 MAIN STREET 5TH FLOOR
WHITE PLAINS, NY 10606
(866) 544-1230

Account Number: 4748-9742

Year-End Account Summary

This information is NOT provided to the Internal Revenue Service, but is being provided to you for courtesy purposes.
Please consult with your Financial Advisor or Tax Advisor regarding specific questions.

LONG TERM GAINS OR LOSSES (Box 1c) FOR NONCOVERED SECURITIES (Box 6)

continued

Proceeds from Broker and Barter Exchange Transactions for 2013

8-Description / CUSIP 1a-Date of Sale or Exchange	1e-Quantity Sold	1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information	
					Gain or Loss Amount	Additional Information
	29.8010	04/01/11	312.61	311.42	1.19	
	65.5660	05/02/11	687.78	693.03	-5.25	
	58.3690	06/01/11	612.29	621.05	-8.76	
	61.1730	07/01/11	641.70	644.76	-3.06	
	4,996.6390	07/07/11	52,414.74	52,764.51	-349.77	
	70.6960	08/01/11	741.60	755.74	-14.14	
	69.4320	09/01/11	728.34	740.14	-11.80	
	67.3320	10/03/11	706.31	717.09	-10.78	
	57.2640	11/02/11	600.69	611.58	-10.89	
	77.3640	12/01/11	811.54	818.51	-6.97	
	247.3030	12/23/11	2,594.20	2,594.21	-0.01	
	67.5880	12/23/11	708.99	709.00	-0.01	
10/15/13	7,498.8140	Various	78,662.50	79,066.43	-403.93	SALE
						TOTAL 13 LOTS
METROPOLITAN WEST FDS / 592905509						
TOTAL RETURN BD FD CL I						
02/19/13	2,966.8830	03/15/11	32,279.69	30,974.25	1,305.44	SALE
02/22/13	169.5990	03/15/11	1,846.93	1,770.62	76.31	SALE
04/10/13	1,808.7700	03/15/11	19,806.03	18,883.55	922.48	SALE
06/21/13	102.5850	03/15/11	1,084.32	1,070.99	13.33	SALE
07/18/13	1,847.0530	03/15/11	19,560.29	19,283.22	277.07	SALE
08/23/13	42.8280	03/15/11	449.27	447.13	2.14	SALE
10/07/13	1,660.0770	03/15/11	17,630.02	17,331.19	298.83	SALE
	1,680.9730	03/15/11	17,818.31	17,549.34	268.97	
	37.7590	04/01/11	400.24	393.07	7.17	
	71.6720	05/02/11	759.72	751.84	7.88	
	74.4100	06/01/11	788.74	785.77	2.97	

2013 ENHANCED SUMMARY

Page 16 of 32

As of Date: 2/07/14

THE PALETTE FUND INC
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Your Financial Advisor :
CHRISTOPHER AFFENITA
50 MAIN STREET 5TH FLOOR
WHITE PLAINS, NY 10606
(866) 544-1230

Account Number: 4748-9742

Year-End Account Summary

This information is NOT provided to the Internal Revenue Service, but is being provided to you for courtesy purposes.
Please consult with your Financial Advisor or Tax Advisor regarding specific questions.

LONG TERM GAINS OR LOSSES (Box 1c) FOR NONCOVERED SECURITIES (Box 6)

continued

Proceeds from Broker and Barter Exchange Transactions for 2013

8-Description / CUSIP 1a-Date of Sale or Exchange	1e-Quantity Sold	1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information	
					Gain or Loss Amount	Additional Information
	68.4940	07/01/11	726.03	714.39	11.64	
	4,859.2610	07/07/11	51,508.17	50,730.69	777.48	
	91.2100	08/01/11	966.82	958.62	8.20	
	95.5380	09/01/11	1,012.70	1,004.10	8.60	
	86.7270	10/03/11	919.30	908.03	11.27	
	88.4620	11/01/11	937.69	925.31	12.38	
	84.2330	12/01/11	892.87	874.34	18.53	
	104.7030	12/14/11	1,109.85	1,081.58	28.27	
	79.3000	12/14/11	840.58	819.17	21.41	
10/15/13	7,422.7420	Various	78,681.02	77,496.25	1,184.77	SALE TOTAL 13 LOTS
OPPENHEIMER GLOBAL FD / 683924401						
CL Y						
02/19/13	283.5420	03/15/11	19,601.27	17,236.51	2,364.76	SALE
04/10/13	118.0090	03/15/11	8,285.41	7,170.76	1,114.65	SALE
	78.3180	03/15/11	5,727.40	4,760.94	966.46	
	113.8630	07/07/11	8,326.82	7,517.23	809.59	
07/18/13	192.1810	Various	14,054.22	12,278.17	1,776.05	SALE TOTAL 2 LOTS
09/23/13	48.1290	07/07/11	3,697.75	3,177.47	520.28	SALE
10/07/13	47.7890	07/07/11	3,644.87	3,155.03	489.84	SALE
	72.4580	07/07/11	5,575.64	4,783.66	791.98	
	35.5020	12/13/11	2,731.87	1,906.09	825.78	
	0.4520	12/13/11	34.78	24.27	10.51	
10/15/13	108.4120	Various	8,342.29	6,714.02	1,628.27	SALE TOTAL 3 LOTS
OPPENHEIMER INTL BD FD / 68380T509						
CLASS Y						
02/19/13	3,323.7370	03/15/11	21,836.95	21,704.00	132.95	SALE



2013 ENHANCED SUMMARY

Page 17 of 32

As of Date: 2/07/14

THE PALETTE FUND INC
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Your Financial Advisor :
CHRISTOPHER AFFENITA
50 MAIN STREET 5TH FLOOR
WHITE PLAINS, NY 10606
(866) 544-1230

Account Number: 4748-9742

Year-End Account Summary

This information is NOT provided to the Internal Revenue Service, but is being provided to you for courtesy purposes.
Please consult with your Financial Advisor or Tax Advisor regarding specific questions.

LONG TERM GAINS OR LOSSES (Box 1c) FOR NONCOVERED SECURITIES (Box 6)

continued

Proceeds from Broker and Barter Exchange Transactions for 2013

8-Description / CUSIP 1a-Date of Sale or Exchange	1e-Quantity Sold	1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information	
					Gain or Loss Amount	Additional Information
04/10/13	1,956.9710	03/15/11	12,896.44	12,779.02	117.42	SALE
07/23/13	1,488.9820	03/15/11	9,231.69	9,723.05	-491.36	SALE
10/07/13	1,463.1090	03/15/11	8,954.23	9,554.09	-599.86	SALE
	2,067.7470	03/15/11	12,675.28	13,502.37	-827.09	
	27.8960	04/01/11	171.00	182.72	-11.72	
	52.6260	05/02/11	322.59	357.86	-35.27	
	60.2040	06/01/11	369.05	404.57	-35.52	
	61.2730	07/01/11	375.60	412.98	-37.38	
	4,269.9100	07/07/11	26,174.57	28,736.50	-2,561.93	
10/15/13	6,539.6560	Various	40,088.09	43,597.00	-3,508.91	SALE
						TOTAL 6 LOTS
PIMCO / 722005626						
ALL ASSET FND INST CL						
02/13/13	4,211.2990	03/15/11	53,525.61	51,462.07	2,063.54	SALE
04/10/13	2,386.9240	03/15/11	30,290.07	29,168.21	1,121.86	SALE
04/23/13	192.8750	03/15/11	2,447.59	2,356.94	90.65	SALE
07/18/13	2,211.1160	03/15/11	26,953.50	27,019.83	-66.33	SALE
09/23/13	547.8610	03/15/11	6,722.25	6,694.86	27.39	SALE
10/07/13	1,850.6850	03/15/11	22,707.90	22,615.36	92.54	SALE
	2,107.5610	03/15/11	26,028.37	25,754.37	274.00	
	128.2780	03/21/11	1,584.23	1,566.28	17.95	
	245.3720	06/20/11	3,030.34	3,030.35	-0.01	
	4,071.8990	07/07/11	50,287.97	51,020.90	-732.93	
10/15/13	6,553.1100	Various	80,930.91	81,371.90	-440.99	SALE
10/23/13	150.9140	07/07/11	1,889.44	1,890.96	-1.52	SALE
						TOTAL 4 LOTS

2013 ENHANCED SUMMARY

Page 18 of 32

As of Date: 2/07/14

THE PALETTE FUND INC
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Your Financial Advisor ·
CHRISTOPHER AFFENITA
50 MAIN STREET 5TH FLOOR
WHITE PLAINS, NY 10606
(866) 544-1230

Account Number: 4748-9742

Year-End Account Summary

This information is NOT provided to the Internal Revenue Service, but is being provided to you for courtesy purposes.
Please consult with your Financial Advisor or Tax Advisor regarding specific questions.

LONG TERM GAINS OR LOSSES (Box 1c) FOR NONCOVERED SECURITIES (Box 6) Proceeds from Broker and Barter Exchange Transactions for 2013

continued

8-Description / CUSIP 1a-Date of Sale or Exchange	1e-Quantity Sold	1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information	
					Gain or Loss Amount	Additional Information
PIMCO FDS PAC INVT / 693391880 MGMT SER DIVERSIFIED INCOME FD INSTL CL 02/19/13	1,819.0520	03/15/11	22,192.44	20,846.33	1,346.11	SALE
	1,055.7860	03/15/11	12,986.17	12,099.29	886.88	
	32.2040	04/01/11	396.11	370.35	25.76	
04/10/13	1,087.9900	Various	13,382.28	12,469.64	912.64	SALE
	6.9070	04/01/11	80.53	79.43	1.10	
	78.2720	05/02/11	912.65	910.30	2.35	
	68.5740	06/01/11	799.57	800.26	-0.69	
	72.6320	07/01/11	846.89	841.80	5.09	
	362.5790	07/07/11	4,227.68	4,216.80	10.88	
07/18/13	588.9640	Various	6,867.32	6,848.59	18.73	SALE
10/07/13	1,096.6650	07/07/11	12,677.45	12,754.22	-76.77	SALE
	2,239.7830	07/07/11	25,959.08	26,048.66	-89.58	
	83.7360	08/01/11	970.50	978.87	-8.37	
	86.2210	09/01/11	999.30	982.92	16.38	
	92.1950	10/03/11	1,068.54	1,015.99	52.55	
	77.5790	11/01/11	899.14	883.63	15.51	
	85.3890	12/01/11	989.65	953.80	35.85	
	35.9810	12/09/11	417.01	404.07	12.94	
	31.0030	12/09/11	359.32	348.16	11.16	
10/15/13	2,731.8870	Various	31,662.54	31,616.10	46.44	SALE
PIONEER GLOBAL HIGH / 72369G405 YIELD CL Y	20.7300	06/01/11	212.68	220.56	-7.88	
	72.5080	07/01/11	743.93	756.26	-12.33	



2013 ENHANCED SUMMARY

Page 19 of 32

As of Date: 2/07/14

THE PALETTE FUND INC
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Your Financial Advisor :
CHRISTOPHER AFFENITA
50 MAIN STREET 5TH FLOOR
WHITE PLAINS, NY 10606
(866) 544-1230

Account Number: 4748-9742

Year-End Account Summary

This information is NOT provided to the Internal Revenue Service, but is being provided to you for courtesy purposes.
Please consult with your Financial Advisor or Tax Advisor regarding specific questions.

LONG TERM GAINS OR LOSSES (Box 1c) FOR NONCOVERED SECURITIES (Box 6) Proceeds from Broker and Barter Exchange Transactions for 2013

continued

8-Description / CUSIP 1a-Date of Sale or Exchange	1e-Quantity Sold	1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information	
					Gain or Loss Amount	Additional Information
	108.6170	07/07/11	1,114.42	1,136.14	-21.72	
01/23/13	201.8550	Various	2,071.03	2,112.96	-41.93	SALE
						TOTAL 3 LOTS
02/19/13	511.8140	07/07/11	5,256.33	5,353.58	-97.25	SALE
02/22/13	833.9850	07/07/11	8,531.67	8,723.48	-191.81	SALE
04/23/13	605.9280	07/07/11	6,186.52	6,338.01	-151.49	SALE
07/23/13	119.6690	07/07/11	1,188.31	1,251.74	-63.43	SALE
08/23/13	669.5300	07/07/11	6,534.61	7,003.28	-468.67	SALE
	127.6530	07/07/11	1,257.38	1,335.24	-77.86	
	86.7420	08/01/11	854.40	903.85	-49.45	
	96.6580	09/01/11	952.08	951.11	0.97	
	103.5400	10/03/11	1,019.86	954.64	65.22	
	99.6800	11/02/11	981.84	962.91	18.93	
	103.7570	12/01/11	1,022.00	968.05	53.95	
10/15/13	618.0300	Various	6,087.56	6,075.80	11.76	SALE
						TOTAL 6 LOTS
THORNBURG INVT TR / 885215467						
INVT INCOME BUILDER FD						
CL I						
01/23/13	424.0210	03/15/11	8,348.97	8,124.25	224.72	SALE
02/19/13	913.3150	03/15/11	18,165.83	17,499.11	666.72	SALE
03/22/13	129.6200	03/15/11	2,614.44	2,483.52	130.92	SALE
04/10/13	544.3010	03/15/11	11,147.28	10,428.81	718.47	SALE
07/18/13	604.9180	03/15/11	12,219.35	11,590.22	629.13	SALE
10/07/13	525.7760	03/15/11	10,667.99	10,073.87	594.12	SALE

2013 ENHANCED SUMMARY

Page 20 of 32

As of Date: 2/07/14

THE PALETTE FUND INC
1201 BROADWAY
SUITE 504
NEW YORK NY 10001-5405

Your Financial Advisor :
CHRISTOPHER AFFENITA
50 MAIN STREET 5TH FLOOR
WHITE PLAINS, NY 10606
(866) 544-1230

Account Number: 4748-9742

Year-End Account Summary

This information is NOT provided to the Internal Revenue Service, but is being provided to you for courtesy purposes.
Please consult with your Financial Advisor or Tax Advisor regarding specific questions.

LONG TERM GAINS OR LOSSES (Box 1c) FOR NONCOVERED SECURITIES (Box 6) Proceeds from Broker and Barter Exchange Transactions for 2013

continued

8-Description / CUSIP		1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information	
1a-Date of Sale or Exchange	1e-Quantity Sold				Gain or Loss Amount	Additional Information
10/15/13	36.5230	03/15/11	750.18	699.78	50.40	SALE
10/23/13	97.9520	03/15/11	2,058.95	1,876.76	182.19	SALE
TOTAL LONG TERM GAINS OR LOSSES FOR NONCOVERED SECURITIES			1,031,090.85	1,011,792.45	19,298.40	

*Box 2a Sales price less commissions and option premiums