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Form

990-PF

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052

2013

Open to Public Inspection

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

Name of foundation KLEIN FAMILY FOUNDATION INC		A Employer identification number 26-3134339	
Number and street (or P O box number if mail is not delivered to street address) 42 TUCKAHOE ROAD		B Telephone number (see instructions) (203) 767-2046	
City or town, state or province, country, and ZIP or foreign postal code EASTON, CT 06612		C If exemption application is pending, check here ☐	
G Check all that apply ☐ Initial return ☐ Final return ☐ Address change ☐ Initial return of a former public charity ☐ Amended return ☐ Name change		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐	
H Check type of organization ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ☐ \$ 6,206,194		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐	
J Accounting method ☒ Cash ☐ Accrual ☐ Other (specify) _____ (Part I, column (d) must be on cash basis.)			

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)				
	2 Check ☒ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities.	175,482	175,479		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	106,276			
	b Gross sales price for all assets on line 6a 1,348,613				
	7 Capital gain net income (from Part IV, line 2) . . .		106,276		
	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)				
	12 Total. Add lines 1 through 11	281,758	281,755		
	13 Compensation of officers, directors, trustees, etc	0	0		0
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule).				
	b Accounting fees (attach schedule).	4,000	0		4,000
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	7,072	2,072		0
	19 Depreciation (attach schedule) and depletion . . .				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule).	42,694	42,694		0
	24 Total operating and administrative expenses.				
	Add lines 13 through 23	53,766	44,766		4,000
	25 Contributions, gifts, grants paid	359,000			359,000
	26 Total expenses and disbursements. Add lines 24 and 25	412,766	44,766		363,000
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-131,008			
	b Net investment income (if negative, enter -0-)		236,989		
	c Adjusted net income (if negative, enter -0-)				

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing			
	2	Savings and temporary cash investments	531,742	717,811	717,811
	3	Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4	Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges	98		
	10a	Investments—U S and state government obligations (attach schedule)	423,863	 405,067	413,334
	b	Investments—corporate stock (attach schedule)	2,159,520	 1,209,269	1,663,589
	c	Investments—corporate bonds (attach schedule).	898,887	 798,358	830,737
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	1,211,660	 1,965,225	2,575,696
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
Liabilities	15	Other assets (describe ▶ _____)	 5,995	 5,027	 5,027
	16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	5,231,765	5,100,757	6,206,194
	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 ▶ _____)			
Net Assets or Fund Balances	23	Total liabilities (add lines 17 through 22)	0	0	
		Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds	0	0	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund	0	0	
	29	Retained earnings, accumulated income, endowment, or other funds	5,231,765	5,100,757	
	30	Total net assets or fund balances (see page 17 of the instructions)	5,231,765	5,100,757	
	31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	5,231,765	5,100,757	

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	5,231,765
2	Enter amount from Part I, line 27a	2	-131,008
3	Other increases not included in line 2 (itemize) ▶ _____	3	0
4	Add lines 1, 2, and 3	4	5,100,757
5	Decreases not included in line 2 (itemize) ▶ _____	5	0
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	5,100,757

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

(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	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
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	106,276
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	249,113	5,733,312	0 043450
2011	270,425	5,711,512	0 047347
2010	223,503	5,612,806	0 039820
2009	325,905	5,381,535	0 060560
2008	93,597	4,797,574	0 019509

2 Total of line 1, column (d).	2	0 210686
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 042137
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	5,974,972
5 Multiply line 4 by line 3.	5	251,767
6 Enter 1% of net investment income (1% of Part I, line 27b).	6	2,370
7 Add lines 5 and 6.	7	254,137
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	363,000

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)			
1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1		1	2,370
Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b			
c All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		2	0
3 Add lines 1 and 2.		3	2,370
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		4	0
5 Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0-		5	2,370
6 Credits/Payments			
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a	4,513	
b Exempt foreign organizations—tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c	3,000	
d Backup withholding erroneously withheld	6d		
7 Total credits and payments Add lines 6a through 6d.		7	7,513
8 Enter any penalty for underpayment of estimated tax Check here ☐ if Form 2220 is attached		8	
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed		9	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid.		10	5,143
11 Enter the amount of line 10 to be Credited to 2014 estimated tax 5,143 Refunded		11	0

Part VII-A Statements Regarding Activities			
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		1a	No
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)?		1b	No
If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.			
c Did the foundation file Form 1120-POL for this year?.		1c	No
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation \$ 0 (2) On foundation managers \$ 0			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$ 0			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS?		2	No
If "Yes," attach a detailed description of the activities.			
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		3	No
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?.		4a	No
b If "Yes," has it filed a tax return on Form 990-T for this year?.		4b	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?		5	No
If "Yes," attach the statement required by General Instruction T.			
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either			
• By language in the governing instrument, or			
• By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?		6	Yes
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV.		7	Yes
8a Enter the states to which the foundation reports or with which it is registered (see instructions)			
CT			
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation .		8b	Yes
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)?			
If "Yes," complete Part XIV		9	No
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses.		10	No

Part VII-A

Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
Website address ▶N/A				
14	The books are in care of ▶MRS CARLA KLEIN Telephone no ▶(203) 767-2046 Located at ▶42 TUCKAHOE ROAD EASTON CT ZIP +4 ▶06612			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here ▶ ☐ and enter the amount of tax-exempt interest received or accrued during the year ▶	15		
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country ▶				

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly) (1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?. ☐ Yes ☒ No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?. ☐ Yes ☒ No (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)?. . . Organizations relying on a current notice regarding disaster assistance check here. ▶ ☐	1b		
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?.	1c		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013?. ☐ Yes ☒ No If "Yes," list the years ▶ 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions).	2b		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ▶ 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?. ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (<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))?	☐ Yes ☒ No		
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	☐ Yes ☒ No		
	(3) Provide a grant to an individual for travel, study, or other similar purposes?	☐ Yes ☒ No		
	(4) Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions).	☐ Yes ☒ No		
	(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	☐ Yes ☒ No		
b	If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?	5b		
	Organizations relying on a current notice regarding disaster assistance check here.	☒		
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?	☐ Yes ☐ No		
	If "Yes," attach the statement required by Regulations section 53.4945–5(d).			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	☐ Yes ☒ No		
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	6b		No
	If "Yes" to 6b, file Form 8870.			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	☐ Yes ☒ No		
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?	7b		

Part VIII

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

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).				
(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
CARLA S KLEIN	PRESIDENT	0	0	0
42 TUCKAHOE ROAD EASTON,CT 06612	0 00			
KRISTEN CHIODO	SECRETARY	0	0	0
4 COOK CIRCLE TRUMBULL,CT 06611	0 00			
ERIC KLEIN	TREASURER	0	0	0
1288 SAXON DRIVE BIRMINGHAM,MI 48009	0 00			
2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."				
(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				
Total number of other employees paid over \$50,000.				0

Part VIII

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

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".		
(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over \$50,000 for professional services.		0

Part IX-A

Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc	Expenses
1	
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	0

Part X

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities.	1a	5,556,524
b	Average of monthly cash balances.	1b	504,410
c	Fair market value of all other assets (see instructions).	1c	5,027
d	Total (add lines 1a, b, and c).	1d	6,065,961
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	0
2	Acquisition indebtedness applicable to line 1 assets.	2	0
3	Subtract line 2 from line 1d.	3	6,065,961
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	90,989
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	5,974,972
6	Minimum investment return. Enter 5% of line 5.	6	298,749

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	298,749
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	2,370
b	Income tax for 2013 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	2,370
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	296,379
4	Recoveries of amounts treated as qualifying distributions.	4	0
5	Add lines 3 and 4.	5	296,379
6	Deduction from distributable amount (see instructions).	6	0
7	Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1.	7	296,379

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	363,000
b	Program-related investments—total from Part IX-B.	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	363,000
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	2,370
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	360,630
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				296,379
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only.			16,127	
b Total for prior years 20____, 20____, 20____		0		
3 Excess distributions carryover, if any, to 2013				
a From 2008.				
b From 2009.				
c From 2010.				
d From 2011.				
e From 2012.				
f Total of lines 3a through e.	0			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 363,000				
a Applied to 2012, but not more than line 2a			16,127	
b Applied to undistributed income of prior years (Election required—see instructions).		0		
c Treated as distributions out of corpus (Election required—see instructions).	0			
d Applied to 2013 distributable amount.				296,379
e Remaining amount distributed out of corpus	50,494			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).)	0			0
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	50,494			
b Prior years' undistributed income Subtract line 4b from line 2b.		0		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.		0		
d Subtract line 6c from line 6b Taxable amount—see instructions		0		
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see 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).	0			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions). . . .	0			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	50,494			
10 Analysis of line 9				
a Excess from 2009. . . .				
b Excess from 2010. . . .				
c Excess from 2011. . . .				
d Excess from 2012. . . .				
e Excess from 2013. . . .	50,494			

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))

CARLA S KLEIN

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

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	359,000
b Approved for future payment				
Total			3b	0

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2013)

[illegible]

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

b If "Yes," complete the following schedule		
(a) Name of organization	(b) Type of organization	(c) Description of relationship

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

 Signature of officer or trustee 2014-05-19 Date  Title

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

Paid Preparer Use Only	Print/Type preparer's name DAVID ZIEFF	Preparer's Signature	Date	Check if self-employed ☒	PTIN P01236646
	Firm's name ☐	FRIEDBERG SMITH & CO PC			Firm's EIN ☐ 06-1331879
	Firm's address ☐	855 MAIN STREET 6TH FLOOR BRIDGEPORT, CT 066044915			Phone no (203) 366-5876

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 STANLEY #19928 - SEE STATEMENT	P		
MORGAN STANLEY #19928 - SEE STATEMENT	P		
MORGAN STANLEY #19928 - SEE STATEMENT	P		
MORGAN STANLEY #19935 - SEE STATEMENT	P		
MORGAN STANLEY #19935 - SEE STATEMENT	P		
MORGAN STANLEY #19935 - SEE STATEMENT	P		
MORGAN STANLEY #19935 - SEE STATEMENT	P		
BASIS ADJUSTMENT	P		
MORGAN STANLEY #20600 - SEE STATEMENT	P		
MORGAN STANLEY #20600 - SEE STATEMENT	P		
CAPITAL GAINS DIVIDENDS	P		

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)
300,849		333,520	-32,671
52,557		57,444	-4,887
505,804		460,710	45,094
109,051		101,648	7,403
326		162	164
186,938		159,646	27,292
176,321		117,757	58,564
330			330
1,953		2,027	-74
9,354		9,423	-69
5,130			5,130

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	
			-32,671
			-4,887
			45,094
			7,403
			164
			27,292
			58,564
			330
			-74
			-69
			5,130

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>				
BRIDGEPORT CHILD ADVOCACY COALITION (BCAC) 2470 FAIRFIELD AVENUE BRIDGEPORT,CT 06605	N/A	501(C)(3)	UNRESTRICTED	5,000
BRIDGEPORT HOSPITAL FOUNDATION 267 GRANT STREET BRIDGEPORT,CT 06610	N/A	501(C)(3)	GRAND ROUNDS LECTURE AND GENERAL PURPOSES	10,000
BRIDGEPORT PUBLIC EDUCATION FUND INC (BPEC) 446 UNIVERSITY AVENUE BRIDGEPORT,CT 06604	N/A	501(C)(3)	EDUCATION	10,000
BRIDGEPORT YMCA 850 PARK AVENUE BRIDGEPORT,CT 06604	N/A	501(C)(3)	2013 STRONG KIDS CAMPAIGN	25,000
CARDINAL SHEHAN CENTER 1494 MAIN STREET BRIDGEPORT,CT 06604	N/A	501(C)(3)	ANNUAL APPEAL	5,000
CENTER FOR WOMEN & FAMILIES 753 FAIRFIELD AVENUE BRIDGEPORT,CT 06604	N/A	501(C)(3)	UNRESTRICTED	5,000
CHILD AND FAMILY GUIDANCE CENTER 180 FAIRFIELD AVENUE BRIDGEPORT,CT 06604	N/A	501(C)(3)	UNRESTRICTED	5,000
CONNECTICUT FOOD BANK PO BOX 8686 NEW HAVEN,CT 06531	N/A	501(C)(3)	UNRESTRICTED	5,000
CT COUNCIL FOR EDUCATION REFORM (CCER) 195 CHURCH STREET 7TH FLOOR HARTFORD,CT 06510	N/A	501(C)(3)	UNRESTRICTED	20,000
FREEDOM HOUSE 2630 WEST LAFAYETTE DETROIT,MI 48216	N/A	501(C)(3)	UNRESTRICTED	3,000
GLENER'S COMMUNITY FOOD BANK (GCFB) 2131 BEAUFIT DETROIT,MI 48207	N/A	501(C)(3)	UNRESTRICTED	3,000
HAITIAN HEALTH FOUNDATION 97 SHERMAN STREET NORWICH,CT 06360	N/A	501(C)(3)	AID TO THE POOR OF JEREMIE, HAITI	40,000
HELP WILLY'S FRIENDS PO BOX 556 DURHAM,CT 06422	N/A	501(C)(3)	UNRESTRICTED	1,000
HOUSATONIC COMMUNITY FOUNDATION 900 LAFAYETTE BLVD BRIDGEPORT,CT 06604	N/A	501(C)(3)	SCHOLARSHIPS FOR HCC STUDENTS	20,000
MERCY LEARNING CENTER 637 PARK AVENUE BRIDGEPORT,CT 06604	N/A	501(C)(3)	2013 A VIEW OF THE HARBOR	5,000
Total  3a				359,000

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>				
SAVE THE CHILDREN 54 WILTON ROAD WESTPORT,CT 06880	N/A	501(C)(3)	READ ALOUD DAY	15,000
SCHOOL VOLUNTEER ASSOCIATION 900 BOSTON AVENUE BRIDGEPORT,CT 06610	N/A	501(C)(3)	UNRESTRICTED	5,000
SOUTHWEST SOLUTIONS 1700 WATERMAN STREET DETROIT,MI 48226	N/A	501(C)(3)	PIQUETTE SQUARE FALL APPEAL	3,000
ST JUDE CHILDREN'S RESEARCH HOSPITAL 501 ST JUDE PLACE MEMPHIS,TN 38105	N/A	501(C)(3)	RESEARCH AND TREATMENT FOR CHILDHOOD DISEASES	5,000
THE HEAT AND WARMTH FUND 607 SHELBY STREET SUITE 400 DETROIT,MI 48226	N/A	501(C)(3)	UNRESTRICTED	1,500
THE HEIDELBERG PROJECT 42 WATSON DETROIT,MI 48201	N/A	501(C)(3)	FIRE RELIEF FUND	500
UNITED WAY OF COASTAL FAIRFIELD COUNTY 75 WASHINGTON AVENUE BRIDGEPORT,CT 06604	N/A	501(C)(3)	UNRESTRICTED	10,000
UNITED WAY OF SOUTHEASTERN MICHIGAN 660 WOODWARD AVENUE DETROIT,MI 48226	N/A	501(C)(3)	UNRESTRICTED	2,000
UNIVERSITY OF CONNECTICUT FOUNDATION INC 2390 ALUMNI DRIVE STORRS,CT 06269	N/A	501(C)(3)	ENDOWMENT AND PROFESSORSHIP FOR URBAN EDUCATION	50,000
UNIVERSITY OF MICHIGAN 3003 SOUTH STATE STREET ANN ARBOR,MI 48109	N/A	501(C)(3)	ESOPHAGEAL CANCER RESEARCH	80,000
WOUNDED WARRIOR PROJECT 4899 BELFORT ROAD SUITE 300 JACKSONVILLE,FL 32256	N/A	501(C)(3)	UNRESTRICTED	5,000
YALE-NEW HAVEN HOSPITAL 2 HOWE STREET NEW HAVEN,CT 06511	N/A	501(C)(3)	PALLIATIVE CARE PROGRAMSIMILOW CANCER HOSPITAL AT YALE-NEW HAVEN	20,000
Total  3a				359,000

TY 2013 Accounting Fees Schedule**Name:** KLEIN FAMILY FOUNDATION INC**EIN:** 26-3134339

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING	4,000	0		4,000

**TY 2013 Investments Corporate
Bonds Schedule**

Name: KLEIN FAMILY FOUNDATION INC
EIN: 26-3134339

Name of Bond	End of Year Book Value	End of Year Fair Market Value
CORPORATE FIXED INCOME	798,358	830,737

TY 2013 Investments Corporate Stock Schedule

Name: KLEIN FAMILY FOUNDATION INC

EIN: 26-3134339

Name of Stock	End of Year Book Value	End of Year Fair Market Value
COMMON & PREFERRED STOCK	1,209,269	1,663,589

TY 2013 Investments Government Obligations Schedule

Name: KLEIN FAMILY FOUNDATION INC

EIN: 26-3134339

**US Government Securities - End of
Year Book Value:**

162,832

**US Government Securities - End of
Year Fair Market Value:**

168,026

**State & Local Government
Securities - End of Year Book
Value:**

242,235

**State & Local Government
Securities - End of Year Fair
Market Value:**

245,308

TY 2013 Investments - Other Schedule

Name: KLEIN FAMILY FOUNDATION INC

EIN: 26-3134339

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
MUTUAL FUNDS	AT COST	1,014,240	1,145,598
ETF AND CLOSED END FUNDS	AT COST	950,985	1,430,098

TY 2013 Other Assets Schedule**Name:** KLEIN FAMILY FOUNDATION INC**EIN:** 26-3134339

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
ACCRUED INCOME RECEIVABLE	5,995	5,027	5,027

TY 2013 Other Expenses Schedule

Name: KLEIN FAMILY FOUNDATION INC

EIN: 26-3134339

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT ADVISORY FEES	42,694	42,694		0

TY 2013 Taxes Schedule**Name:** KLEIN FAMILY FOUNDATION INC**EIN:** 26-3134339

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL EXCISE TAX	5,000	0		0
FOREIGN TAXES	2,072	2,072		0

Klein Family Foundation Inc.			
Gain (Loss) on Sale of Securities			
12/31/13			
	<u>Sales Price</u>	<u>Cost</u>	<u>Gain (Loss)</u>
<u>Morgan Stanley #019928</u>			
Short Term - Covered	300,848.67	333,519.58	(32,670.91)
Long Term - Covered	52,557.42	57,444.45	(4,887.03)
Long Term - Noncovered	505,804.07	460,709.66	45,094.41
Total	859,210.16	851,673.69	7,536.47
<u>Morgan Stanley #019935</u>			
Short Term - Covered	109,051.38	101,648.29	7,403.09
Short Term - Noncovered	326.06	154.47	171.59
Short Term - SPDR adj (Noncovered)	0.00	7.64	(7.64)
Long Term - Covered	186,937.89	159,646.41	27,291.48
Long Term - Noncovered	176,320.51	117,756.78	58,563.73
Basis Adjustment	329.64	0.00	329.64
Total	472,965.48	379,213.59	93,751.89
<u>Morgan Stanley #020600</u>			
Long Term - FNMA Pool	1,952.84	2,027.28	(74.44)
Long Term - Noncovered	9,354.24	9,422.58	(68.34)
Total	11,307.08	11,449.86	(142.78)
Summary:			
Morgan Stanley #019928	859,210.16	851,673.69	7,536.47
Morgan Stanley #019935	472,965.48	379,213.59	93,751.89
Morgan Stanley #020600	11,307.08	11,449.86	(142.78)
Total Gain (Loss)	1,343,482.72	1,242,337.14	101,145.58

Corporate Tax Statement
Tax Year 2013KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorNew York, NY 10004
Identification Number: 26-4310632Taxpayer ID Number: 26-3134339
Account Number: 759 019928 037

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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
BANK OF AMERICA 8.20% SER H	CUSIP: 060505765	Symbol (Box 1d):							
	1,500.000	12/31/12	05/01/13	\$37,500.00	\$39,225.30	\$0.00	(\$1,725.30)	\$0.00	\$0.00
DOUBLELINE INCOME SOLUTIONS FD	CUSIP: 258622109	Symbol (Box 1d): DSL							
	1,000.000	04/25/13	08/27/13	\$21,154.53	\$25,000.00	\$0.00	(\$3,845.47)	\$0.00	\$0.00
	500.000	04/25/13	12/04/13	\$10,069.82	\$12,500.00	\$0.00	(\$2,430.18)	\$0.00	\$0.00
Security Subtotal	1,500.000			\$31,224.35	\$37,500.00	\$0.00	(\$6,275.65)	\$0.00	\$0.00
GOLDMAN SACHS GOVT INC INSTL	CUSIP: 38142V761	Symbol (Box 1d): GSOIX							
	2.199	03/28/13	06/04/13	\$32.52	\$32.92	\$0.00	(\$0.40)	\$0.00	\$0.00
	2.736	04/30/13	06/04/13	\$40.47	\$41.15	\$0.00	(\$0.68)	\$0.00	\$0.00
	2.628	05/31/13	06/04/13	\$38.90	\$38.90	\$0.00	\$0.00	\$0.00	\$0.00
Security Subtotal	7.563			\$111.89	\$112.97	\$0.00	(\$1.08)	\$0.00	\$0.00
GUGGENHEIM MULTI-ASSET INCOME	CUSIP: 18383M506	Symbol (Box 1d): CVY							
	2,000.000	07/30/13	10/07/13	\$47,452.37	\$48,159.80	\$0.00	(\$707.43)	\$0.00	\$0.00
JPMORGAN CHASE & CO 5 5%-O	CUSIP: 48126E750	Symbol (Box 1d): JPM D							
	1,500.000	11/16/12	09/06/13	\$32,863.52	\$37,892.40	\$0.00	(\$5,028.88)	\$0.00	\$0.00
PIMCO DYNAMIC CREDIT INC FD	CUSIP: 72202D106	Symbol (Box 1d): PCI							
	1,000.000	01/28/13	08/27/13	\$21,259.03	\$25,000.00	\$0.00	(\$3,740.97)	\$0.00	\$0.00
PIMCO EMERGING LOCAL BD P	CUSIP: 72201M396	Symbol (Box 1d): PELPX							
	4,385.965	01/15/13	10/07/13	\$42,763.11	\$50,000.00	\$0.00	(\$7,236.89)	\$0.00	\$0.00
	6.664	01/31/13	10/07/13	\$64.97	\$73.37	\$0.00	(\$8.40)	\$0.00	\$0.00
	12.820	02/28/13	10/07/13	\$124.99	\$139.99	\$0.00	(\$15.00)	\$0.00	\$0.00
	14.268	03/28/13	10/07/13	\$139.11	\$154.67	\$0.00	(\$15.56)	\$0.00	\$0.00

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

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Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-3134339
Account Number: 759 019928 037

Customer Service: 866-324-6088

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
PIMCO EMERGING LOCAL BD P	15.055	04/30/13	10/07/13	\$146.79	\$168.01	\$0.00	(\$21.22)	\$0.00	
	19.151	05/31/13	10/07/13	\$186.72	\$198.02	\$0.00	(\$11.30)	\$0.00	
	17.519	06/28/13	10/07/13	\$170.81	\$171.34	\$0.00	(\$0.53)	\$0.00	
	17.149	07/31/13	10/07/13	\$167.20	\$167.37	\$0.00	(\$0.17)	\$0.00	
	20.168	08/30/13	10/07/13	\$196.64	\$186.55	\$0.00	\$10.09	\$0.00	
	14.999	09/30/13	10/07/13	\$146.30	\$144.44	\$0.00	\$1.86	\$0.00	
Security Subtotal	4,523.758			\$44,106.64	\$51,403.76	\$0.00	(\$7,297.12)	\$0.00	
PIONEER GLOBAL HIGH YIELD Y		CUSIP: 72369G405	Symbol (Box 1d): GHYX						
	26.890	03/28/13	06/04/13	\$272.40	\$275.08	\$0.00	(\$2.68)	\$0.00	
	32.802	04/30/13	06/04/13	\$332.28	\$336.55	\$0.00	(\$4.27)	\$0.00	
	33.314	05/31/13	06/04/13	\$337.52	\$338.47	\$0.00	(\$0.95)	\$0.00	
Security Subtotal	93.006			\$942.20	\$950.10	\$0.00	(\$7.90)	\$0.00	
PRINCIPAL PREFERRED SEC A		CUSIP: 74254T252	Symbol (Box 1d): PPSAX						
	3,777.148	07/16/12	06/13/13	\$39,584.47	\$40,000.00	\$0.00	(\$415.53)	\$0.00	
	16.668	07/31/12	06/13/13	\$174.68	\$170.35	\$0.00	\$4.33	\$0.00	
	16.552	08/31/12	06/13/13	\$173.46	\$171.48	\$0.00	\$1.98	\$0.00	
	19.344	09/28/12	06/13/13	\$202.72	\$201.95	\$0.00	\$0.77	\$0.00	
	18.750	10/31/12	06/13/13	\$196.50	\$198.38	\$0.00	(\$1.88)	\$0.00	
	19.133	11/30/12	06/13/13	\$200.51	\$201.66	\$0.00	(\$1.15)	\$0.00	
	22.069	12/19/12	06/13/13	\$231.28	\$232.83	\$0.00	(\$1.55)	\$0.00	
	18.949	12/27/12	06/13/13	\$198.59	\$199.15	\$0.00	(\$0.56)	\$0.00	
	16.872	01/31/13	06/13/13	\$176.82	\$179.01	\$0.00	(\$2.19)	\$0.00	
	16.218	02/28/13	06/13/13	\$169.96	\$172.72	\$0.00	(\$2.76)	\$0.00	
	16.151	03/28/13	06/13/13	\$169.26	\$172.65	\$0.00	(\$3.39)	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-3134339
Account Number: 759 019928 037

Customer Service: 866-324-6088

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) **OMB NO. 1545-0715**

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
PRINCIPAL PREFERRED SEC A	14.855	04/30/13	06/13/13	\$155.68	\$160.29	\$0.00	(\$4.61)	\$0.00	
	14.551	05/31/13	06/13/13	\$152.55	\$156.13	\$0.00	(\$3.58)	\$0.00	
Security Subtotal	3,987.260			\$41,786.48	\$42,216.60	\$0.00	(\$430.12)	\$0.00	
PUBLIC STORAGE 5.375%-V		CUSIP: 74460W800		Symbol (Box 1d): PSA V					
	1,200.000	09/19/12	09/06/13	\$24,912.52	\$30,709.20	\$0.00	(\$5,796.68)	\$0.00	
VORNADO REALTY TR SER-J 6 875%		CUSIP: 929042869		Symbol (Box 1d): VNO J					
	750.000	02/20/13	12/04/13	\$18,689.67	\$20,349.45	\$0.00	(\$1,659.78)	\$0.00	
Total Short Term Covered Securities				\$300,848.67	\$333,519.58	\$0.00	(\$32,670.91)	\$0.00	

Corporate Tax Statement Tax Year 2013

KLEIN FAMILY FOUNDATION INC
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004

Identification Number: 26-4310632

Taxpayer ID Number: 26-3134339
Account Number: 759 019928 037

Customer Service: 866-324-6088

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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)	NOTES
CHARLES SCHWAB CORP 6% SER-B	CUSIP: 808513204	Symbol (Box 1d): SCHW.B							
	750 000	11/26/12	12/04/13	\$16,855 05	\$19,869 45	\$0 00	(\$3,014 40)	\$0 00	
HEALTH CARE REIT 6 5000% SER J	CUSIP: 42217K700	Symbol (Box 1d): HCN J							
	1,500.000	03/14/12	12/04/13	\$35,702 37	\$37,575.00	\$0 00	(\$1,872.63)	\$0.00	
Total Long Term Covered Securities				\$52,557.42	\$57,444.45	\$0.00	(\$4,887.03)	\$0.00	

Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza

8th Floor

New York, NY 10004

Identification Number: 26-4310632

KLEIN FAMILY FOUNDATION INC.

ATTENTION: CARLA KLEIN

42 TUCKAHOE RD

EASTON CT 06612-2054

Taxpayer ID Number: 26-3134339

Account Number: 759 019928 037

Customer Service: 866-324-6088

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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)	NOTES
AMERICAN EXPRESS 5875 13MY02		CUSIP: 0258M0CW7	Symbol (Box 1d):						
	5,000.000	04/24/09	05/02/13	\$5,000.00	\$4,813.50	\$0.00	\$186.50	\$0.00	
	1,000.000	09/30/09	05/02/13	\$1,000.00	\$1,000.00	\$0.00	\$0.00	\$0.00	
Security Subtotal	6,000.000			\$6,000.00	\$5,813.50	\$0.00	\$186.50	\$0.00	
E V ATLANTA CAP SMID CAP I		CUSIP: 277902698	Symbol (Box 1d): EISMX						
	1,100.837	10/25/11	10/07/13	\$25,000.00	\$17,903.92	\$0.00	\$7,096.08	\$0.00	
FNMA POOL 745275 5000 36FB01		CUSIP: 31403C6L0	Symbol (Box 1d):						
	214.860	03/11/09	04/25/13	\$214.86	\$220.36	\$0.00	(\$5.50)	\$0.00	PP
	78.131	09/09/09	04/25/13	\$78.13	\$80.55	\$0.00	(\$2.42)	\$0.00	PP
	58.598	09/29/09	04/25/13	\$58.60	\$60.77	\$0.00	(\$2.17)	\$0.00	PP
	206.647	03/11/09	05/25/13	\$206.65	\$211.94	\$0.00	(\$5.29)	\$0.00	PP
	75.144	09/09/09	05/25/13	\$75.14	\$77.47	\$0.00	(\$2.33)	\$0.00	PP
	56.358	09/29/09	05/25/13	\$56.36	\$58.45	\$0.00	(\$2.09)	\$0.00	PP
	202.497	03/11/09	06/25/13	\$202.50	\$207.68	\$0.00	(\$5.18)	\$0.00	PP
	73.635	09/09/09	06/25/13	\$73.63	\$75.91	\$0.00	(\$2.27)	\$0.00	PP
	55.226	09/29/09	06/25/13	\$55.23	\$57.27	\$0.00	(\$2.04)	\$0.00	PP
	182.276	03/11/09	07/25/13	\$182.28	\$186.94	\$0.00	(\$4.66)	\$0.00	PP
	66.282	09/09/09	07/25/13	\$66.28	\$68.33	\$0.00	(\$2.05)	\$0.00	PP
	49.711	09/29/09	07/25/13	\$49.71	\$51.56	\$0.00	(\$1.85)	\$0.00	PP
	167.890	03/11/09	08/25/13	\$167.89	\$172.19	\$0.00	(\$4.30)	\$0.00	PP
	61.051	09/09/09	08/25/13	\$61.05	\$62.94	\$0.00	(\$1.89)	\$0.00	PP
	45.788	09/29/09	08/25/13	\$45.79	\$47.49	\$0.00	(\$1.70)	\$0.00	PP
	150.822	03/11/09	09/25/13	\$150.82	\$154.68	\$0.00	(\$3.86)	\$0.00	PP
	54.844	09/09/09	09/25/13	\$54.85	\$56.54	\$0.00	(\$1.70)	\$0.00	PP
	41.133	09/29/09	09/25/13	\$41.13	\$42.66	\$0.00	(\$1.53)	\$0.00	PP

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Page 25 of 38

Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza8th Floor
New York, NY 10004
Identification Number: 26-4310632

KLEIN FAMILY FOUNDATION INC.

ATTENTION: CARLA KLEIN

42 TUCKAHOE RD
EASTON CT 06612-2054Taxpayer ID Number: 26-3134339
Account Number: 759 019928 037

Customer Service: 866-324-6088

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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)	NOTES
FNMA POOL 745275 5000 36FB01	111.014	03/11/09	10/25/13	\$111.01	\$113.86	\$0.00	(\$2.85)	\$0.00	PP
	40.368	09/09/09	10/25/13	\$40.37	\$41.62	\$0.00	(\$1.25)	\$0.00	PP
	30.276	09/29/09	10/25/13	\$30.28	\$31.40	\$0.00	(\$1.12)	\$0.00	PP
	91.263	03/11/09	11/25/13	\$91.26	\$93.60	\$0.00	(\$2.34)	\$0.00	PP
	33.186	09/09/09	11/25/13	\$33.19	\$34.21	\$0.00	(\$1.02)	\$0.00	PP
	24.890	09/29/09	11/25/13	\$24.89	\$25.81	\$0.00	(\$0.92)	\$0.00	PP
	75.117	03/11/09	12/25/13	\$75.12	\$77.04	\$0.00	(\$1.92)	\$0.00	PP
	27.315	09/09/09	12/25/13	\$27.31	\$28.16	\$0.00	(\$0.84)	\$0.00	PP
	20.486	09/29/09	12/25/13	\$20.49	\$21.25	\$0.00	(\$0.76)	\$0.00	PP
Security Subtotal	2,294.808			\$2,294.82	\$2,360.68	\$0.00	(\$65.85)	\$0.00	
CUSIP: 31410KJY1 Symbol (Box 1d):									
FNMA POOL 889579 6000 38MY01	672.188	03/11/09	04/25/13	\$672.19	\$697.60	\$0.00	(\$25.41)	\$0.00	PP
	91.662	09/09/09	04/25/13	\$91.66	\$96.99	\$0.00	(\$5.33)	\$0.00	PP
	761.226	03/11/09	05/25/13	\$761.23	\$790.00	\$0.00	(\$28.77)	\$0.00	PP
	103.803	09/09/09	05/25/13	\$103.80	\$109.83	\$0.00	(\$6.03)	\$0.00	PP
	778.650	03/11/09	06/25/13	\$778.65	\$808.08	\$0.00	(\$29.43)	\$0.00	PP
	106.179	09/09/09	06/25/13	\$106.18	\$112.35	\$0.00	(\$6.17)	\$0.00	PP
	690.870	03/11/09	07/25/13	\$690.87	\$716.98	\$0.00	(\$26.11)	\$0.00	PP
	94.209	09/09/09	07/25/13	\$94.21	\$99.68	\$0.00	(\$5.47)	\$0.00	PP
	657.500	03/11/09	08/25/13	\$657.50	\$682.35	\$0.00	(\$24.85)	\$0.00	PP
	89.659	09/09/09	08/25/13	\$89.66	\$94.87	\$0.00	(\$5.21)	\$0.00	PP
	607.279	03/11/09	09/25/13	\$607.28	\$630.23	\$0.00	(\$22.95)	\$0.00	PP
	82.810	09/09/09	09/25/13	\$82.81	\$87.62	\$0.00	(\$4.81)	\$0.00	PP
	493.284	03/11/09	10/25/13	\$493.28	\$511.93	\$0.00	(\$18.65)	\$0.00	PP
CONTINUED ON NEXT PAGE									

IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632
Taxpayer ID Number: 26-3134339
Account Number: 759 019928 037

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Customer Service: 866-324-6088

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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)	NOTES
FNMA POOL 889579 6000 38MY01	67 266	09/09/09	10/25/13	\$67.27	\$71.17	\$0.00	(\$3.90)	\$0.00	PP
	412 623	03/11/09	11/25/13	\$412.62	\$428.22	\$0.00	(\$15.60)	\$0.00	PP
	56 266	09/09/09	11/25/13	\$56.27	\$59.54	\$0.00	(\$3.27)	\$0.00	PP
	360 280	03/11/09	12/25/13	\$360.28	\$373.90	\$0.00	(\$13.62)	\$0.00	PP
	49 129	09/09/09	12/25/13	\$49.13	\$51.98	\$0.00	(\$2.85)	\$0.00	PP
Security Subtotal	6,174.883			\$6,174.89	\$6,423.32	\$0.00	(\$248.43)	\$0.00	
FNMA POOL 889982 5500 38NV01	240 291	03/12/09	04/25/13	\$240.29	\$248.17	\$0.00	(\$7.88)	\$0.00	PP
	57 670	09/09/09	04/25/13	\$57.67	\$60.16	\$0.00	(\$2.49)	\$0.00	PP
	48 058	09/29/09	04/25/13	\$48.06	\$50.39	\$0.00	(\$2.33)	\$0.00	PP
	256 756	03/12/09	05/25/13	\$256.76	\$265.18	\$0.00	(\$8.42)	\$0.00	PP
	61 621	09/09/09	05/25/13	\$61.62	\$64.28	\$0.00	(\$2.66)	\$0.00	PP
	51 351	09/29/09	05/25/13	\$51.35	\$53.84	\$0.00	(\$2.49)	\$0.00	PP
	227 256	03/12/09	06/25/13	\$227.26	\$234.71	\$0.00	(\$7.45)	\$0.00	PP
	54 541	09/09/09	06/25/13	\$54.54	\$56.89	\$0.00	(\$2.35)	\$0.00	PP
	45 451	09/29/09	06/25/13	\$45.45	\$47.66	\$0.00	(\$2.21)	\$0.00	PP
	219 069	03/12/09	07/25/13	\$219.07	\$226.25	\$0.00	(\$7.18)	\$0.00	PP
	52 576	09/09/09	07/25/13	\$52.58	\$54.84	\$0.00	(\$2.26)	\$0.00	PP
	43 813	09/29/09	07/25/13	\$43.81	\$45.94	\$0.00	(\$2.13)	\$0.00	PP
	199 333	03/12/09	08/25/13	\$199.33	\$205.87	\$0.00	(\$6.54)	\$0.00	PP
	47 840	09/09/09	08/25/13	\$47.84	\$49.90	\$0.00	(\$2.06)	\$0.00	PP
	39 866	09/29/09	08/25/13	\$39.86	\$41.80	\$0.00	(\$1.93)	\$0.00	PP
	166 930	03/12/09	09/25/13	\$166.93	\$172.41	\$0.00	(\$5.48)	\$0.00	PP
	40 063	09/09/09	09/25/13	\$40.06	\$41.79	\$0.00	(\$1.73)	\$0.00	PP

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Morgan Stanley

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-3134339
Account Number: 759 019928 037

Customer Service: 866-324-6088

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
FNMA POOL 889982 5500 38NV01	33.386	09/29/09	09/25/13	\$33.39	\$35.01	\$0.00	(\$1.62)	\$0.00	PP
	116.951	03/12/09	10/25/13	\$116.95	\$120.79	\$0.00	(\$3.84)	\$0.00	PP
	28.068	09/09/09	10/25/13	\$28.07	\$29.28	\$0.00	(\$1.21)	\$0.00	PP
	23.390	09/29/09	10/25/13	\$23.39	\$24.52	\$0.00	(\$1.13)	\$0.00	PP
	103.659	03/12/09	11/25/13	\$103.66	\$107.06	\$0.00	(\$3.40)	\$0.00	PP
	24.878	09/09/09	11/25/13	\$24.88	\$25.95	\$0.00	(\$1.07)	\$0.00	PP
	20.731	09/29/09	11/25/13	\$20.73	\$21.74	\$0.00	(\$1.01)	\$0.00	PP
	98.694	03/12/09	12/25/13	\$98.69	\$101.93	\$0.00	(\$3.24)	\$0.00	PP
	23.686	09/09/09	12/25/13	\$23.69	\$24.71	\$0.00	(\$1.02)	\$0.00	PP
	19.738	09/29/09	12/25/13	\$19.74	\$20.70	\$0.00	(\$0.96)	\$0.00	PP
Security Subtotal	2,345.666			\$2,345.68	\$2,431.77	\$0.00	(\$86.09)	\$0.00	
FNMA POOL 930071 6000 38OC01									
	121.040	09/29/09	04/25/13	\$121.04	\$127.92	\$0.00	(\$6.88)	\$0.00	PP
	208.560	09/29/09	05/25/13	\$208.56	\$220.41	\$0.00	(\$11.85)	\$0.00	PP
	77.190	09/29/09	06/25/13	\$77.19	\$81.57	\$0.00	(\$4.38)	\$0.00	PP
	91.200	09/29/09	07/25/13	\$91.20	\$96.38	\$0.00	(\$5.18)	\$0.00	PP
	105.590	09/29/09	08/25/13	\$105.59	\$111.59	\$0.00	(\$6.00)	\$0.00	PP
	50.070	09/29/09	09/25/13	\$50.07	\$52.91	\$0.00	(\$2.84)	\$0.00	PP
	58.450	09/29/09	10/25/13	\$58.45	\$61.77	\$0.00	(\$3.32)	\$0.00	PP
	97.310	09/29/09	11/25/13	\$97.31	\$102.84	\$0.00	(\$5.53)	\$0.00	PP
	35.190	09/29/09	12/25/13	\$35.19	\$37.19	\$0.00	(\$2.00)	\$0.00	PP
Security Subtotal	844.600			\$844.60	\$892.58	\$0.00	(\$47.98)	\$0.00	
GOLDMAN SACHS 6125 *60NV01									
	1,500.000	05/16/12	06/20/13	\$37,166.49	\$38,046.91	\$0.00	(\$880.42)	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632
Taxpayer ID Number: 26-3134339
Account Number: 759 019928 037

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Customer Service: 866-324-6088

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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)	NOTES
GOLDMAN SACHS GOVT INC INSTL									
	CUSIP: 38142V761	Symbol (Box 1d): GSOIX							
	85 887	03/10/09	06/04/13	\$1,270.27	\$1,278.13	\$0.00	(\$7.86)	\$0.00	
	19 642	03/31/09	06/04/13	\$290.50	\$296.80	\$0.00	(\$6.30)	\$0.00	
	29 559	04/30/09	06/04/13	\$437.18	\$445.20	\$0.00	(\$8.02)	\$0.00	
	27 478	05/29/09	06/04/13	\$406.40	\$414.13	\$0.00	(\$7.73)	\$0.00	
	25 555	06/30/09	06/04/13	\$377.96	\$384.89	\$0.00	(\$6.93)	\$0.00	
	25 192	07/31/09	06/04/13	\$372.59	\$381.94	\$0.00	(\$9.35)	\$0.00	
	23 243	08/31/09	06/04/13	\$343.76	\$354.48	\$0.00	(\$10.72)	\$0.00	
	2 732.277	09/29/09	06/04/13	\$40,410.35	\$41,914.91	\$0.00	(\$1,504.56)	\$0.00	
	21 454	09/30/09	06/04/13	\$317.30	\$328.90	\$0.00	(\$11.60)	\$0.00	
	24 274	10/30/09	06/04/13	\$359.01	\$373.84	\$0.00	(\$14.83)	\$0.00	
	24 538	11/30/09	06/04/13	\$362.92	\$381.56	\$0.00	(\$18.64)	\$0.00	
Security Subtotal	3,039.099			\$44,948.24	\$46,554.78	\$0.00	(\$1,606.54)	\$0.00	
ISHARES IBOXX INVEST GR COR FD									
	CUSIP: 464287242	Symbol (Box 1d): LQD							
	600 000	03/10/09	06/03/13	\$70,402.77	\$54,921.00	\$0.00	\$15,481.77	\$0.00	
MORGAN STANLEY 5450 17JA09									
	CUSIP: 617446C23	Symbol (Box 1d):							
	25,000 000	12/22/10	01/28/13	\$27,543.75	\$25,899.42	\$0.00	\$1,644.33	\$0.00	
PIMCO ALL ASSET ALL AUTH P									
	CUSIP: 72201M438	Symbol (Box 1d): PAUPX							
	3,311 695	02/17/11	10/07/13	\$34,342.24	\$35,000.01	\$0.00	(\$657.77)	\$0.00	
	18,316	03/17/11	10/07/13	\$189.94	\$195.41	\$0.00	(\$5.47)	\$0.00	
	32 325	06/16/11	10/07/13	\$335.21	\$350.40	\$0.00	(\$15.19)	\$0.00	
	1,459,265	08/17/11	10/07/13	\$15,132.61	\$16,024.04	\$0.00	(\$891.43)	\$0.00	
Security Subtotal	4,821.601			\$50,000.00	\$51,569.86	\$0.00	(\$1,569.86)	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza

8th Floor

New York, NY 10004

Identification Number: 26-4310632

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Taxpayer ID Number: 26-3134339
Account Number: 759 019928 037

Customer Service: 866-324-6088

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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)	NOTES
PIMCO TOTAL RETURN P	CUSIP: 72201M552	Symbol (Box 1d): PTPPX							
	3,190.520	02/09/10	06/13/13	\$35,000.00	\$34,936.19	\$0.00	\$63.81	\$0.00	
PIONEER GLOBAL HIGH YIELD Y	CUSIP: 72369G405	Symbol (Box 1d): GHYYX							
	4,156.844	03/10/09	06/04/13	\$42,108.79	\$25,299.47	\$0.00	\$16,809.32	\$0.00	
	169.988	03/31/09	06/04/13	\$1,721.98	\$1,063.00	\$0.00	\$658.98	\$0.00	
	252.796	04/30/09	06/04/13	\$2,560.82	\$1,715.05	\$0.00	\$845.77	\$0.00	
	224.419	05/29/09	06/04/13	\$2,273.36	\$1,674.79	\$0.00	\$598.57	\$0.00	
	212.355	06/30/09	06/04/13	\$2,151.15	\$1,651.57	\$0.00	\$499.58	\$0.00	
	199.462	07/31/09	06/04/13	\$2,020.55	\$1,647.39	\$0.00	\$373.16	\$0.00	
	138.450	08/31/09	06/04/13	\$1,402.50	\$1,178.88	\$0.00	\$223.62	\$0.00	
	129.836	09/30/09	06/04/13	\$1,315.24	\$1,174.46	\$0.00	\$140.78	\$0.00	
	109.796	10/30/09	06/04/13	\$1,112.23	\$1,013.70	\$0.00	\$98.53	\$0.00	
	130.898	11/30/09	06/04/13	\$1,326.00	\$1,220.10	\$0.00	\$105.90	\$0.00	
Security Subtotal	5,724.844			\$57,992.62	\$37,638.41	\$0.00	\$20,354.21	\$0.00	
SENIOR HSG TRST 5625 *42AU01	CUSIP: 81721M208	Symbol (Box 1d): SNHN							
	2,000.000	07/17/12	12/04/13	\$38,918.43	\$50,000.00	\$0.00	(\$11,081.57)	\$0.00	
TEMPLETON GLOBAL BD FD ADV	CUSIP: 880208400	Symbol (Box 1d): TGBAX							
	3,067.485	03/10/09	06/13/13	\$40,122.70	\$32,223.65	\$0.00	\$7,899.05	\$0.00	
	2,773.376	03/10/09	08/27/13	\$35,000.00	\$29,134.07	\$0.00	\$5,865.93	\$0.00	
Security Subtotal	5,840.861			\$75,122.70	\$61,357.72	\$0.00	\$13,764.98	\$0.00	

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Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-3134339
Account Number: 759 019928 037

Customer Service: 866-324-6088

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
WALT DISNEY CO 4500 13DE15		CUSIP: 254687AW6	Symbol (Box 1d):						
	5,000.000	03/12/09	10/01/13	\$5,040.90	\$5,003.02	\$0.00	\$37.88	\$0.00	
	1,000.000	09/30/09	10/01/13	\$1,008.18	\$1,008.18	\$0.00	\$0.00	\$0.00	
Security Subtotal	6,000.000			\$6,049.08	\$6,011.20	\$0.00	\$37.88	\$0.00	
WELLS FARGO INTRINSIC VAL AD		CUSIP: 94975P538	Symbol (Box 1d): EIVDX						
	1,564.945	10/15/10	10/07/13	\$20,000.00	\$17,948.40	\$0.00	\$2,051.60	\$0.00	
Total Long Term Noncovered Securities				\$505,804.07	\$460,709.66	\$0.00	\$45,094.42	\$0.00	
Total Long Term Covered and Noncovered Securities				\$558,361.49	\$518,154.11	\$0.00	\$40,207.39	\$0.00	
Total Short and Long Term, Covered and Noncovered Securities				\$859,210.16	\$851,673.69	\$0.00	\$7,536.48	\$0.00	
Form 1099-B Total Reportable Amounts									
Total Sales Price (Box 2a)				\$859,210.16					
Total Cost or Other Basis (Box 3)					\$390,964.03				
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 2013KLEIN FAMILY FOUNDATION INC.
ATTENTION CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorNew York, NY 10004
Identification Number: 26-4310632Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

Customer Service: 866-324-6088

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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)	NOTES
AGILENT TECHNOLOGIES		CUSIP: 00846U101	Symbol (Box 1d): A						
	168,000	05/23/12	03/19/13	\$7,032.76	\$6,832.31	\$0.00	\$200.45	\$0.00	
AMERIPRISE FINCL INC		CUSIP: 03076C106	Symbol (Box 1d): AMP						
	16,000	12/03/12	07/12/13	\$1,383.84	\$977.03	\$0.00	\$406.81	\$0.00	
AMERISOURCEBERGEN CORP		CUSIP: 03073E105	Symbol (Box 1d): ABC						
	17,000	01/28/13	05/15/13	\$932.51	\$766.56	\$0.00	\$165.95	\$0.00	
	14,000	01/28/13	07/12/13	\$813.71	\$631.29	\$0.00	\$182.42	\$0.00	
	10,000	03/25/13	07/12/13	\$581.22	\$506.46	\$0.00	\$74.76	\$0.00	
	11,000	03/25/13	08/13/13	\$640.54	\$557.10	\$0.00	\$83.44	\$0.00	
	17,000	04/19/13	08/13/13	\$989.93	\$944.88	\$0.00	\$45.05	\$0.00	
	6,000	05/28/13	08/13/13	\$349.39	\$326.36	\$0.00	\$23.03	\$0.00	
Security Subtotal	75,000			\$4,307.30	\$3,732.65	\$0.00	\$574.65	\$0.00	
BANCO SANTANDER S.A		CUSIP: 05964H105	Symbol (Box 1d): SAN						
	69,000	04/20/12	01/30/13	\$597.97	\$431.61	\$0.00	\$166.36	\$0.00	
BB & T CORP		CUSIP: 054937107	Symbol (Box 1d): BBT						
	16,000	06/05/12	05/13/13	\$507.80	\$444.71	\$0.00	\$63.09	\$0.00	
BED BATH & BEYOND INC		CUSIP: 075896100	Symbol (Box 1d): BBBY						
	86,000	08/16/12	05/13/13	\$5,935.57	\$5,662.46	\$0.00	\$273.11	\$0.00	
	22,000	08/16/12	05/13/13	\$1,518.40	\$1,448.54	\$0.00	\$69.86	\$0.00	
Security Subtotal	108,000			\$7,453.97	\$7,111.00	\$0.00	\$342.97	\$0.00	
BG GROUP PLC		CUSIP: 055434203	Symbol (Box 1d): BRGY						
	36,000	09/27/12	09/20/13	\$693.11	\$740.36	\$0.00	(\$47.25)	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

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Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza

8th Floor

New York, NY 10004

Identification Number: 26-4310632

KLEIN FAMILY FOUNDATION INC.

ATTENTION: CARLA KLEIN

42 TUCKAHOE RD

EASTON CT 06612-2054

Taxpayer ID Number: 26-3134339

Account Number: 759 019935 037

Customer Service: 866-324-6088

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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 ACQUIRED (Box 1e) (Box 1f)	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)	NOTES
CAMERON INTNL CORP	CUSIP: 13342B105	Symbol (Box 1d): CAM							
	31,000	11/04/13	12/26/13	\$1,844.69	\$1,707.25	\$0.00	\$137.44	\$0.00	
CAPITAL ONE FINANCIAL CORP	CUSIP: 14040H105	Symbol (Box 1d): COF							
	4,000	06/04/12	03/05/13	\$215.38	\$193.52	\$0.00	\$21.86	\$0.00	
	8,000	06/04/12	03/25/13	\$432.40	\$387.04	\$0.00	\$45.36	\$0.00	
	46,000	10/31/12	03/25/13	\$2,486.28	\$2,769.31	\$0.00	(\$283.03)	\$0.00	
Security Subtotal	58,000			\$3,134.06	\$3,349.87	\$0.00	(\$215.81)	\$0.00	
CARREFOUR SA SPONSORED ADR	CUSIP: 144430204	Symbol (Box 1d): CRRFY							
	135,000	08/06/12	06/07/13	\$750.68	\$522.45	\$0.00	\$228.23	\$0.00	
CATERPILLAR INC	CUSIP: 149123101	Symbol (Box 1d): CAT							
	13,000	03/25/13	11/20/13	\$1,075.81	\$1,123.49	\$0.00	(\$47.68)	\$0.00	
CELGENE CORP	CUSIP: 151020104	Symbol (Box 1d): CELG							
	8,000	06/28/12	01/28/13	\$788.91	\$492.35	\$0.00	\$296.56	\$0.00	
	20,000	07/12/12	01/28/13	\$1,972.29	\$1,262.31	\$0.00	\$709.98	\$0.00	
Security Subtotal	28,000			\$2,761.20	\$1,754.66	\$0.00	\$1,006.54	\$0.00	
CISCO SYS INC	CUSIP: 17275R102	Symbol (Box 1d): CSCO							
	110,000	07/12/13	12/04/13	\$2,327.68	\$2,835.72	\$0.00	(\$508.04)	\$0.00	
	40,000	08/13/13	12/04/13	\$846.43	\$1,050.77	\$0.00	(\$204.34)	\$0.00	
Security Subtotal	150,000			\$3,174.11	\$3,886.49	\$0.00	(\$712.38)	\$0.00	
COACH INC	CUSIP: 189754104	Symbol (Box 1d): COH							
	16,000	03/25/13	12/04/13	\$897.60	\$796.53	\$0.00	\$101.07	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorKLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054New York, NY 10004
Identification Number: 26-4310632Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

Customer Service: 866-324-6088

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
CREDIT SUISSE GROUP	CUSIP: 225401108	Symbol (Box 1d): CS							
	0.439	06/01/12	05/20/13	\$12.78	\$8.18	\$0.00	\$4.60	\$0.00	
DEUTSCHE TELEKOM AG 1 ORD 1ADS	CUSIP: 251566105	Symbol (Box 1d): DTEGY							
	140.000	12/03/12	03/25/13	\$1,518.11	\$1,566.25	\$0.00	(\$48.14)	\$0.00	
DU PONT EI DE NEMOURS & CO	CUSIP: 263534109	Symbol (Box 1d): DD							
	35.000	02/01/13	09/09/13	\$2,014.07	\$1,679.86	\$0.00	\$334.21	\$0.00	
	14.000	03/25/13	09/09/13	\$805.63	\$685.30	\$0.00	\$120.33	\$0.00	
Security Subtotal	49.000			\$2,819.70	\$2,365.16	\$0.00	\$454.54	\$0.00	
EDWARD LIFESCIENCES CORP	CUSIP: 28176E108	Symbol (Box 1d): EW							
	102.000	03/19/13	05/28/13	\$6,642.76	\$8,028.99	\$0.00	(\$1,386.23)	\$0.00	
ELAN PLC ADR	CUSIP: 284131208	Symbol (Box 1d):							
	96.000	01/25/13	10/31/13	\$1,590.60	\$976.58	\$0.00	\$614.02	\$0.00	
EMC CORP MASS	CUSIP: 268648102	Symbol (Box 1d): EMC							
	8.000	12/03/12	07/10/13	\$196.40	\$199.22	\$0.00	(\$2.82)	\$0.00	
	16.000	12/03/12	07/10/13	\$392.79	\$398.44	\$0.00	(\$5.65)	\$0.00	
	30.000	12/03/12	07/10/13	\$736.46	\$747.07	\$10.61	(\$10.61)	\$0.00	
Security Subtotal	54.000			\$1,325.65	\$1,344.73	\$10.61	(\$19.08)	\$0.00	
EOG RESOURCES INC	CUSIP: 26875P101	Symbol (Box 1d): EOG							
	5.000	08/29/12	08/13/13	\$784.89	\$542.48	\$0.00	\$242.41	\$0.00	
	9.000	04/19/13	12/26/13	\$1,512.64	\$1,021.43	\$0.00	\$491.21	\$0.00	
Security Subtotal	14.000			\$2,297.53	\$1,563.91	\$0.00	\$733.62	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorKLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054New York, NY 10004
Identification Number: 26-4310632Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

Customer Service: 866-324-6088

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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 ACQUIRED (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
EXELON CORP		CUSIP: 30161N101	Symbol (Box 1d): EXG						
	36.000	02/20/13	08/20/13	\$1,078.08	\$1,091.36	\$0.00	(\$13.28)	\$0.00	
FASTENAL CO		CUSIP: 311900104	Symbol (Box 1d): FAST						
	112.000	02/01/13	08/20/13	\$5,019.74	\$5,664.67	\$0.00	(\$644.93)	\$0.00	
	46.000	02/01/13	08/21/13	\$2,051.12	\$2,326.56	\$0.00	(\$275.44)	\$0.00	
Security Subtotal	158.000			\$7,070.86	\$7,991.23	\$0.00	(\$920.37)	\$0.00	
FORTUNE BRANDS HOME & SEC INC		CUSIP: 34964C106	Symbol (Box 1d): FBHS						
	9.000	04/30/12	01/28/13	\$289.13	\$203.45	\$0.00	\$85.68	\$0.00	
	14.000	04/30/12	04/29/13	\$510.81	\$316.47	\$0.00	\$194.34	\$0.00	
Security Subtotal	23.000			\$799.94	\$519.92	\$0.00	\$280.02	\$0.00	
HERBALIFE		CUSIP: G4412G101	Symbol (Box 1d): HLF						
	20.000	06/21/12	04/29/13	\$766.77	\$946.18	\$0.00	(\$179.41)	\$0.00	
HUMANA INC		CUSIP: 444859102	Symbol (Box 1d): HUM						
	22.000	01/28/13	04/19/13	\$1,599.39	\$1,647.17	\$0.00	(\$47.78)	\$0.00	
INTL BUSINESS MACHINES CORP		CUSIP: 459200101	Symbol (Box 1d): IBM						
	1.000	03/25/13	08/09/13	\$187.62	\$210.13	\$0.00	(\$22.51)	\$0.00	
	4.000	03/25/13	10/16/13	\$742.34	\$840.53	\$0.00	(\$98.19)	\$0.00	
Security Subtotal	5.000			\$929.96	\$1,050.66	\$0.00	(\$120.70)	\$0.00	
KODIAK OIL & GAS CORP		CUSIP: 50015Q100	Symbol (Box 1d): KOG						
	48.000	03/04/13	09/19/13	\$541.44	\$426.95	\$0.00	\$114.49	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

Customer Service: 866-324-6088

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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 ACQUIRED (Box 1e)	DATE OF SALE (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
LEIDOS HLDGS INC	CUSIP: 525327102	Symbol (Box 1d): LDOS							
	0.500	01/29/13	10/03/13	\$22.79	\$16.76	\$0.00	\$6.03	\$0.00	
LLOYDS BANKING GROUP PLC	CUSIP: 539439109	Symbol (Box 1d): LYG							
	343.000	06/01/12	01/11/13	\$1,189.94	\$541.39	\$0.00	\$648.55	\$0.00	
MICROSOFT CORP	CUSIP: 594918104	Symbol (Box 1d): MSFT							
	87.000	11/02/12	06/21/13	\$2,881.60	\$2,584.65	\$0.00	\$296.95	\$0.00	
	11.000	03/25/13	06/21/13	\$364.33	\$309.21	\$0.00	\$55.12	\$0.00	
	46.000	11/02/12	08/13/13	\$1,485.78	\$1,366.60	\$0.00	\$119.18	\$0.00	
	76.000	11/02/12	10/16/13	\$2,635.41	\$2,257.85	\$0.00	\$377.56	\$0.00	
	54.000	03/25/13	10/16/13	\$1,872.53	\$1,517.94	\$0.00	\$354.59	\$0.00	
Security Subtotal	274.000	\$9,239.65			\$8,036.25	\$0.00	\$1,203.40	\$0.00	
NATIONAL OILWELL VARCO INC	CUSIP: 637071101	Symbol (Box 1d): NOV							
	16.000	06/20/12	05/17/13	\$1,099.76	\$1,069.74	\$0.00	\$30.02	\$0.00	
	1.000	06/20/12	05/17/13	\$68.74	\$66.86	\$0.00	\$1.88	\$0.00	
	13.000	06/20/12	05/17/13	\$893.55	\$869.00	\$0.00	\$24.55	\$0.00	
	14.000	07/12/12	07/12/13	\$1,017.42	\$938.27	\$0.00	\$79.15	\$0.00	
	5.000	12/03/12	07/12/13	\$363.36	\$340.22	\$0.00	\$23.14	\$0.00	
	11.000	12/03/12	11/04/13	\$888.99	\$748.47	\$0.00	\$140.52	\$0.00	
	14.000	12/03/12	11/04/13	\$1,131.45	\$952.60	\$0.00	\$178.85	\$0.00	
Security Subtotal	74.000	\$5,463.27			\$4,985.16	\$0.00	\$478.11	\$0.00	
NORTHERN OIL AND GAS INC	CUSIP: 665531109	Symbol (Box 1d): NOG							
	15.000	05/15/12	04/04/13	\$198.87	\$267.20	\$0.00	(\$68.33)	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorKLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054New York, NY 10004
Identification Number: 26-4310632Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

Customer Service: 866-324-6088

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
ORACLE CORP	CUSIP: 68389X105	Symbol (Box 1d): ORCL							
	38.000	03/25/13	10/16/13	\$1,252.85	\$1,189.36	\$0.00	\$63.49	\$0.00	
PEARSON PLC SP ADR	CUSIP: 705015105	Symbol (Box 1d): PSO							
	24.000	05/16/12	03/06/13	\$425.27	\$442.32	\$0.00	(\$17.05)	\$0.00	
	42.000	05/16/12	03/15/13	\$765.02	\$774.05	\$0.00	(\$9.03)	\$0.00	
Security Subtotal	66.000			\$1,190.29	\$1,216.37	\$0.00	(\$26.08)	\$0.00	
PERRIGO CO	CUSIP: 714290103	Symbol (Box 1d):							
	11.000	12/20/12	12/19/13	\$0.11	\$0.07	\$0.00	\$0.04	\$0.00	
	62.000	12/20/12	12/19/13	\$0.62	\$0.41	\$0.00	\$0.21	\$0.00	
	0.000	12/20/12	12/19/13	\$9,631.06	\$6,413.09	\$0.00	\$3,217.97	\$0.00	
	0.000	12/20/12	12/19/13	\$1,708.73	\$1,137.81	\$0.00	\$570.92	\$0.00	
	0.000	11/11/13	12/19/13	\$1,553.40	\$1,492.08	\$0.00	\$61.32	\$0.00	
	10.000	11/11/13	12/19/13	\$0.10	\$0.10	\$0.00	\$0.00	\$0.00	
Security Subtotal	83.000			\$12,894.02	\$9,043.56	\$0.00	\$3,850.46	\$0.00	
PHILIP MORRIS INTL INC	CUSIP: 718172109	Symbol (Box 1d): PM							
	8.000	05/11/12	01/28/13	\$712.16	\$686.69	\$0.00	\$25.47	\$0.00	
PNC FINL SVCS GP	CUSIP: 693475105	Symbol (Box 1d): PNC							
	3.000	01/28/13	11/20/13	\$226.38	\$186.64	\$0.00	\$39.74	\$0.00	
POTASH CP OF SASKATCHEWAN INC	CUSIP: 73755L107	Symbol (Box 1d): POT							
	17.000	08/28/12	07/31/13	\$512.11	\$695.49	\$0.00	(\$183.38)	\$0.00	
	12.000	05/03/13	07/31/13	\$361.49	\$504.97	\$0.00	(\$143.48)	\$0.00	
	2.000	05/03/13	09/16/13	\$65.81	\$84.16	\$0.00	(\$18.35)	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

Customer Service: 866-324-6088

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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)	NOTES
POTASH CP OF SASKATCHEWAN	11 000	05/03/13	09/16/13	\$361.95	\$462.88	\$0.00	(\$100.93)	\$0.00	
	1 000	05/31/13	09/16/13	\$32.90	\$42.21	\$0.00	(\$9.31)	\$0.00	
	12 000	05/31/13	09/16/13	\$394.85	\$506.52	\$0.00	(\$111.67)	\$0.00	
	2 000	06/14/13	09/16/13	\$65.81	\$80.68	\$0.00	(\$14.87)	\$0.00	
	3 000	06/14/13	09/16/13	\$98.72	\$121.02	\$0.00	(\$22.30)	\$0.00	
	11 000	06/14/13	11/19/13	\$356.83	\$443.74	\$0.00	(\$86.91)	\$0.00	
	1 000	06/26/13	11/19/13	\$32.44	\$38.89	\$0.00	(\$6.45)	\$0.00	
	27 000	06/26/13	11/19/13	\$875.86	\$1,049.95	\$0.00	(\$174.09)	\$0.00	
Security Subtotal	99 000			\$3,158.77	\$4,030.51	\$0.00	(\$871.74)	\$0.00	
ROGERS COMM INC CL B (BC)		CUSIP: 775109200	Symbol (Box 1d): RCI						
	37 000	08/07/12	03/25/13	\$1,827.64	\$1,495.67	\$0.00	\$331.97	\$0.00	
	33 000	10/31/12	03/25/13	\$1,630.05	\$1,451.87	\$0.00	\$178.18	\$0.00	
Security Subtotal	70 000			\$3,457.69	\$2,947.54	\$0.00	\$510.15	\$0.00	
SODEXO		CUSIP: 833792104	Symbol (Box 1d): SDXAY						
	10 000	02/20/13	08/27/13	\$905.48	\$938.07	\$0.00	(\$32.59)	\$0.00	
STATE STREET CORP		CUSIP: 857477103	Symbol (Box 1d): STT						
	19 000	08/29/12	07/12/13	\$1,311.18	\$785.58	\$0.00	\$525.60	\$0.00	
VERIFONE SYSTEMS INC		CUSIP: 92342Y109	Symbol (Box 1d): PAY						
	39 000	01/24/13	02/28/13	\$742.93	\$1,382.21	\$0.00	(\$639.28)	\$0.00	
VERIZON COMMUNICATIONS		CUSIP: 92343V104	Symbol (Box 1d): VZ						
	35 000	03/25/13	08/13/13	\$1,724.18	\$1,719.62	\$0.00	\$4.56	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

New York, NY 10004
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Taxpayer ID Number: 26-3134339
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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)	NOTES
VOLVO AB ADR B	53 000	09/21/12	07/18/13	\$752.46	\$748.31	\$0.00	\$4.15	\$0.00	
Total Short Term Covered Securities				\$109,051.38	\$101,658.90	\$10.61	\$7,392.48	\$0.00	

Corporate Tax Statement
Tax Year 2013KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorNew York, NY 10004
Identification Number: 26-4310632Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

Customer Service: 866-324-6088

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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)	NOTES
CST BRANDS INC COM		CUSIP: 12646R105	Symbol (Box 1d): CST						
	0.778	11/15/12	05/01/13	\$23.69	\$16.84	\$0.00	\$6.85	\$0.00	
	4.000	11/15/12	05/07/13	\$123.70	\$86.58	\$0.00	\$37.12	\$0.00	
Security Subtotal	4.778			\$147.39	\$103.42	\$0.00	\$43.97	\$0.00	
KEPPEL CORP LTD ADR SPONSORED		CUSIP: 492051305	Symbol (Box 1d): KPELY						
	0.000	06/18/13	06/18/13	\$75.37	\$0.00	\$0.00	\$75.37	\$0.00	
	0.000	10/07/13	10/07/13	\$24.50	\$0.00	\$0.00	\$24.50	\$0.00	
Security Subtotal	0.000			\$99.87	\$0.00	\$0.00	\$99.87	\$0.00	
OSRAM LIGHT AG SALE PROCEEDS		CUSIP: D59699989	Symbol (Box 1d):						
	8.000	08/03/12	07/26/13	\$24.05	\$24.79	\$0.00	(\$0.74)	\$0.00	
REXAM PLC SPONSADR COMNOPA		CUSIP: 761655505	Symbol (Box 1d): REXMY						
	0.000	01/29/13	01/29/13	\$7.00	\$0.00	\$0.00	\$7.00	\$0.00	
SCIENCE APPLICATIONS INTL CP		CUSIP: 808625107	Symbol (Box 1d): SAIC						
	0.998	01/29/13	09/27/13	\$32.39	\$26.26	\$0.00	\$6.13	\$0.00	
SPDR GOLD TR GOLD SHS		CUSIP: 78463V107	Symbol (Box 1d):						
	0.000		01/07/13	\$1.26	\$0.00	\$0.00	\$0.00	\$0.00	CT
	0.000		02/21/13	\$1.30	\$0.00	\$0.00	\$0.00	\$0.00	CT
	0.000		03/12/13	\$1.27	\$0.00	\$0.00	\$0.00	\$0.00	CT
	0.000		04/09/13	\$1.30	\$0.00	\$0.00	\$0.00	\$0.00	CT
	0.000		05/10/13	\$1.34	\$0.00	\$0.00	\$0.00	\$0.00	CT
	0.000		06/17/13	\$1.17	\$0.00	\$0.00	\$0.00	\$0.00	CT
Security Subtotal	0.000			\$7.64	\$0.00	\$0.00	\$0.00	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

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Corporate Tax Statement Tax Year 2013

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

Customer Service: 866-324-6088

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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 - 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.)
(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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
TNT EXPRESS NV	CUSIP: 87262N109	0.000	03/01/13	05/14/13	\$7.72	\$0.00	\$7.72	\$0.00	
					\$326.06	\$0.00	\$163.95	\$0.00	
Total Short Term Noncovered Securities					\$109,377.44	\$101,813.37	\$10.61	\$7,556.43	\$0.00
Total Short Term Covered and Noncovered Securities									

Corporate Tax Statement
Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

New York, NY 10004
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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)	NOTES
ACCENTURE PLC IRELAND CL A		CUSIP: G1151C101	Symbol (Box 1d): ACN						
	34.000	06/16/11	07/19/13	\$2,541.64	\$1,834.35	\$0.00	\$707.29	\$0.00	
	20.000	06/16/11	07/19/13	\$1,495.07	\$1,079.03	\$0.00	\$416.04	\$0.00	
Security Subtotal	54.000			\$4,036.71	\$2,913.38	\$0.00	\$1,123.33	\$0.00	
ACE LTD		CUSIP: H0023R105	Symbol (Box 1d): ACE						
	1.000	04/26/11	07/12/13	\$92.54	\$65.32	\$0.00	\$27.22	\$0.00	
	7.000	04/26/11	07/12/13	\$647.86	\$457.25	\$0.00	\$190.61	\$0.00	
	4.000	05/06/11	07/12/13	\$370.21	\$268.34	\$0.00	\$101.87	\$0.00	
Security Subtotal	12.000			\$1,110.61	\$790.91	\$0.00	\$319.70	\$0.00	
AMERICA MOVIL SA DE CV ADR L		CUSIP: 02364W105	Symbol (Box 1d): AMX						
	7.000	11/16/11	12/10/13	\$158.11	\$173.16	\$0.00	(\$15.05)	\$0.00	
	20.000	04/05/12	12/10/13	\$451.75	\$481.90	\$0.00	(\$30.15)	\$0.00	
	13.000	05/02/12	12/10/13	\$293.63	\$351.30	\$0.00	(\$57.67)	\$0.00	
Security Subtotal	40.000			\$903.49	\$1,006.36	\$0.00	(\$102.87)	\$0.00	
AMERICAN CAPITAL AGENCY		CUSIP: 02503X105	Symbol (Box 1d): AGNC						
	30.000	06/08/11	06/03/13	\$757.55	\$919.50	\$0.00	(\$161.95)	\$0.00	
AMERICAN ELECTRIC POWER CO		CUSIP: 025537101	Symbol (Box 1d): AEP						
	8.000	10/21/11	10/16/13	\$346.54	\$312.66	\$0.00	\$33.88	\$0.00	
AMERICAN TOWER REIT COM		CUSIP: 03027X100	Symbol (Box 1d): AMT						
	98.000	10/03/11	07/19/13	\$7,328.37	\$5,255.68	\$0.00	\$2,072.69	\$0.00	
	6.000	11/16/11	07/19/13	\$448.68	\$346.68	\$0.00	\$102.00	\$0.00	
Security Subtotal	104.000			\$7,777.05	\$5,602.36	\$0.00	\$2,174.69	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorKLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054New York, NY 10004
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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
AMERIPRISE FINCL INC	CUSIP: 03076C106	Symbol (Box 1d): AMP							
	4 000	01/11/12	07/12/13	\$345.96	\$207.39	\$0.00	\$138.57	\$0.00	
	20 000	02/13/12	07/12/13	\$1,729.80	\$1,097.98	\$0.00	\$631.82	\$0.00	
Security Subtotal	24 000			\$2,075.76	\$1,305.37	\$0.00	\$770.39	\$0.00	
ANNALY CAPITAL MNGMT INC	CUSIP: 035710409	Symbol (Box 1d): NLY							
	2 000	11/16/11	12/10/13	\$20.38	\$32.96	\$0.00	(\$12.58)	\$0.00	
	28 000	11/16/11	12/10/13	\$285.34	\$461.11	\$0.00	(\$175.77)	\$0.00	
	50 000	08/06/12	12/10/13	\$509.52	\$840.49	\$0.00	(\$330.97)	\$0.00	
Security Subtotal	80 000			\$815.24	\$1,334.56	\$0.00	(\$519.32)	\$0.00	
BAIDU INC ADS	CUSIP: 056752108	Symbol (Box 1d): BIDU							
	7 000	07/11/12	09/25/13	\$1,061.02	\$769.73	\$0.00	\$291.29	\$0.00	
	4 000	07/12/12	10/18/13	\$654.32	\$428.53	\$0.00	\$225.79	\$0.00	
	1 000	07/24/12	10/18/13	\$163.58	\$116.28	\$0.00	\$47.30	\$0.00	
Security Subtotal	12 000			\$1,878.92	\$1,314.54	\$0.00	\$564.38	\$0.00	
BANCO SANTANDER S.A	CUSIP: 05964H105	Symbol (Box 1d): SAN							
	35 000	01/25/11	01/30/13	\$303.32	\$417.99	\$0.00	(\$114.67)	\$0.00	
	14 000	11/16/11	01/30/13	\$121.33	\$105.28	\$0.00	\$16.05	\$0.00	
Security Subtotal	49 000			\$424.65	\$523.27	\$0.00	(\$98.62)	\$0.00	
BB & T CORP	CUSIP: 054937107	Symbol (Box 1d): BBT							
	218 000	02/07/12	05/13/13	\$6,918.72	\$6,331.35	\$0.00	\$587.37	\$0.00	

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Corporate Tax Statement
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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 (Continued) (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 ACQUIRED (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
BG GROUP PLC		CUSIP: 055434203	Symbol (Box 1d): BRGY						
	15 000	08/09/11	09/20/13	\$288.79	\$301.77	\$0.00	(\$12.98)	\$0.00	\$0.00
	15 000	11/16/11	09/20/13	\$288.79	\$323.70	\$0.00	(\$34.91)	\$0.00	\$0.00
Security Subtotal	30 000			\$577.58	\$625.47	\$0.00	(\$47.89)	\$0.00	\$0.00
BOSTON PROPERTIES INC		CUSIP: 101121101	Symbol (Box 1d): BXP						
	6 000	07/29/11	10/16/13	\$649.18	\$644.71	\$0.00	\$4.47	\$0.00	\$0.00
	7 000	08/24/11	10/16/13	\$757.37	\$703.69	\$0.00	\$53.68	\$0.00	\$0.00
	7 000	12/13/11	10/16/13	\$757.37	\$655.84	\$0.00	\$101.53	\$0.00	\$0.00
Security Subtotal	20 000			\$2,163.92	\$2,004.24	\$0.00	\$159.68	\$0.00	\$0.00
BRAMBLES LTD UNSPON ADR		CUSIP: 105105100	Symbol (Box 1d): BMBLY						
	18 000	06/15/11	05/21/13	\$325.34	\$280.82	\$0.00	\$44.52	\$0.00	\$0.00
	36 000	06/15/11	07/17/13	\$620.29	\$561.64	\$0.00	\$58.65	\$0.00	\$0.00
Security Subtotal	54 000			\$945.63	\$842.46	\$0.00	\$103.17	\$0.00	\$0.00
CABLEVISION SYSTEMS CORP		CUSIP: 12686C109	Symbol (Box 1d): CVC						
	9 000	07/29/11	07/30/13	\$168.75	\$220.77	\$0.00	(\$52.02)	\$0.00	\$0.00
	22 000	07/29/11	10/02/13	\$374.29	\$539.65	\$0.00	(\$165.36)	\$0.00	\$0.00
	73 000	11/16/11	10/02/13	\$1,241.96	\$1,117.53	\$0.00	\$124.43	\$0.00	\$0.00
	21 000	01/31/12	10/02/13	\$357.28	\$304.03	\$0.00	\$53.25	\$0.00	\$0.00
Security Subtotal	125 000			\$2,142.28	\$2,181.98	\$0.00	(\$39.70)	\$0.00	\$0.00
CANON INC ADR NEW		CUSIP: 138006309	Symbol (Box 1d): CAJ						
	14 000	04/27/11	02/04/13	\$496.53	\$636.98	\$0.00	(\$140.45)	\$0.00	\$0.00
	4 000	07/26/11	02/04/13	\$141.86	\$199.45	\$0.00	(\$57.59)	\$0.00	\$0.00
Security Subtotal	18 000			\$638.39	\$836.43	\$0.00	(\$198.04)	\$0.00	\$0.00

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632
Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Customer Service: 866-324-6088

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
CAP GEMINI SA ADR									
	CUSIP: 139098107	Symbol (Box 1d): CGEMY							
	11 000	02/09/11	01/08/13	\$236.93	\$299.86	\$0.00	(\$62.93)	\$0.00	
	1,000	02/11/11	01/08/13	\$21.54	\$26.78	\$0.00	(\$5.24)	\$0.00	
	32,000	03/11/11	01/08/13	\$689.26	\$897.20	\$0.00	(\$207.94)	\$0.00	
	18 000	03/11/11	01/22/13	\$416.60	\$504.67	\$0.00	(\$88.07)	\$0.00	
	16 000	11/16/11	01/22/13	\$370.32	\$296.32	\$0.00	\$74.00	\$0.00	
Security Subtotal	78,000			\$1,734.65	\$2,024.83	\$0.00	(\$290.18)	\$0.00	
CAPITAL ONE FINANCIAL CORP									
	CUSIP: 14040H105	Symbol (Box 1d): COF							
	100 000	03/10/11	03/05/13	\$5,384.53	\$4,830.68	\$0.00	\$553.85	\$0.00	
	14,000	03/10/11	03/05/13	\$753.83	\$676.30	\$0.00	\$77.53	\$0.00	
	8,000	11/16/11	03/25/13	\$432.40	\$341.97	\$0.00	\$90.43	\$0.00	
Security Subtotal	122,000			\$6,570.76	\$5,848.95	\$0.00	\$721.81	\$0.00	
CARREFOUR SA SPONSORED ADR									
	CUSIP: 144430204	Symbol (Box 1d): CRRFY							
	89 000	03/16/12	06/07/13	\$494.89	\$449.39	\$0.00	\$45.50	\$0.00	
CENTRAIS ELEC BRAS SP ADR CM									
	CUSIP: 15234QZ07	Symbol (Box 1d): EBR							
	36 000	08/05/11	11/01/13	\$110.89	\$397.49	\$0.00	(\$286.60)	\$0.00	
	37 000	08/15/11	11/01/13	\$113.97	\$388.52	\$0.00	(\$274.55)	\$0.00	
	9 000	11/16/11	11/01/13	\$27.72	\$87.93	\$0.00	(\$60.21)	\$0.00	
	76,000	10/12/12	11/01/13	\$234.10	\$450.66	\$0.00	(\$216.56)	\$0.00	
Security Subtotal	158,000			\$486.68	\$1,324.60	\$0.00	(\$837.92)	\$0.00	
CENTURYLINK INC									
	CUSIP: 156700106	Symbol (Box 1d): CTL							
	57 000	02/13/12	03/25/13	\$1,998.42	\$2,171.13	\$0.00	(\$172.71)	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

Customer Service: 866-324-6088

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
CGI GROUPE INC CL A	CUSIP: 39945C109	Symbol (Box 1d): GIB							
	8 000	04/29/11	09/12/13	\$261.46	\$175.39	\$0.00	\$86.07	\$0.00	
CIELO SA SPONSORED ADR NEW	CUSIP: 171778202	Symbol (Box 1d): CIOXY							
	0 200	09/27/11	05/09/13	\$5.18	\$3.31	\$0.00	\$1.87	\$0.00	
CITIC PACIFIC LTD SPONS ADR	CUSIP: 17304K102	Symbol (Box 1d): CTPCY							
	62,000	08/04/11	01/18/13	\$508.65	\$627.44	\$0.00	(\$118.79)	\$0.00	
	43,000	08/08/11	01/18/13	\$352.78	\$394.62	\$0.00	(\$41.84)	\$0.00	
	3,000	11/16/11	01/18/13	\$24.61	\$27.78	\$0.00	(\$3.17)	\$0.00	
Security Subtotal	108,000			\$886.04	\$1,049.84	\$0.00	(\$163.80)	\$0.00	
COACH INC	CUSIP: 189754104	Symbol (Box 1d): COH							
	98 000	09/15/11	01/30/13	\$5,063.20	\$5,651.01	\$0.00	(\$587.81)	\$0.00	
COCA COLA CO	CUSIP: 191216100	Symbol (Box 1d): KO							
	6,000	11/16/11	09/20/13	\$233.62	\$202.73	\$0.00	\$30.89	\$0.00	
COCA COLA HELLENIC BOTTLING	CUSIP: 1912EP104	Symbol (Box 1d):							
	4 000	11/16/11	03/01/13	\$107.24	\$70.44	\$0.00	\$36.80	\$0.00	
COMCAST CORP (NEW) CLASS A	CUSIP: 20030N101	Symbol (Box 1d): CMCSA							
	20 000	04/26/11	06/18/13	\$810.71	\$511.05	\$0.00	\$299.66	\$0.00	
	35,000	08/08/11	06/18/13	\$1,418.75	\$741.65	\$0.00	\$677.10	\$0.00	
Security Subtotal	55,000			\$2,229.46	\$1,252.70	\$0.00	\$976.76	\$0.00	
CREDIT SUISSE GROUP	CUSIP: 225401108	Symbol (Box 1d): CS							
	28 000	07/01/11	09/04/13	\$820.48	\$1,115.44	\$0.00	(\$294.96)	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorKLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054New York, NY 10004
Identification Number: 26-4310632Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

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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 ACQUIRED (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
DEERE & CO	CUSIP: 244199105	Symbol (Box 1d): DE							
	3.000	12/13/11	09/09/13	\$252.11	\$230.69	\$0.00	\$21.42	\$0.00	\$0.00
	4.000	03/20/12	09/09/13	\$336.14	\$330.56	\$0.00	\$5.58	\$0.00	\$0.00
	10.000	03/20/12	09/09/13	\$840.35	\$826.41	\$0.00	\$13.94	\$0.00	\$0.00
Security Subtotal	17.000			\$1,428.60	\$1,387.66	\$0.00	\$40.94	\$0.00	\$0.00
DENTSPLY INTERNATIONAL INC	CUSIP: 249030107	Symbol (Box 1d): XRAY							
	55.000	12/15/11	07/25/13	\$2,311.96	\$1,918.95	\$0.00	\$393.01	\$0.00	\$0.00
DEUTSCHE LUFTHANSA ADR	CUSIP: 251561304	Symbol (Box 1d): DLAKY							
	29.000	06/29/11	03/01/13	\$574.94	\$625.53	\$0.00	(\$50.59)	\$0.00	\$0.00
	3.000	10/27/11	03/01/13	\$59.48	\$45.26	\$0.00	\$14.22	\$0.00	\$0.00
Security Subtotal	32.000			\$634.42	\$670.79	\$0.00	(\$36.37)	\$0.00	\$0.00
DISCOVERY COMMUNICATIONS SER A	CUSIP: 25470F104	Symbol (Box 1d): DISCA							
	4.000	04/17/12	04/24/13	\$316.34	\$209.51	\$0.00	\$106.83	\$0.00	\$0.00
EMC CORP MASS	CUSIP: 268648102	Symbol (Box 1d): EMC							
	64.000	06/04/12	07/10/13	\$1,571.15	\$1,494.55	\$0.00	\$76.60	\$0.00	\$0.00
EOG RESOURCES INC	CUSIP: 26875P101	Symbol (Box 1d): EOG							
	14.000	08/29/12	11/04/13	\$2,550.20	\$1,518.93	\$0.00	\$1,031.27	\$0.00	\$0.00
	3.000	08/29/12	12/26/13	\$504.21	\$325.49	\$0.00	\$178.72	\$0.00	\$0.00
	6.000	12/03/12	12/26/13	\$1,008.43	\$712.95	\$0.00	\$295.48	\$0.00	\$0.00
Security Subtotal	23.000			\$4,062.84	\$2,557.37	\$0.00	\$1,505.47	\$0.00	\$0.00

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Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorKLEIN FAMILY FOUNDATION INC
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054New York, NY 10004
Identification Number: 26-4310632Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
EXELON CORP									
		CUSIP: 30161N101		Symbol (Box 1d): EXC					
	54.000	10/07/11	07/09/13	\$1,665.41	\$2,191.58	\$0.00	(\$526.17)	\$0.00	\$0.00
	4.000	11/18/11	07/09/13	\$123.36	\$177.16	\$0.00	(\$53.80)	\$0.00	\$0.00
	13.000	11/18/11	08/20/13	\$389.31	\$575.78	\$0.00	(\$186.47)	\$0.00	\$0.00
	13.000	01/31/12	08/20/13	\$389.31	\$471.20	\$0.00	(\$81.89)	\$0.00	\$0.00
	6.000	03/19/12	08/20/13	\$179.68	\$233.70	\$0.00	(\$54.02)	\$0.00	\$0.00
Security Subtotal	90.000			\$2,747.07	\$3,649.42	\$0.00	(\$902.35)	\$0.00	\$0.00
EXPEDITORS INTL WASH INC									
		CUSIP: 302130109		Symbol (Box 1d): EXPD					
	26.000	04/25/11	05/28/13	\$1,033.84	\$1,391.11	\$0.00	(\$357.27)	\$0.00	\$0.00
	1.000	11/16/11	05/28/13	\$39.76	\$44.85	\$0.00	(\$5.09)	\$0.00	\$0.00
Security Subtotal	27.000			\$1,073.60	\$1,435.96	\$0.00	(\$362.36)	\$0.00	\$0.00
FAMILY DOLLAR STORES									
		CUSIP: 307000109		Symbol (Box 1d): FDO					
	32.000	09/13/11	12/16/13	\$2,025.85	\$1,843.45	\$0.00	\$382.40	\$0.00	\$0.00
	2.000	11/16/11	12/16/13	\$126.62	\$113.86	\$0.00	\$12.76	\$0.00	\$0.00
Security Subtotal	34.000			\$2,152.47	\$1,957.31	\$0.00	\$395.16	\$0.00	\$0.00
FIRST NIAGARA FNCL GP NEW									
		CUSIP: 33582V108		Symbol (Box 1d): FNFG					
	16.000	09/20/11	03/26/13	\$140.79	\$164.97	\$0.00	(\$24.18)	\$0.00	\$0.00
	59.000	09/20/11	03/26/13	\$519.19	\$615.98	\$0.00	(\$96.79)	\$0.00	\$0.00
	59.000	12/07/11	03/26/13	\$519.19	\$530.41	\$0.00	(\$11.22)	\$0.00	\$0.00
Security Subtotal	134.000			\$1,179.17	\$1,311.36	\$0.00	(\$132.19)	\$0.00	\$0.00

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
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EASTON CT 06612-2054

New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-3134339
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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

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FOMENTO ECONOMICO MEXICANO	CUSIP: 344419106	Symbol (Box 1d): FMX							
	3.000	03/01/11	01/22/13	\$322.67	\$168.00	\$0.00	\$154.67	\$0.00	
	2.000	09/02/11	01/22/13	\$215.11	\$138.00	\$0.00	\$77.11	\$0.00	
Security Subtotal	5.000			\$537.78	\$306.00	\$0.00	\$231.78	\$0.00	
FRANCE TELECOM	CUSIP: 35177Q105	Symbol (Box 1d): FTX							
	17.000	10/14/11	06/17/13	\$173.43	\$309.72	\$0.00	(\$136.29)	\$0.00	
	11.000	11/16/11	06/17/13	\$112.23	\$186.78	\$0.00	(\$74.55)	\$0.00	
Security Subtotal	28.000			\$285.66	\$496.50	\$0.00	(\$210.84)	\$0.00	
FRESENIUS MEDICAL CARE AG&CO	CUSIP: 358029106	Symbol (Box 1d): FMS							
	6.000	11/16/11	08/07/13	\$193.49	\$208.98	\$0.00	(\$15.49)	\$0.00	
GALAXY ENTMTMT GRP LTD SPON ADR	CUSIP: 36318L104	Symbol (Box 1d): GXYEY							
	7.000	04/19/12	09/10/13	\$477.97	\$213.15	\$0.00	\$264.82	\$0.00	
GAZPROM O A O SPON ADR	CUSIP: 368287207	Symbol (Box 1d): OGZPY							
	45.000	08/03/11	07/03/13	\$294.41	\$623.42	\$0.00	(\$329.01)	\$0.00	
GDF SUEZ-SPON ADR	CUSIP: 36160B105	Symbol (Box 1d): GDFZY							
	5.000	07/29/11	04/17/13	\$101.47	\$164.00	\$0.00	(\$62.53)	\$0.00	
GOOGLE INC-CL A	CUSIP: 38259P508	Symbol (Box 1d): GOOG							
	6.000	02/02/11	03/25/13	\$4,844.55	\$3,673.28	\$0.00	\$1,171.27	\$0.00	
	1.000	02/02/11	03/25/13	\$807.42	\$612.21	\$0.00	\$195.21	\$0.00	
Security Subtotal	7.000			\$5,651.97	\$4,285.49	\$0.00	\$1,366.48	\$0.00	

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Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorKLEIN FAMILY FOUNDATION INC.
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EASTON CT 06612-2054New York, NY 10004
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H J HEINZ CO	CUSIP: 423074103	Symbol (Box 1d):							
	17 000	04/13/12	06/10/13	\$1,232.50	\$895.72	\$0.00	\$336.78	\$0.00	
HEALTH MGMT ASSOC CL A	CUSIP: 421933102	Symbol (Box 1d):							
	95 000	06/06/11	07/15/13	\$1,596.74	\$1,014.39	\$0.00	\$582.35	\$0.00	
	77 000	06/06/11	12/02/13	\$1,008.30	\$822.19	\$0.00	\$186.11	\$0.00	
	93 000	01/13/12	12/02/13	\$1,217.81	\$543.93	\$0.00	\$673.88	\$0.00	
Security Subtotal	265,000			\$3,822.85	\$2,380.51	\$0.00	\$1,442.34	\$0.00	
HERBALIFE	CUSIP: G4412G101	Symbol (Box 1d): HLF							
	13 000	01/05/11	04/04/13	\$512.29	\$447.69	\$0.00	\$64.60	\$0.00	
	1 000	01/05/11	04/29/13	\$38.34	\$34.44	\$0.00	\$3.90	\$0.00	
	10,000	03/23/11	04/29/13	\$383.38	\$402.00	\$0.00	(\$18.62)	\$0.00	
Security Subtotal	24,000			\$934.01	\$884.13	\$0.00	\$49.88	\$0.00	
HUDSON CITY BANCORP INC	CUSIP: 443683107	Symbol (Box 1d): HCBK							
	55 000	01/19/11	06/17/13	\$459.85	\$674.50	\$0.00	(\$214.65)	\$0.00	
	68,000	11/16/11	06/17/13	\$568.53	\$389.46	\$0.00	\$179.07	\$0.00	
Security Subtotal	123,000			\$1,028.38	\$1,063.96	\$0.00	(\$35.58)	\$0.00	
INTERNATIONAL CONS AIRLS GRP	CUSIP: 459348108	Symbol (Box 1d): ICAGY							
	7 000	01/31/12	09/04/13	\$156.63	\$98.49	\$0.00	\$58.14	\$0.00	
INTL BUSINESS MACHINES CORP	CUSIP: 459200101	Symbol (Box 1d): IBM							
	8 000	06/16/11	10/16/13	\$1,484.68	\$1,300.95	\$0.00	\$183.73	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

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Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorKLEIN FAMILY FOUNDATION INC.
ATTENTION CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054New York, NY 10004
Identification Number: 26-4310632Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

Customer Service: 866-324-6088

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
JOHNSON & JOHNSON	CUSIP: 478160104	Symbol (Box 1d): JNJ							
	5 000	06/16/11	03/25/13	\$398.45	\$331.41	\$0.00	\$67.04	\$0.00	
KEYCORP NEW	CUSIP: 493267108	Symbol (Box 1d): KEY							
	90 000	02/22/11	11/20/13	\$1,146.65	\$832.01	\$0.00	\$314.64	\$0.00	
KONINKLUKE PHIL EL SP ADR NEW	CUSIP: 500472303	Symbol (Box 1d): PHG							
	0.779	11/16/11	06/05/13	\$22.20	\$14.51	\$0.00	\$7.69	\$0.00	
	28 000	06/22/11	06/26/13	\$764.24	\$654.14	\$0.00	\$110.10	\$0.00	
	10 000	11/16/11	06/26/13	\$272.94	\$158.83	\$0.00	\$114.11	\$0.00	
Security Subtotal	38.779			\$1,059.38	\$827.48	\$0.00	\$231.90	\$0.00	
L OREAL CO ADR	CUSIP: 502117203	Symbol (Box 1d): LRLCY							
	18 000	08/23/11	02/20/13	\$540.29	\$417.60	\$0.00	\$122.69	\$0.00	
	14 000	08/23/11	04/23/13	\$474.59	\$324.80	\$0.00	\$149.79	\$0.00	
	28 000	09/13/11	04/23/13	\$949.17	\$547.68	\$0.00	\$401.49	\$0.00	
Security Subtotal	60.000			\$1,964.05	\$1,290.08	\$0.00	\$673.97	\$0.00	
LLOYDS BANKING GROUP PLC	CUSIP: 539439109	Symbol (Box 1d): LYG							
	105 000	06/01/12	06/14/13	\$411.59	\$165.73	\$0.00	\$245.86	\$0.00	
	110 000	06/01/12	10/09/13	\$518.09	\$173.62	\$0.00	\$344.47	\$0.00	
	125 000	06/01/12	11/01/13	\$625.31	\$197.30	\$0.00	\$428.01	\$0.00	
	110 000	06/01/12	12/04/13	\$554.41	\$173.62	\$0.00	\$380.79	\$0.00	
Security Subtotal	450.000			\$2,109.40	\$710.27	\$0.00	\$1,399.13	\$0.00	
LOWES COMPANIES INC	CUSIP: 548661107	Symbol (Box 1d): LOW							
	53 000	08/29/12	11/20/13	\$2,557.44	\$1,513.95	\$0.00	\$1,043.49	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
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8th Floor
New York, NY 10004
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Account Number: 759 019935 037
Customer Service: 866-324-6088

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
MICROSOFT CORP	CUSIP: 594918104	Symbol (Box 1d): MSFT							
	89,000	06/16/11	06/21/13	\$2,947.84	\$2,137.75	\$0.00	\$810.09	\$0.00	
	8,000	11/16/11	06/21/13	\$264.97	\$211.12	\$0.00	\$53.85	\$0.00	
Security Subtotal	97,000			\$3,212.81	\$2,348.87	\$0.00	\$863.94	\$0.00	
MUENCHENER RUECK-UNSPONS ADR	CUSIP: 626188106	Symbol (Box 1d): MURGY							
	28,000	03/17/11	01/11/13	\$503.70	\$431.28	\$0.00	\$72.42	\$0.00	
	18,000	03/25/11	01/11/13	\$323.81	\$278.10	\$0.00	\$45.71	\$0.00	
	20,000	11/16/11	01/11/13	\$359.78	\$242.60	\$0.00	\$117.18	\$0.00	
Security Subtotal	66,000			\$1,187.29	\$951.98	\$0.00	\$235.31	\$0.00	
NATIONAL OILWELL VARCO INC	CUSIP: 637071101	Symbol (Box 1d): NOV							
	12,000	01/11/11	05/17/13	\$824.83	\$798.09	\$0.00	\$26.74	\$0.00	
	77,000	01/11/11	05/17/13	\$5,292.63	\$5,121.04	\$0.00	\$171.59	\$0.00	
	2,000	11/16/11	05/17/13	\$137.47	\$144.78	\$0.00	(\$7.31)	\$0.00	
	1,000	06/20/12	07/12/13	\$72.67	\$66.86	\$0.00	\$5.81	\$0.00	
Security Subtotal	92,000			\$6,327.60	\$6,130.77	\$0.00	\$196.83	\$0.00	
NATL GRID TRANSCO PLC ADS	CUSIP: 636274300	Symbol (Box 1d): NGG							
	4,000	11/16/11	04/19/13	\$241.60	\$198.96	\$0.00	\$42.64	\$0.00	
	33,000	01/26/12	04/19/13	\$1,993.24	\$1,615.53	\$0.00	\$377.71	\$0.00	
Security Subtotal	37,000			\$2,234.84	\$1,814.49	\$0.00	\$420.35	\$0.00	

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Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-3134339
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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
NEXEN INC									
		CUSIP: 65334H102		Symbol (Box 1d): NXYZ					
	56,000	08/12/11	03/01/13	\$1,540.00	\$1,159.98	\$0.00	\$380.02	\$0.00	
	38,000	08/19/11	03/01/13	\$1,045.00	\$766.31	\$0.00	\$278.69	\$0.00	
	36,000	02/17/12	03/01/13	\$990.00	\$727.39	\$0.00	\$262.61	\$0.00	
Security Subtotal	130,000			\$3,575.00	\$2,653.68	\$0.00	\$921.32	\$0.00	
NORTHERN OIL AND GAS INC									
		CUSIP: 665531109		Symbol (Box 1d): NOG					
	31,000	03/17/11	04/04/13	\$410.99	\$930.16	\$0.00	(\$519.17)	\$0.00	
	6,000	04/01/11	04/04/13	\$79.55	\$158.28	\$0.00	(\$78.73)	\$0.00	
	40,000	06/14/11	04/04/13	\$530.31	\$757.97	\$0.00	(\$227.66)	\$0.00	
Security Subtotal	77,000			\$1,020.85	\$1,846.41	\$0.00	(\$825.56)	\$0.00	
OCEANEERING INTL INC									
		CUSIP: 675232102		Symbol (Box 1d): OII					
	11,000	05/15/12	07/29/13	\$878.79	\$531.27	\$0.00	\$347.52	\$0.00	
OIL STATES INTL INC									
		CUSIP: 678026105		Symbol (Box 1d): OIS					
	4,000	06/28/11	05/06/13	\$370.93	\$302.32	\$0.00	\$68.61	\$0.00	
	8,000	06/28/11	08/22/13	\$713.92	\$604.64	\$0.00	\$109.28	\$0.00	
	14,000	07/13/11	08/22/13	\$1,249.36	\$1,175.00	\$0.00	\$74.36	\$0.00	
Security Subtotal	26,000			\$2,334.21	\$2,081.96	\$0.00	\$252.25	\$0.00	
ORACLE CORP									
		CUSIP: 68389X105		Symbol (Box 1d): ORCL					
	49,000	06/16/11	10/16/13	\$1,615.52	\$1,509.58	\$0.00	\$105.94	\$0.00	
	5,000	11/16/11	10/16/13	\$164.85	\$163.90	\$0.00	\$0.95	\$0.00	
	22,000	12/13/11	10/16/13	\$725.34	\$689.70	\$0.00	\$35.64	\$0.00	
	34,000	02/23/12	10/16/13	\$1,120.98	\$971.60	\$0.00	\$149.38	\$0.00	
Security Subtotal	110,000			\$3,626.69	\$3,334.78	\$0.00	\$291.91	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza

8th Floor

New York, NY 10004

Identification Number: 26-4310632

KLEIN FAMILY FOUNDATION INC.

ATTENTION: CARLA KLEIN

42 TUCKAHOE RD

EASTON CT 06612-2054

Taxpayer ID Number: 26-3134339

Account Number: 759 019935 037

Customer Service: 866-324-6088

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
PACCAR INC		CUSIP: 693718108	Symbol (Box 1d): PCAR						
	15 000	02/13/12	03/25/13	\$738 73	\$655.13	\$0.00	\$83 60	\$0 00	
	18 000	02/23/12	03/25/13	\$886 48	\$821.64	\$0.00	\$64.84	\$0.00	
Security Subtotal	33.000			\$1,625.21	\$1,476.77	\$0.00	\$148.44	\$0.00	
PHILIP MORRIS INTL INC		CUSIP: 718172109	Symbol (Box 1d): PM						
	33 000	05/11/12	05/15/13	\$3,168.05	\$2,832.62	\$0.00	\$335.43	\$0.00	
PHILLIPS 66 COM		CUSIP: 718546104	Symbol (Box 1d): PSX						
	18 000	05/11/12	12/26/13	\$1,349.98	\$573.40	\$0.00	\$776 58	\$0 00	
	29 000	06/20/12	12/26/13	\$2,174.98	\$1,000.21	\$0.00	\$1,174.77	\$0.00	
Security Subtotal	47.000			\$3,524.96	\$1,573.61	\$0.00	\$1,951.35	\$0.00	
PNC FINL SVCS GP		CUSIP: 693475105	Symbol (Box 1d): PNC						
	19 000	08/08/11	11/20/13	\$1,433.75	\$932.61	\$0.00	\$501 14	\$0 00	
	13 000	01/26/12	11/20/13	\$980 99	\$768.92	\$0.00	\$212.07	\$0.00	
Security Subtotal	32.000			\$2,414.74	\$1,701.53	\$0.00	\$713.21	\$0.00	
POTASH CP OF SASKATCHEWAN INC		CUSIP: 73755L107	Symbol (Box 1d): POT						
	20 000	03/15/12	07/31/13	\$602.48	\$860.00	\$0.00	(\$257 52)	\$0 00	
	11 000	05/15/12	07/31/13	\$331.37	\$444.89	\$0.00	(\$113 52)	\$0 00	
	10 000	05/23/12	07/31/13	\$301.24	\$390.42	\$0.00	(\$89.18)	\$0.00	
Security Subtotal	41.000			\$1,235.09	\$1,695.31	\$0.00	(\$460.22)	\$0.00	
RANDSTAD HLDG NV UNSPON ADR		CUSIP: 75279Q108	Symbol (Box 1d): RANJY						
	24 000	06/29/11	03/01/13	\$502 86	\$550.32	\$0.00	(\$47.46)	\$0 00	
	4 000	07/27/11	03/01/13	\$83 81	\$88 75	\$0.00	(\$4 94)	\$0 00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

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Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorKLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054New York, NY 10004
Identification Number: 26-4310632Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037**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)	NOTES
RANDSTAD HLDG NV UNSPON ADR	24 000	07/27/11	08/01/13	\$573.70	\$532.48	\$0.00	\$41.22	\$0.00	
	12 000	07/27/11	11/20/13	\$364.39	\$266.24	\$0.00	\$98.15	\$0.00	
	11 000	08/12/11	11/20/13	\$334.02	\$187.91	\$0.00	\$146.11	\$0.00	
	5.000	11/16/11	11/20/13	\$151.83	\$78.10	\$0.00	\$73.73	\$0.00	
Security Subtotal	80.000			\$2,010.61	\$1,703.80	\$0.00	\$306.81	\$0.00	
REED ELSEVIER NV-SPONS ADR	3 000	11/16/11	08/07/13	\$110.74	\$70.26	\$0.00	\$40.48	\$0.00	
REGIONS FINANCIAL CORP NEW	100.000	02/23/12	11/20/13	\$958.05	\$574.72	\$0.00	\$383.33	\$0.00	
ROPER IND INC	74 000	03/20/12	05/24/13	\$9,031.26	\$7,319.63	\$0.00	\$1,711.63	\$0.00	
SCANA CORP NEW	10 000	07/29/11	09/30/13	\$461.15	\$394.16	\$0.00	\$66.99	\$0.00	
SILICON PREC IND LTD SP ADR	52 000	01/10/11	05/10/13	\$302.74	\$298.49	\$0.00	\$4.25	\$0.00	
	20 000	01/10/11	05/31/13	\$114.33	\$114.81	\$0.00	(\$0.48)	\$0.00	
	118.000	03/23/11	05/31/13	\$674.57	\$723.78	\$0.00	(\$49.21)	\$0.00	
	88.000	08/03/11	05/31/13	\$503.07	\$420.38	\$0.00	\$82.69	\$0.00	
	29.000	11/16/11	05/31/13	\$165.78	\$135.30	\$0.00	\$30.48	\$0.00	
Security Subtotal	307.000			\$1,760.49	\$1,692.76	\$0.00	\$67.73	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

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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)
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STANLEY BLACK & DECKER INC									
	CUSIP: 854502101	Symbol (Box 1d): SWK							
	24 000	04/19/11	06/05/13	\$1,860.15	\$1,824.14	\$0.00	\$36.01	\$0.00	
	1 000	04/25/11	06/05/13	\$77.51	\$76.66	\$0.00	\$0.85	\$0.00	
	3 000	07/29/11	06/05/13	\$232.52	\$197.83	\$0.00	\$34.69	\$0.00	
	1 000	11/16/11	06/05/13	\$77.51	\$66.57	\$0.00	\$10.94	\$0.00	
	3 000	01/31/12	06/05/13	\$232.51	\$211.71	\$0.00	\$20.80	\$0.00	
Security Subtotal	32,000			\$2,480.20	\$2,376.91	\$0.00	\$103.29	\$0.00	
STATE STREET CORP									
	CUSIP: 857477103	Symbol (Box 1d): STT							
	14 000	01/11/12	06/18/13	\$942.97	\$602.02	\$0.00	\$340.95	\$0.00	
	19 000	01/11/12	07/12/13	\$1,311.19	\$817.03	\$0.00	\$494.16	\$0.00	
Security Subtotal	33,000			\$2,254.16	\$1,419.05	\$0.00	\$835.11	\$0.00	
SUNTRUST BKS									
	CUSIP: 867914103	Symbol (Box 1d): STI							
	19 000	10/19/11	11/20/13	\$679.11	\$362.14	\$0.00	\$316.97	\$0.00	
	1 000	10/19/11	11/20/13	\$35.74	\$19.06	\$0.00	\$16.68	\$0.00	
Security Subtotal	20,000			\$714.85	\$381.20	\$0.00	\$333.65	\$0.00	
SWEDBANK AB SPONS ADR									
	CUSIP: 870195104	Symbol (Box 1d): SWDBY							
	29 000	03/02/11	04/05/13	\$643.81	\$501.99	\$0.00	\$141.82	\$0.00	
SWISS RE LTD SPONSORED ADR									
	CUSIP: 870886108	Symbol (Box 1d): SSREY							
	12 000	06/06/11	10/18/13	\$1,033.60	\$714.00	\$0.00	\$319.60	\$0.00	
TARGET CORPORATION									
	CUSIP: 87612E106	Symbol (Box 1d): TGT							
	14 000	02/23/11	06/03/13	\$992.02	\$707.30	\$0.00	\$284.72	\$0.00	
	12 000	02/23/11	06/18/13	\$841.22	\$606.25	\$0.00	\$234.97	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
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KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

New York, NY 10004
Identification Number: 26-4310632

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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)	NOTES
TARGET CORPORATION	12,000	02/28/12	06/18/13	\$841.22	\$667.58	\$0.00	\$173.64	\$0.00	
	12,000	06/01/12	06/18/13	\$841.22	\$688.32	\$0.00	\$152.90	\$0.00	
Security Subtotal	50,000			\$3,515.68	\$2,669.45	\$0.00	\$846.23	\$0.00	
TIME WARNER INC NEW		CUSIP: 887317303 Symbol (Box 1d): TWX							
	11,000	10/21/11	01/28/13	\$551.97	\$381.39	\$0.00	\$170.58	\$0.00	
	2,000	11/16/11	01/28/13	\$100.36	\$68.67	\$0.00	\$31.69	\$0.00	
	24,000	01/26/12	01/28/13	\$1,204.28	\$911.76	\$0.00	\$292.52	\$0.00	
Security Subtotal	37,000			\$1,856.61	\$1,361.82	\$0.00	\$494.79	\$0.00	
TRAVELERS COMPANIES INC COM		CUSIP: 89417E109 Symbol (Box 1d): TRV							
	22,000	09/09/11	08/13/13	\$1,790.76	\$1,072.45	\$0.00	\$718.31	\$0.00	
TREEHOUSE FOODS INC		CUSIP: 89469A104 Symbol (Box 1d): THS							
	3,000	04/01/11	01/28/13	\$159.58	\$172.83	\$0.00	(\$13.25)	\$0.00	
U S BANCORP COM NEW		CUSIP: 902973304 Symbol (Box 1d): USB							
	86,000	08/08/11	06/03/13	\$3,025.72	\$1,943.58	\$0.00	\$1,082.14	\$0.00	
UNILEVER NV NY SH NEW		CUSIP: 904784709 Symbol (Box 1d): UN							
	7,000	02/04/11	07/29/13	\$280.00	\$207.69	\$0.00	\$72.31	\$0.00	
	2,000	02/04/11	10/03/13	\$75.56	\$59.34	\$0.00	\$16.22	\$0.00	
	7,000	04/14/11	10/03/13	\$264.45	\$228.73	\$0.00	\$35.72	\$0.00	
	18,000	04/14/11	10/03/13	\$680.02	\$588.16	\$0.00	\$91.86	\$0.00	
	1,000	05/06/11	10/03/13	\$37.78	\$32.51	\$0.00	\$5.27	\$0.00	

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Corporate Tax Statement Tax Year 2013

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

Customer Service: 866-324-6088

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
UNILEVER NV NY SH NEW	6.000	05/06/11	10/03/13	\$226.67	\$195.05	\$0.00	\$31.62	\$0.00	
	2.000	11/16/11	10/03/13	\$75.56	\$66.15	\$0.00	\$9.41	\$0.00	
Security Subtotal	43.000			\$1,640.04	\$1,377.63	\$0.00	\$262.41	\$0.00	
UNITED PARCEL SERVICE INC CL-B		CUSIP: 911312106	Symbol (Box 1d): UPS						
	19.000	07/29/11	05/17/13	\$1,682.74	\$1,316.16	\$0.00	\$366.58	\$0.00	
UNITEDHEALTH GP INC		CUSIP: 91324P102	Symbol (Box 1d): UNH						
	36.000	02/10/11	01/28/13	\$2,026.78	\$1,527.42	\$0.00	\$499.36	\$0.00	
	29.000	06/16/11	01/28/13	\$1,632.68	\$1,437.14	\$0.00	\$195.54	\$0.00	
	27.000	08/08/11	01/28/13	\$1,520.08	\$1,168.07	\$0.00	\$352.01	\$0.00	
Security Subtotal	92.000			\$5,179.54	\$4,132.63	\$0.00	\$1,046.91	\$0.00	
V F CORPORATION		CUSIP: 918204108	Symbol (Box 1d): VFC						
	38.000	02/27/12	08/27/13	\$7,117.42	\$5,661.86	\$0.00	\$1,455.56	\$0.00	
	10.000	06/04/12	08/27/13	\$1,873.00	\$1,345.17	\$0.00	\$527.83	\$0.00	
Security Subtotal	48.000			\$8,990.42	\$7,007.03	\$0.00	\$1,983.39	\$0.00	
VOLKSWAGEN AG SPONS ADR		CUSIP: 928662402	Symbol (Box 1d): VLKPY						
	17.000	07/11/11	01/10/13	\$777.56	\$705.40	\$0.00	\$72.16	\$0.00	
	18.000	07/11/11	02/26/13	\$772.54	\$746.89	\$0.00	\$25.65	\$0.00	
Security Subtotal	35.000			\$1,550.10	\$1,452.29	\$0.00	\$97.81	\$0.00	
VOLVO AB ADR B		CUSIP: 928856400	Symbol (Box 1d): VOLVY						
	35.000	02/08/11	07/18/13	\$496.92	\$601.61	\$0.00	(\$104.69)	\$0.00	
	30.000	04/27/11	07/18/13	\$425.93	\$575.29	\$0.00	(\$149.36)	\$0.00	

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Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorKLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054New York, NY 10004
Identification Number: 26-4310632Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

Customer Service: 866-324-6088

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
VOLVO AB ADR B	3.000	04/28/11	07/18/13	\$42.59	\$58.12	\$0.00	(\$15.53)	\$0.00	
	6.000	11/16/11	07/18/13	\$85.19	\$67.98	\$0.00	\$17.21	\$0.00	
Security Subtotal	74.000			\$1,050.63	\$1,303.00	\$0.00	(\$252.37)	\$0.00	
WALT DISNEY CO HLDG CO	1.000	06/16/11	07/12/13	\$66.50	\$38.02	\$0.00	\$28.48	\$0.00	
WORLEYPARSONS LTD UNSPON ADR	66.000	05/17/11	11/22/13	\$963.46	\$2,014.65	\$0.00	(\$1,051.19)	\$0.00	
	7.000	11/16/11	11/22/13	\$102.18	\$190.96	\$0.00	(\$88.78)	\$0.00	
	15.000	02/08/12	11/22/13	\$218.97	\$467.40	\$0.00	(\$248.43)	\$0.00	
Security Subtotal	88.000			\$1,284.61	\$2,673.01	\$0.00	(\$1,388.40)	\$0.00	
Total Long Term Covered Securities				\$186,937.89	\$159,646.41	\$0.00	\$27,291.48	\$0.00	

Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
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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)	NOTES
ACCENTURE PLC IRELAND CL A		CUSIP: G1151C101	Symbol (Box 1d): ACN						
	15,000	03/10/09	07/19/13	\$1,121.31	\$413.36	\$0.00	\$707.95	\$0.00	\$0.00
	25,000	06/03/09	07/19/13	\$1,868.85	\$756.50	\$0.00	\$1,112.35	\$0.00	\$0.00
	14,000	04/27/10	07/19/13	\$1,046.56	\$609.11	\$0.00	\$437.45	\$0.00	\$0.00
	7,000	04/27/10	07/19/13	\$523.28	\$304.55	\$0.00	\$218.73	\$0.00	\$0.00
	5,000	04/27/10	07/19/13	\$373.77	\$217.54	\$0.00	\$156.23	\$0.00	\$0.00
	4,000	04/27/10	07/19/13	\$299.02	\$174.03	\$0.00	\$124.99	\$0.00	\$0.00
Security Subtotal	70,000			\$5,232.79	\$2,475.09	\$0.00	\$2,757.70	\$0.00	\$0.00
ADIDAS-SALOMON AG SPONS ADR		CUSIP: 00687A107	Symbol (Box 1d): ADDYY						
	9,000	03/11/09	08/12/13	\$501.43	\$142.11	\$0.00	\$359.32	\$0.00	\$0.00
AMERICA MOVIL SA DE CV ADR L		CUSIP: 02364W105	Symbol (Box 1d): AMX						
	36,000	12/10/09	02/19/13	\$822.58	\$851.15	\$0.00	(\$28.57)	\$0.00	\$0.00
	25,000	12/10/09	03/14/13	\$490.28	\$591.07	\$0.00	(\$100.79)	\$0.00	\$0.00
	5,000	12/10/09	12/10/13	\$112.94	\$118.21	\$0.00	(\$5.27)	\$0.00	\$0.00
	6,000	12/29/10	12/10/13	\$135.52	\$170.85	\$0.00	(\$35.33)	\$0.00	\$0.00
Security Subtotal	72,000			\$1,561.32	\$1,731.28	\$0.00	(\$169.96)	\$0.00	\$0.00
AMERICAN ELECTRIC POWER CO		CUSIP: 025537101	Symbol (Box 1d): AEP						
	12,000	05/28/09	03/25/13	\$570.66	\$307.92	\$0.00	\$262.74	\$0.00	\$0.00
	7,000	12/10/09	03/25/13	\$332.89	\$243.25	\$0.00	\$89.64	\$0.00	\$0.00
	6,000	12/29/10	03/25/13	\$285.33	\$216.96	\$0.00	\$68.37	\$0.00	\$0.00
	15,000	12/29/10	10/16/13	\$649.75	\$542.40	\$0.00	\$107.35	\$0.00	\$0.00
Security Subtotal	40,000			\$1,838.63	\$1,310.53	\$0.00	\$528.10	\$0.00	\$0.00

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

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Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorKLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054New York, NY 10004
Identification Number: 26-4310632Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

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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)	NOTES
ANALOG DEVICES INC		CUSIP: 032654105	Symbol (Box 1d): ADI						
	5 000	06/08/09	02/04/13	\$221.49	\$120.37	\$0.00	\$101.12	\$0.00	
	25.000	06/08/09	02/25/13	\$1,140.03	\$601.84	\$0.00	\$538.19	\$0.00	
Security Subtotal	30.000			\$1,361.52	\$722.21	\$0.00	\$639.31	\$0.00	
ANALY CAPITAL MNGMT INC		CUSIP: 035710409	Symbol (Box 1d): NLY						
	17.000	08/19/09	10/07/13	\$195.67	\$288.26	\$0.00	(\$92.59)	\$0.00	
	36.000	09/29/09	10/07/13	\$414.35	\$662.59	\$0.00	(\$248.24)	\$0.00	
	17 000	12/10/09	10/07/13	\$195.67	\$315.99	\$0.00	(\$120.32)	\$0.00	
	27.000	12/10/09	12/10/13	\$275.15	\$501.86	\$0.00	(\$226.71)	\$0.00	
	66.000	12/10/09	12/10/13	\$672.58	\$1,226.78	\$0.00	(\$554.20)	\$0.00	
	17.000	02/04/10	12/10/13	\$173.24	\$302.43	\$0.00	(\$129.19)	\$0.00	
Security Subtotal	180.000			\$1,926.66	\$3,297.91	\$0.00	(\$1,371.25)	\$0.00	
APPLE INC		CUSIP: 037833100	Symbol (Box 1d): AAPL						
	2 000	03/10/09	02/01/13	\$904.96	\$175.42	\$0.00	\$729.54	\$0.00	
BAE SYS PLC SPON ADR		CUSIP: 05523R107	Symbol (Box 1d): BAESY						
	38 000	03/11/09	01/11/13	\$849.01	\$710.60	\$0.00	\$138.41	\$0.00	
BANCO BRADESCO S A NEW		CUSIP: 059460303	Symbol (Box 1d): BBD						
	0 400	05/05/10	04/02/13	\$6.85	\$5.93	\$0.00	\$0.92	\$0.00	
BG GROUP PLC		CUSIP: 055434203	Symbol (Box 1d): BRGY						
	40 000	03/11/09	05/07/13	\$713.98	\$548.40	\$0.00	\$165.58	\$0.00	
	60 000	03/11/09	09/20/13	\$1,155.17	\$822.60	\$0.00	\$332.57	\$0.00	
	10.000	12/10/09	09/20/13	\$192.53	\$174.98	\$0.00	\$17.55	\$0.00	
Security Subtotal	110.000			\$2,061.68	\$1,545.98	\$0.00	\$515.70	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632
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KLEIN FAMILY FOUNDATION INC.
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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)	NOTES
BHP BILLITON LTD		CUSIP: 088606108	Symbol (Box 1d): BHP						
	11 000	03/11/09	04/09/13	\$778.87	\$449.46	\$0.00	\$329.41	\$0.00	
	21,000	03/11/09	08/29/13	\$1,323.01	\$858.06	\$0.00	\$464.95	\$0.00	
Security Subtotal	32,000			\$2,101.88	\$1,307.52	\$0.00	\$794.36	\$0.00	
BOSTON PROPERTIES INC		CUSIP: 101121101	Symbol (Box 1d): BXP						
	4,000	03/10/09	10/16/13	\$432.79	\$145.84	\$0.00	\$286.95	\$0.00	
	6 000	09/28/09	10/16/13	\$649.18	\$395.50	\$0.00	\$253.68	\$0.00	
	2,000	12/10/09	10/16/13	\$216.39	\$132.74	\$0.00	\$83.65	\$0.00	
Security Subtotal	12,000			\$1,298.36	\$674.08	\$0.00	\$624.28	\$0.00	
CABLEVISION SYSTEMS CORP		CUSIP: 12686C109	Symbol (Box 1d): CVC						
	33,000	03/11/09	07/19/13	\$626.98	\$225.34	\$0.00	\$401.64	\$0.00	
	20,000	03/11/09	07/30/13	\$374.99	\$136.57	\$0.00	\$238.42	\$0.00	
Security Subtotal	53,000			\$1,001.97	\$361.91	\$0.00	\$640.06	\$0.00	
COCA COLA AMATIL LTD SPON ADR		CUSIP: 191085208	Symbol (Box 1d): CCLAY						
	12,000	12/10/09	05/09/13	\$316.55	\$242.40	\$0.00	\$74.15	\$0.00	
COCA COLA CO		CUSIP: 191216100	Symbol (Box 1d): KO						
	190,000	09/08/10	09/20/13	\$7,397.89	\$5,507.49	\$0.00	\$1,890.40	\$0.00	
COCA COLA HELLENIC BOTTLING		CUSIP: 1912EP104	Symbol (Box 1d):						
	53,000	12/10/09	03/01/13	\$1,420.86	\$1,275.82	\$0.00	\$145.04	\$0.00	
COMPASS GROUP PLC SPON ADR NEW		CUSIP: 20449X203	Symbol (Box 1d): CMPGY						
	39 000	12/10/09	07/11/13	\$524.61	\$288.21	\$0.00	\$236.40	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
CONOCOPHILLIPS		CUSIP: 20825C104	Symbol (Box 1d): COP						
	6 000	04/19/10	01/28/13	\$363.24	\$261.57	\$0.00	\$101.67	\$0.00	
	15 000	05/27/10	01/28/13	\$908.10	\$599.28	\$0.00	\$308.82	\$0.00	
Security Subtotal	21.000			\$1,271.34	\$860.85	\$0.00	\$410.49	\$0.00	
CROWN HLDGS INC (HOLDING CO)		CUSIP: 228368106	Symbol (Box 1d): CCK						
	67.000	12/10/09	10/22/13	\$2,724.41	\$1,704.98	\$0.00	\$1,019.43	\$0.00	
CVS CAREMARK CORP		CUSIP: 126650100	Symbol (Box 1d): CVS						
	30 000	06/09/10	05/15/13	\$1,803.09	\$923.75	\$0.00	\$879.34	\$0.00	
DAVITA INC		CUSIP: 23918K108	Symbol (Box 1d): DVA						
	52 000	12/10/09	11/11/13	\$2,970.96	\$1,542.06	\$0.00	\$1,428.90	\$0.00	
DBS GROUP HOLDINGS LTD SP		CUSIP: 23304Y100	Symbol (Box 1d): DBSDY						
	10.000	12/10/09	10/24/13	\$536.24	\$422.50	\$0.00	\$113.74	\$0.00	
DEERE & CO		CUSIP: 244199105	Symbol (Box 1d): DE						
	10 000	03/23/10	09/09/13	\$840.35	\$613.01	\$0.00	\$227.34	\$0.00	
DENBURY RESOURCES INC NEW		CUSIP: 247916208	Symbol (Box 1d): DNR						
	90 000	03/10/09	08/05/13	\$1,621.78	\$1,346.95	\$0.00	\$274.83	\$0.00	
DEUTSCHE POST AG SPONSORED ADR		CUSIP: 25157Y202	Symbol (Box 1d): DPSGY						
	16 000	12/10/09	10/02/13	\$526.38	\$311.20	\$0.00	\$215.18	\$0.00	
	24 000	12/10/09	11/14/13	\$799.42	\$466.80	\$0.00	\$332.62	\$0.00	
Security Subtotal	40.000			\$1,325.80	\$778.00	\$0.00	\$547.80	\$0.00	
DUKE ENERGY CORP NEW		CUSIP: 26441C204	Symbol (Box 1d): DUK						
	11 000	03/11/09	05/30/13	\$750.87	\$406.85	\$0.00	\$344.02	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

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Tax Year 2013

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1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632
Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037
Customer Service: 866-324-6088

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
EMBRAER S A ADR	CUSIP: 29082A107	Symbol (Box 1d): ERJ							
	14.000	12/10/09	06/21/13	\$523.92	\$285.32	\$0.00	\$238.60	\$0.00	
EMC CORP MASS	CUSIP: 268648102	Symbol (Box 1d): EMC							
	185.000	10/05/09	07/10/13	\$4,541.60	\$3,117.32	\$0.00	\$1,424.28	\$0.00	
	31.000	12/10/09	07/10/13	\$761.02	\$512.68	\$0.00	\$248.34	\$0.00	
Security Subtotal	216.000			\$5,302.62	\$3,630.00	\$0.00	\$1,672.62	\$0.00	
EXXON MOBIL CORP	CUSIP: 30231G102	Symbol (Box 1d): XOM							
	15.000	09/09/09	03/25/13	\$1,330.67	\$1,053.60	\$0.00	\$277.07	\$0.00	
	3.000	02/24/10	03/25/13	\$266.13	\$196.62	\$0.00	\$69.51	\$0.00	
	6.000	12/10/09	04/19/13	\$521.51	\$435.42	\$0.00	\$86.09	\$0.00	
	1.000	02/24/10	04/19/13	\$86.92	\$65.54	\$0.00	\$21.38	\$0.00	
	5.000	07/09/10	04/19/13	\$434.59	\$293.80	\$0.00	\$140.79	\$0.00	
	6.000	02/24/10	05/15/13	\$545.49	\$393.25	\$0.00	\$152.24	\$0.00	
	2.000	07/09/10	05/15/13	\$181.82	\$117.52	\$0.00	\$64.30	\$0.00	
	22.000	07/09/10	05/15/13	\$2,000.11	\$1,292.70	\$0.00	\$707.41	\$0.00	
	28.000	07/09/10	06/03/13	\$2,549.83	\$1,645.25	\$0.00	\$904.58	\$0.00	
Security Subtotal	88.000			\$7,917.07	\$5,493.70	\$0.00	\$2,423.37	\$0.00	
FANUC CORPORATION UNSP ADR	CUSIP: 307305102	Symbol (Box 1d): FANUY							
	30.000	07/29/10	11/29/13	\$840.06	\$605.22	\$0.00	\$234.84	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza

8th Floor

New York, NY 10004

Identification Number: 26-4310632

KLEIN FAMILY FOUNDATION INC.

ATTENTION: CARLA KLEIN

42 TUCKAHOE RD

EASTON CT 06612-2054

Taxpayer ID Number: 26-3134339

Account Number: 759 019935 037

Customer Service: 866-324-6088

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
FIFTH 3RD BANCORP OHIO									
	CUSIP: 316773100	Symbol (Box 1d): FITB							
	70.000	08/12/09	01/28/13	\$1,134.06	\$721.60	\$0.00	\$412.46	\$0.00	
	14.000	12/10/09	01/28/13	\$226.81	\$144.06	\$0.00	\$82.75	\$0.00	
	48.000	01/27/10	01/28/13	\$777.64	\$587.62	\$0.00	\$190.02	\$0.00	
Security Subtotal	132.000			\$2,138.51	\$1,453.28	\$0.00	\$685.23	\$0.00	
FRANCE TELECOM									
	CUSIP: 35177Q105	Symbol (Box 1d):							
	74.000	12/10/09	06/17/13	\$754.94	\$1,902.42	\$0.00	(\$1,147.48)	\$0.00	
	16.000	12/29/10	06/17/13	\$163.23	\$335.52	\$0.00	(\$172.29)	\$0.00	
Security Subtotal	90.000			\$918.17	\$2,237.94	\$0.00	(\$1,319.77)	\$0.00	
FREEPORT MCMORAN CP&GLD									
	CUSIP: 35671D857	Symbol (Box 1d): FCX							
	23.000	09/18/09	06/18/13	\$678.95	\$809.17	\$0.00	(\$130.22)	\$0.00	
	3.000	09/18/09	06/18/13	\$88.56	\$105.54	\$0.00	(\$16.98)	\$0.00	
Security Subtotal	26.000			\$767.51	\$914.71	\$0.00	(\$147.20)	\$0.00	
FRESENIUS MEDICAL CARE AG&CO									
	CUSIP: 358029106	Symbol (Box 1d): FMS							
	22.000	12/10/09	07/03/13	\$708.55	\$587.51	\$0.00	\$121.04	\$0.00	
	4.000	12/10/09	08/07/13	\$128.99	\$106.82	\$0.00	\$22.17	\$0.00	
	20.000	05/14/10	08/07/13	\$644.96	\$496.44	\$0.00	\$148.52	\$0.00	
Security Subtotal	46.000			\$1,482.50	\$1,190.77	\$0.00	\$291.73	\$0.00	
GAZPROM O A O SPON ADR									
	CUSIP: 368287207	Symbol (Box 1d): OGZPY							
	8.000	03/11/09	04/19/13	\$60.04	\$57.20	\$0.00	\$2.84	\$0.00	
	1.000	03/11/09	04/19/13	\$7.50	\$7.15	\$0.00	\$0.35	\$0.00	
	1.000	03/11/09	04/19/13	\$7.50	\$7.15	\$0.00	\$0.35	\$0.00	
	3.000	03/11/09	04/19/13	\$22.51	\$21.45	\$0.00	\$1.06	\$0.00	
	19.000	04/08/10	04/19/13	\$142.60	\$227.89	\$0.00	(\$85.29)	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

Customer Service: 866-324-6088

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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 ACQUIRED (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)	NOTES
GAZPROM O A O SPON ADR	73.000	04/08/10	07/03/13	\$477.60	\$875.56	\$0.00	(\$397.96)	\$0.00	
	42.000	04/28/10	07/03/13	\$274.79	\$493.91	\$0.00	(\$219.12)	\$0.00	
Security Subtotal	147.000			\$992.54	\$1,690.31	\$0.00	(\$697.77)	\$0.00	
GDF SUEZ-SPON ADR	40.000	12/10/09	04/17/13	\$811.76	\$1,728.00	\$0.00	(\$916.24)	\$0.00	
GENERAL ELECTRIC CO									
	42.000	08/12/09	08/13/13	\$1,012.47	\$599.62	\$0.00	\$412.85	\$0.00	
	13.000	12/10/09	08/13/13	\$313.39	\$204.62	\$0.00	\$108.77	\$0.00	
Security Subtotal	55.000			\$1,325.86	\$804.24	\$0.00	\$521.62	\$0.00	
GRUPO TELEVIS A S A GLOBAL DEP									
	16.000	12/10/09	03/12/13	\$429.98	\$335.32	\$0.00	\$94.66	\$0.00	
H J HEINZ CO									
	64.000	12/10/09	06/10/13	\$4,640.00	\$2,734.59	\$0.00	\$1,905.41	\$0.00	
HERBALIFE									
	8.000	12/15/10	04/04/13	\$315.26	\$273.94	\$0.00	\$41.32	\$0.00	
HUDSON CITY BANCORP INC									
	45.000	09/23/10	06/17/13	\$376.24	\$542.74	\$0.00	(\$166.50)	\$0.00	
	79.000	11/08/10	06/17/13	\$660.51	\$927.75	\$0.00	(\$267.24)	\$0.00	
Security Subtotal	124.000			\$1,036.75	\$1,470.49	\$0.00	(\$433.74)	\$0.00	
IMPERIAL TOBACCO GP PLC SP ADR									
	8.000	12/10/09	07/16/13	\$544.18	\$488.80	\$0.00	\$55.38	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorKLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054New York, NY 10004
Identification Number: 26-4310632Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

Customer Service: 866-324-6088

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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)	SYMBOL (Box 1d)	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)	NOTES
ING GROEP NV ADR		CUSIP: 456837103		Symbol (Box 1d): ING						
	59 000	12/10/09	11/01/13		\$759.36	\$524.32	\$0.00	\$235.04	\$0.00	
	41.000	01/05/10	11/01/13		\$527.69	\$440.24	\$0.00	\$87.45	\$0.00	
Security Subtotal	100.000				\$1,287.05	\$964.56	\$0.00	\$322.49	\$0.00	
INTERNATIONAL CONS AIRLS GRP		CUSIP: 459348108		Symbol (Box 1d): ICAGY						
	24 000	01/25/11	05/03/13		\$514.08	\$529.80	\$0.00	(\$15.72)	\$0.00	
	28.000	01/25/11	09/04/13		\$626.51	\$618.10	\$0.00	\$8.41	\$0.00	
Security Subtotal	52.000				\$1,140.59	\$1,147.90	\$0.00	(\$7.31)	\$0.00	
INTL BUSINESS MACHINES CORP		CUSIP: 459200101		Symbol (Box 1d): IBM						
	4 000	03/10/09	06/18/13		\$819.29	\$344.40	\$0.00	\$474.89	\$0.00	
	1.000	03/10/09	06/18/13		\$204.99	\$86.10	\$0.00	\$118.89	\$0.00	
	11.000	03/10/09	08/09/13		\$2,063.72	\$947.10	\$0.00	\$1,116.62	\$0.00	
	9 000	05/15/09	08/09/13		\$1,688.50	\$922.76	\$0.00	\$765.74	\$0.00	
	1.000	05/15/09	08/09/13		\$187.61	\$102.53	\$0.00	\$85.08	\$0.00	
	2.000	05/15/09	08/09/13		\$375.22	\$205.06	\$0.00	\$170.16	\$0.00	
	6 000	05/15/09	08/09/13		\$1,125.67	\$615.17	\$0.00	\$510.50	\$0.00	
	12 000	05/15/09	08/09/13		\$2,251.33	\$1,230.34	\$0.00	\$1,020.99	\$0.00	
	7 000	05/15/09	08/13/13		\$1,314.91	\$717.70	\$0.00	\$597.21	\$0.00	
	1 000	12/10/09	08/13/13		\$187.84	\$128.95	\$0.00	\$58.89	\$0.00	
	1.000	12/10/09	10/16/13		\$185.59	\$128.95	\$0.00	\$56.64	\$0.00	
Security Subtotal	55.000				\$10,404.67	\$5,429.06	\$0.00	\$4,975.61	\$0.00	
INTUITIVE SURGICAL INC		CUSIP: 46120E602		Symbol (Box 1d): ISRG						
	1.000	08/31/10	05/24/13		\$503.40	\$266.87	\$0.00	\$236.53	\$0.00	
	1.000	08/31/10	05/24/13		\$503.40	\$266.87	\$0.00	\$236.53	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

Customer Service: 866-324-6088

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
INTUITIVE SURGICAL INC	6 000	08/31/10	05/24/13	\$3,020.42	\$1,601.24	\$0.00	\$1,419.18	\$0.00	
	4,000	12/29/10	05/24/13	\$2,013.61	\$1,039.08	\$0.00	\$974.53	\$0.00	
Security Subtotal	12,000			\$6,040.83	\$3,174.06	\$0.00	\$2,866.77	\$0.00	
JOHNSON & JOHNSON									
	2,000	05/27/10	03/25/13	\$159.38	\$117.97	\$0.00	\$41.41	\$0.00	
	30 000	05/27/10	03/25/13	\$2,390.74	\$1,769.57	\$0.00	\$621.17	\$0.00	
	26 000	08/11/10	03/25/13	\$2,071.97	\$1,523.16	\$0.00	\$548.81	\$0.00	
	13,000	12/29/10	03/25/13	\$1,035.99	\$809.12	\$0.00	\$226.87	\$0.00	
Security Subtotal	71,000			\$5,658.08	\$4,219.82	\$0.00	\$1,438.26	\$0.00	
JPMORGAN CHASE & CO									
	21 000	08/16/10	03/25/13	\$1,013.01	\$789.06	\$0.00	\$223.95	\$0.00	
JULIUS BAER GROUP LTD UN ADR									
	105 000	06/03/10	08/09/13	\$994.69	\$618.16	\$0.00	\$376.53	\$0.00	
KANSAS CY SOUTHN IND NEW									
	7 000	05/06/10	01/17/13	\$611.81	\$264.65	\$0.00	\$347.16	\$0.00	
KEYCORP NEW									
	41 000	01/25/10	11/20/13	\$522.36	\$289.38	\$0.00	\$232.98	\$0.00	
	83 000	05/27/10	11/20/13	\$1,057.47	\$671.61	\$0.00	\$385.86	\$0.00	
	35,000	12/29/10	11/20/13	\$445.92	\$310.73	\$0.00	\$135.19	\$0.00	
Security Subtotal	159,000			\$2,025.75	\$1,271.72	\$0.00	\$754.03	\$0.00	
KINGFISHER PLC SPONS ADR NEW									
	100 000	12/10/09	04/26/13	\$969.87	\$760.00	\$0.00	\$209.87	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza

8th Floor

New York, NY 10004

Identification Number: 26-4310632

KLEIN FAMILY FOUNDATION INC.

ATTENTION: CARLA KLEIN

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EASTON CT 06612-2054

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

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KONINKLIJKE PHIL EL SP ADR NEW	15 000	CUSIP: 500472303 12/10/09	Symbol (Box 1d): PHG 06/26/13	\$409.42	\$440.25	\$0.00	(\$30.83)	\$0.00	
KRAFT FOODS GROUP INC COM	41 000	CUSIP: 50076Q106 03/10/09	Symbol (Box 1d): KRFT 05/13/13	\$2,248.42	\$931.15	\$0.00	\$1,317.27	\$0.00	
	5 000	03/10/09	05/13/13	\$274.20	\$105.13	\$0.00	\$169.07	\$0.00	
	9 000	12/10/09	05/13/13	\$493.55	\$264.02	\$0.00	\$229.53	\$0.00	
	5 000	12/10/09	12/26/13	\$267.47	\$146.67	\$0.00	\$120.80	\$0.00	
	1 000	08/23/10	12/26/13	\$53.49	\$30.73	\$0.00	\$22.76	\$0.00	
	17 000	08/23/10	12/26/13	\$909.41	\$522.34	\$0.00	\$387.07	\$0.00	
	6 000	12/29/10	12/26/13	\$320.97	\$189.10	\$0.00	\$131.87	\$0.00	
	2 000	03/20/12	12/26/13	\$106.99	\$94.44	\$0.00	\$12.55	\$0.00	
	6 000	03/20/12	12/26/13	\$320.97	\$256.35	\$0.00	\$64.62	\$0.00	
Security Subtotal	92 000			\$4,995.47	\$2,539.93	\$0.00	\$2,455.54	\$0.00	
LINCOLN NTL CORP IND	9 000	CUSIP: 534187109 06/17/10	Symbol (Box 1d): LNC 11/19/13	\$450.48	\$247.80	\$0.00	\$202.68	\$0.00	
LKQ CORPORATION	36 000	CUSIP: 501889208 03/10/09	Symbol (Box 1d): LKQ 08/29/13	\$1,073.35	\$232.88	\$0.00	\$840.47	\$0.00	
MALLINCKRODT PUBLIC LTD CO	0.750	CUSIP: G5785G107 06/17/10	Symbol (Box 1d): MNK 06/28/13	\$31.55	\$21.98	\$0.00	\$9.57	\$0.00	
	1 000	03/11/09	07/12/13	\$41.97	\$13.01	\$0.00	\$28.96	\$0.00	
	2 000	03/11/09	07/12/13	\$83.94	\$57.24	\$0.00	\$26.70	\$0.00	
	3 000	06/17/10	07/12/13	\$125.90	\$76.95	\$0.00	\$48.95	\$0.00	
Security Subtotal	6.750			\$283.36	\$169.18	\$0.00	\$114.18	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

KLEIN FAMILY FOUNDATION INC
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

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1 New York Plaza
8th Floor

New York, NY 10004
Identification Number: 26-4310632

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
MERCK & CO INC NEW COM	CUSIP: 58933Y105	Symbol (Box 1d): MRK							
	30.000	05/15/13		\$1,402.14	NOT ON FILE			\$0.00	
	6.000	11/04/13		\$276.66	NOT ON FILE			\$0.00	
	5.000	12/10/09	11/04/13	\$230.55	\$189.05	\$0.00	\$41.50	\$0.00	
	25.000	05/27/10	11/04/13	\$1,152.73	\$840.58	\$0.00	\$312.15	\$0.00	
	6.000	08/23/10	11/04/13	\$276.65	\$209.90	\$0.00	\$66.75	\$0.00	
Security Subtotal	72.000			\$3,338.73	\$1,239.53	\$0.00	\$420.40	\$0.00	
MERCK KGAA UNSPON ADR	CUSIP: 589339100	Symbol (Box 1d): MKGAY							
	11.000	12/10/09	01/07/13	\$473.75	\$345.95	\$0.00	\$127.80	\$0.00	
MICHELIN COMPAGNIE GENERALE DE	CUSIP: 59410T106	Symbol (Box 1d): MGDDY							
	26.000	12/10/09	10/09/13	\$541.79	\$404.30	\$0.00	\$137.49	\$0.00	
MICROSOFT CORP	CUSIP: 594918104	Symbol (Box 1d): MSFT							
	5.000	03/10/09	06/21/13	\$165.61	\$80.09	\$0.00	\$85.52	\$0.00	
	21.000	03/10/09	06/21/13	\$695.56	\$336.37	\$0.00	\$359.19	\$0.00	
	5.000	07/22/09	06/21/13	\$165.61	\$123.72	\$0.00	\$41.89	\$0.00	
	28.000	07/22/09	06/21/13	\$927.41	\$692.84	\$0.00	\$234.57	\$0.00	
Security Subtotal	59.000			\$1,954.19	\$1,233.02	\$0.00	\$721.17	\$0.00	
MONDELEZ INTL INC COM	CUSIP: 609207105	Symbol (Box 1d): MDLZ							
	14.000	03/10/09	06/18/13	\$426.38	\$194.47	\$0.00	\$231.91	\$0.00	
	30.000	03/10/09	06/18/13	\$914.98	\$416.72	\$0.00	\$498.26	\$0.00	
	24.000	03/10/09	12/04/13	\$818.89	\$333.38	\$0.00	\$485.51	\$0.00	
Security Subtotal	68.000			\$2,160.25	\$944.57	\$0.00	\$1,215.68	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Morgan Stanley

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza

8th Floor

New York, NY 10004

Identification Number: 26-4310632

KLEIN FAMILY FOUNDATION INC.

ATTENTION: CARLA KLEIN

42 TUCKAHOE RD

EASTON CT 06612-2054

Taxpayer ID Number: 26-3134339

Account Number: 759 019935 037

Customer Service: 866-324-6088

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
NATL GRID TRANSCO PLC ADS	CUSIP: 636274300	Symbol (Box 1d): NGG							
	32.000	09/09/10	04/19/13	\$1,932.83	\$1,393.93	\$0.00	\$538.90	\$0.00	
NESTLE SPON ADR REP REG SHR	CUSIP: 641069406	Symbol (Box 1d): NSRGY							
	3.000	03/11/09	08/12/13	\$202.22	\$94.95	\$0.00	\$107.27	\$0.00	
NORTHEAST UTILITIES	CUSIP: 664397106	Symbol (Box 1d): NU							
	57.000	12/10/09	01/17/13	\$2,208.15	\$1,405.50	\$0.00	\$802.65	\$0.00	
NORTHWESTERN CORPORATION	CUSIP: 668074305	Symbol (Box 1d): NWE							
	47.000	12/10/09	07/25/13	\$1,985.50	\$1,200.47	\$0.00	\$785.03	\$0.00	
OCCIDENTAL PETROLEUM CORP DE	CUSIP: 674599105	Symbol (Box 1d): OXY							
	21.000	05/07/10	04/19/13	\$1,665.48	\$1,686.30	\$0.00	(\$20.82)	\$0.00	
OMNICOM GROUP	CUSIP: 681919106	Symbol (Box 1d): OMC							
	5.000	10/19/10	07/29/13	\$327.63	\$206.74	\$0.00	\$120.89	\$0.00	
	26.000	12/29/10	07/29/13	\$1,703.67	\$1,206.09	\$0.00	\$497.58	\$0.00	
Security Subtotal	31.000			\$2,031.30	\$1,412.83	\$0.00	\$618.47	\$0.00	
OSRAM LIGHT AG SALE PROCEEDS	CUSIP: D59699989	Symbol (Box 1d):							
	14.000	12/10/09	07/26/13	\$42.09	\$44.43	\$0.00	(\$2.34)	\$0.00	
	3.000	12/29/10	07/26/13	\$9.02	\$13.18	\$0.00	(\$4.16)	\$0.00	
	5.000	09/27/11	07/26/13	\$15.03	\$16.63	\$0.00	(\$1.60)	\$0.00	
	2.000	11/16/11	07/26/13	\$6.01	\$6.98	\$0.00	(\$0.97)	\$0.00	
	4.000	03/30/12	07/26/13	\$12.02	\$14.18	\$0.00	(\$2.16)	\$0.00	
Security Subtotal	28.000			\$84.17	\$95.40	\$0.00	(\$11.23)	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza

8th Floor

New York, NY 10004

Identification Number: 26-4310632

KLEIN FAMILY FOUNDATION INC.

ATTENTION: CARLA KLEIN

42 TUCKAHOE RD

EASTON CT 06812-2054

Taxpayer ID Number: 26-3134339

Account Number: 759 019935 037

Customer Service: 866-324-6088

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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.

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(Continued)

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PFIZER INC									
		CUSIP: 717081103	Symbol (Box 1d): PFE						
	67 000	03/10/09	04/19/13	\$2,069.76	\$870.85	\$0.00	\$1,198.91	\$0.00	
	35 000	03/10/09	05/15/13	\$1,031.39	\$454.92	\$0.00	\$576.47	\$0.00	
Security Subtotal	102.000			\$3,101.15	\$1,325.77	\$0.00	\$1,775.38	\$0.00	
PNC FINL SVCS GP									
		CUSIP: 693475105	Symbol (Box 1d): PNC						
	26 000	04/24/09	08/13/13	\$1,965.98	\$1,114.97	\$0.00	\$851.01	\$0.00	
	2 000	09/28/09	08/13/13	\$151.23	\$92.56	\$0.00	\$58.67	\$0.00	
Security Subtotal	28.000			\$2,117.21	\$1,207.53	\$0.00	\$909.68	\$0.00	
REED ELSEVIER NV-SPONS ADR									
		CUSIP: 758204200	Symbol (Box 1d): ENL						
	8 000	10/27/10	08/07/13	\$295.31	\$206.19	\$0.00	\$89.12	\$0.00	
	23 000	12/29/10	08/07/13	\$849.00	\$565.57	\$0.00	\$283.43	\$0.00	
Security Subtotal	31.000			\$1,144.31	\$771.76	\$0.00	\$372.55	\$0.00	
ROYAL DUTCH SHELL PLC CL B									
		CUSIP: 780259107	Symbol (Box 1d): RDS'B						
	3 000	12/10/09	05/03/13	\$213.80	\$171.57	\$0.00	\$42.23	\$0.00	
SANOFI ADR									
		CUSIP: 80105N105	Symbol (Box 1d): SNY						
	11 000	12/10/09	01/25/13	\$538.99	\$427.75	\$0.00	\$111.24	\$0.00	
	10 000	12/10/09	03/15/13	\$494.37	\$388.86	\$0.00	\$105.51	\$0.00	
Security Subtotal	21.000			\$1,033.36	\$816.61	\$0.00	\$216.75	\$0.00	
SAP AG									
		CUSIP: 803054204	Symbol (Box 1d): SAP						
	8 000	03/11/09	01/30/13	\$651.09	\$269.84	\$0.00	\$381.25	\$0.00	
	1 000	03/11/09	04/12/13	\$77.62	\$33.73	\$0.00	\$43.89	\$0.00	
	5 000	03/11/09	04/12/13	\$388.14	\$168.65	\$0.00	\$219.49	\$0.00	
Security Subtotal	14.000			\$1,116.85	\$472.22	\$0.00	\$644.63	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

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Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

Customer Service: 866-324-6088

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
CUSIP: 80589M102 SCG									
SCANA CORP NEW	34.000	03/11/09	05/22/13	\$1,822.76	\$900.32	\$0.00	\$922.44	\$0.00	
	8.000	04/09/09	05/22/13	\$428.89	\$245.03	\$0.00	\$183.86	\$0.00	
	7.000	04/09/09	09/30/13	\$322.80	\$214.41	\$0.00	\$108.39	\$0.00	
	21.000	12/10/09	09/30/13	\$968.41	\$769.41	\$0.00	\$199.00	\$0.00	
Security Subtotal	70.000			\$3,542.86	\$2,129.17	\$0.00	\$1,413.69	\$0.00	
CUSIP: 806857108 SLB									
SCHLUMBERGER LTD	26.000	03/11/09	11/04/13	\$2,425.29	\$1,007.16	\$0.00	\$1,418.13	\$0.00	
	26.000	03/11/09	12/26/13	\$2,315.75	\$1,007.16	\$0.00	\$1,308.59	\$0.00	
Security Subtotal	52.000			\$4,741.04	\$2,014.32	\$0.00	\$2,726.72	\$0.00	
CUSIP: 816851109 SRE									
SEMPRA ENERGY	16.000	03/11/09	07/11/13	\$1,319.13	\$624.00	\$0.00	\$695.13	\$0.00	
	12.000	03/11/09	12/20/13	\$1,081.06	\$468.00	\$0.00	\$613.06	\$0.00	
Security Subtotal	28.000			\$2,400.19	\$1,092.00	\$0.00	\$1,308.19	\$0.00	
CUSIP: 827084864 SPIL									
SILICON PREC IND LTD SP ADR	71.000	12/29/10	05/10/13	\$413.36	\$414.64	\$0.00	(\$1.28)	\$0.00	
	11.000	12/30/10	05/10/13	\$64.04	\$64.95	\$0.00	(\$0.91)	\$0.00	
Security Subtotal	82.000			\$477.40	\$479.59	\$0.00	(\$2.19)	\$0.00	
CUSIP: 82929R304 SGAPY									
SINGAPORE TELECOM LTD ADR NEW	13.000	12/10/09	03/18/13	\$370.81	\$280.15	\$0.00	\$90.66	\$0.00	
CUSIP: 83175M205 SNN									
SMITH & NEPHEW PLC ADR	8.000	03/11/09	02/19/13	\$433.48	\$248.96	\$0.00	\$184.52	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorKLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054New York, NY 10004
Identification Number: 26-4310632Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

Customer Service: 866-324-6088

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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
SPDR GOLD TR GOLD SHS	CUSIP: 78463V107	Symbol (Box 1d): GLD							
	20.000	03/11/09	01/04/13	\$3,187.11	\$1,784.55	\$0.00	\$1,402.56	\$0.00	
	7.000	03/11/09	06/20/13	\$881.35	\$624.59	\$0.00	\$256.76	\$0.00	
	10.000	10/14/09	06/20/13	\$1,259.07	\$1,043.67	\$0.00	\$215.40	\$0.00	
	7.000	01/18/11	06/20/13	\$881.34	\$934.35	\$0.00	(\$53.01)	\$0.00	
Security Subtotal	44.000			\$6,208.87	\$4,387.16	\$0.00	\$1,821.71	\$0.00	
STARZ SERIES A	CUSIP: 85571Q102	Symbol (Box 1d): STRZA							
	20.000	12/13/10	10/21/13	\$592.22	\$128.76	\$0.00	\$463.46	\$0.00	
SYNGENTA AG ADR	CUSIP: 87160A100	Symbol (Box 1d): SYT							
	3.000	12/10/09	10/16/13	\$231.96	\$164.87	\$0.00	\$67.09	\$0.00	
TAIWAN SMCNDCR MFG CO LTD ADR	CUSIP: 874039100	Symbol (Box 1d): TSM							
	15.000	12/10/09	02/20/13	\$287.24	\$161.37	\$0.00	\$125.87	\$0.00	
	25.000	12/10/09	02/20/13	\$478.74	\$268.95	\$0.00	\$209.79	\$0.00	
Security Subtotal	40.000			\$765.98	\$430.32	\$0.00	\$335.66	\$0.00	
TARGET CORPORATION	CUSIP: 87612E106	Symbol (Box 1d): TGT							
	1.000	12/10/09	06/03/13	\$70.86	\$45.71	\$0.00	\$25.15	\$0.00	
TELENOR ASA ADS	CUSIP: 87944W105	Symbol (Box 1d): TELNY							
	7.000	12/10/09	05/03/13	\$469.03	\$300.65	\$0.00	\$168.38	\$0.00	
	6.000	12/10/09	11/01/13	\$438.05	\$257.70	\$0.00	\$180.35	\$0.00	
Security Subtotal	13.000			\$907.08	\$558.35	\$0.00	\$348.73	\$0.00	
TOYOTA MOTOR CP ADR NEW	CUSIP: 892331307	Symbol (Box 1d): TM							
	4.000	03/11/09	09/09/13	\$503.13	\$237.48	\$0.00	\$265.65	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: 26-3134339
Account Number: 759 019935 037

Customer Service: 866-324-6088

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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.)
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TREEHOUSE FOODS INC	CUSIP: 89469A104	Symbol (Box 1d): THS							
	22 000	07/12/10	01/28/13	\$1,170.30	\$1,045.59	\$0.00	\$124.71	\$0.00	
	1,000	11/03/10	01/28/13	\$53.20	\$47.50	\$0.00	\$5.70	\$0.00	
Security Subtotal	23,000			\$1,223.50	\$1,093.09	\$0.00	\$130.41	\$0.00	
UNILEVER NV NY SH NEW	CUSIP: 904784709	Symbol (Box 1d): UN							
	21,000	03/11/09	03/25/13	\$856.13	\$377.57	\$0.00	\$478.56	\$0.00	
	31 000	02/22/10	03/25/13	\$1,263.81	\$953.91	\$0.00	\$309.90	\$0.00	
	14 000	04/07/10	03/25/13	\$570.75	\$430.26	\$0.00	\$140.49	\$0.00	
	5,000	04/07/10	07/29/13	\$200.00	\$153.67	\$0.00	\$46.33	\$0.00	
Security Subtotal	71,000			\$2,890.69	\$1,915.41	\$0.00	\$975.28	\$0.00	
UNION PACIFIC CORP	CUSIP: 907818108	Symbol (Box 1d): UNP							
	6 000	12/10/09	11/04/13	\$920.75	\$387.18	\$0.00	\$533.57	\$0.00	
UNITED PARCEL SERVICE INC CL-B	CUSIP: 911312106	Symbol (Box 1d): UPS							
	80 000	08/05/10	05/17/13	\$7,085.23	\$5,386.47	\$0.00	\$1,698.76	\$0.00	
UNITEDHEALTH GP INC	CUSIP: 91324P102	Symbol (Box 1d): UNH							
	3 000	05/06/09	01/28/13	\$168.90	\$77.13	\$0.00	\$91.77	\$0.00	
	2,000	12/10/09	01/28/13	\$112.60	\$58.88	\$0.00	\$53.72	\$0.00	
Security Subtotal	5,000			\$281.50	\$136.01	\$0.00	\$145.49	\$0.00	
VALE S A. SP	CUSIP: 91912E204	Symbol (Box 1d): VALEP							
	34 000	12/10/09	01/18/13	\$658.56	\$818.64	\$0.00	(\$160.08)	\$0.00	
VOLVO AB ADR B	CUSIP: 928856400	Symbol (Box 1d): VOLVY							
	1 000	12/15/10	07/18/13	\$14.20	\$16.25	\$0.00	(\$2.05)	\$0.00	

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza

8th Floor

New York, NY 10004

Identification Number: 26-4310632

KLEIN FAMILY FOUNDATION INC.

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EASTON CT 06612-2054

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CUSIP: 254687106 Symbol (Box 1d): DIS									
WALT DISNEY CO HLDG CO	9.000	03/26/10	06/18/13	\$588.58	\$316.77	\$0.00	\$271.81	\$0.00	
	1.000	03/26/10	06/18/13	\$65.40	\$35.20	\$0.00	\$30.20	\$0.00	
	1.000	03/26/10	07/12/13	\$66.50	\$35.20	\$0.00	\$31.30	\$0.00	
	4.000	03/26/10	07/12/13	\$266.00	\$140.79	\$0.00	\$125.21	\$0.00	
	3.000	03/26/10	07/12/13	\$199.50	\$105.59	\$0.00	\$93.91	\$0.00	
	9.000	12/29/10	07/12/13	\$598.49	\$339.48	\$0.00	\$259.01	\$0.00	
Security Subtotal	27.000			\$1,784.47	\$973.03	\$0.00	\$811.44	\$0.00	
CUSIP: 949746101 Symbol (Box 1d): WFC									
WELLS FARGO & CO NEW	16.000	03/10/09	07/12/13	\$682.09	\$184.08	\$0.00	\$498.01	\$0.00	

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Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza

8th Floor

New York, NY 10004

Identification Number: 26-4310632

KLEIN FAMILY FOUNDATION INC.

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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.)
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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 DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
XCEL ENERGY INC CUSIP: 98389B100 Symbol (Box 1d): XEL									
	27 000	03/11/09	01/22/13	\$731.67	\$448.47	\$0.00	\$283.20	\$0.00	
Total Long Term Noncovered Securities				\$176,320.51	\$117,756.78	\$0.00	\$56,884.93	\$0.00	
Total Long Term Covered and Noncovered Securities				\$363,258.40	\$277,403.19	\$0.00	\$84,176.41	\$0.00	
Total Short and Long Term, Covered and Noncovered Securities				\$472,635.84	\$379,216.56	\$10.61	\$91,732.84	\$0.00	

Form 1099-B Total Reportable Amounts

Total Sales Price (Box 2a)	\$472,635.84
Total Cost or Other Basis (Box 3)	\$261,305.31
Total Wash Sale Loss Disallowed (Box 5)	\$10.61
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.

CT The proceeds amount is the sales price of the bullion sold by the Trust to pay investment expenses. Proceeds from the sale of bullion are reported on Form 1099-B.

Corporate Tax Statement
Tax Year 2013Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th FloorKLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054New York, NY 10004
Identification Number: 26-4310632Taxpayer ID Number: 26-3134339
Account Number: 759 020600 037

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)	NOTES
FNMA POOL 745275 5000 36FB01									
		CUSIP: 31403C6L0	Symbol (Box 1d):						
	242.519	03/11/09	02/25/13	\$242.52	\$248.73	\$0.00	(\$6.21)	\$0.00	PP
	88.186	09/09/09	02/25/13	\$88.19	\$90.91	\$0.00	(\$2.72)	\$0.00	PP
	66.141	09/29/09	02/25/13	\$66.14	\$68.59	\$0.00	(\$2.45)	\$0.00	PP
	328.770		03/25/13	\$328.77	NOT ON FILE			\$0.00	PP
Security Subtotal	725.618			\$725.62	\$408.23	\$0.00	(\$11.38)	\$0.00	
FNMA POOL 889579 6000 38MY01									
		CUSIP: 31410KJY1	Symbol (Box 1d):						
	808.922	03/11/09	02/25/13	\$808.92	\$839.50	\$0.00	(\$30.58)	\$0.00	PP
	110.307	09/09/09	02/25/13	\$110.31	\$116.72	\$0.00	(\$6.41)	\$0.00	PP
	780.350		03/25/13	\$780.35	NOT ON FILE			\$0.00	PP
Security Subtotal	1,699.579			\$1,699.58	\$956.22	\$0.00	(\$36.99)	\$0.00	
FNMA POOL 889982 5500 38NV01									
		CUSIP: 31410KXK5	Symbol (Box 1d):						
	255.506	03/12/09	02/25/13	\$255.51	\$263.89	\$0.00	(\$8.38)	\$0.00	PP
	61.321	09/09/09	02/25/13	\$61.32	\$63.96	\$0.00	(\$2.64)	\$0.00	PP
	51.101	09/29/09	02/25/13	\$51.10	\$53.58	\$0.00	(\$2.48)	\$0.00	PP
	322.530		03/25/13	\$322.53	NOT ON FILE			\$0.00	PP
Security Subtotal	690.458			\$690.46	\$381.43	\$0.00	(\$13.50)	\$0.00	
FNMA POOL 930071 6000 38OC01									
		CUSIP: 31412NJQ0	Symbol (Box 1d):						
	113.950	09/29/09	02/25/13	\$113.95	\$120.42	\$0.00	(\$6.47)	\$0.00	PP
	124.630		03/25/13	\$124.63	NOT ON FILE			\$0.00	PP
Security Subtotal	238.580			\$238.58	\$120.42	\$0.00	(\$6.47)	\$0.00	

CONTINUED ON NEXT PAGE

IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Page 9 of 12

Corporate Tax Statement Tax Year 2013

KLEIN FAMILY FOUNDATION INC.
ATTENTION CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632
Taxpayer ID Number: 26-3134339
Account Number 759 020600 037
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)	NOTES
HEWLETT-PACKARD 4500 13MH01									
		CUSIP: 428236AQ6 Symbol (Box 1d):							
	5,000.000	03/13/09	03/01/13	\$5,000.00	\$5,000.00	\$0.00	\$0.00	\$0.00	
	1,000.000	09/30/09	03/01/13	\$1,000.00	\$1,000.00	\$0.00	\$0.00	\$0.00	
Security Subtotal	6,000.000			\$6,000.00	\$6,000.00	\$0.00	\$0.00	\$0.00	
Total Long Term Noncovered Securities				\$9,354.24	\$7,866.30	\$0.00	(\$68.34)	\$0.00	
Form 1099-B Total Reportable Amounts									
Total Sales Price (Box 2a)				\$9,354.24					
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

PP This represents a return of your investment. Please compare your cost basis for this principal payment with the amount of the payment. You may have a capital loss if your cost basis exceeds the principal received or ordinary income if your cost basis is less than the principal payment Principal payments are reported on Form 8949, Sales and Other Dispositions of Capital Assets, of the tax return. Please consult your tax advisor.

Account Detail

Consulting Group Advisor Active Assets Account
759-020600-037
KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

MONEY MARKET FUND (MMF) AND BANK DEPOSITS ACTIVITY (CONTINUED)

Date	Activity Type	Description	Credits/(Debits)	
1/30	Automatic Investment	BANK DEPOSIT PROGRAM	0.66	
NET ACTIVITY FOR PERIOD			\$2,910.16	

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

Security Description	Date Acquired	Date Sold	Quantity	Sales Proceeds	Orig / Adj Total Cost	Realized Gain/(Loss)	Comments
FNMA POOL 745275	5 000	2-01-36	239.708	\$239.71	\$245.84	\$(6.13)	
	09/09/09	01/25/13	87.166	87.17	89.86	(2.69)	
	09/29/09	01/25/13	65.375	65.38	67.80	(2.42)	
FNMA POOL 889579	6 000	5-01-38	905.704	905.70	939.94	(34.24)	
	09/09/09	01/25/13	123.505	123.51	130.68	(7.17)	
FNMA POOL 889982	5 1/2	11-01-38	289.486	289.49	298.98	(9.49)	
	09/09/09	01/25/13	69.476	69.48	72.47	(2.99)	
	09/29/09	01/25/13	57.897	57.90	60.71	(2.81)	
FNMA POOL 930071	6 000	10-01-38	114.500	114.50	121.00	(6.50)	
Long-Term This Period				\$1,952.84	\$2,027.28	\$(74.44)	
Long-Term Year to Date				\$1,952.84	\$2,027.28	\$(74.44)	
Net Realized Gain/(Loss) This Period				\$1,952.84	\$2,027.28	\$(74.44)	
Net Realized Gain/(Loss) Year to Date				\$1,952.84	\$2,027.28	\$(74.44)	

New Treasury regulations require that we report your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes. The information in this section is provided for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Expanded Disclosures for additional information.

MESSAGES

Consolidated 1099 Tax Statement and 1099R Mailing Date Reminder

As a reminder, the Forms 1099 and 1099R filing deadline for financial services firms is February 15th. This year's Forms 1099 and 1099R mailing will commence on or about February 13th. If you are registered with Morgan Stanley Online, you will be able to log on and view your Forms 1099 and 1099R once they are available. If you are registered on Morgan Stanley Online and enrolled in eDelivery, you will be notified when they are available for each of your accounts. If you are not enrolled in eDelivery and would like to, please visit <http://www.morganstanley.com/online/delivery> and enroll or contact your Financial Advisor.

Klein Family Foundation Inc.									
Investment groupings for 990PF									
	<u>Stocks</u>	<u>ETF & Closed End Funds</u>	<u>Municipal Bonds</u>	<u>Corporate Fixed Income</u>	<u>Government Securities</u>	<u>Mutual Funds</u>	<u>Total Securities</u>	<u>Cash per Trial</u>	
Cost									
Morgan Stanley #019935	1,169,578.48	576,562.45				100,939.59	1,847,080.52	67,949.00	
Basis adjustment	(527.79)						(527.79)		
Morgan Stanley #019928	40,218.90	374,453.76	242,234.88	798,357.88	162,832.04	913,300.21	2,531,397.67	649,861.68	
Basis adjustment		(31.58)					(31.58)		
Total	1,209,269.59	950,984.63	242,234.88	798,357.88	162,832.04	1,014,239.80	4,377,918.82	717,810.68	
Market									
Morgan Stanley #019935	1,629,051.01	1,023,710.06				164,162.91	2,816,923.98	67,949.00	2,884,872.98
Morgan Stanley #019928	34,537.50	406,388.37	245,308.40	830,736.60	168,025.62	981,435.31	2,666,431.80	649,861.68	3,316,293.48
Total	1,663,588.51	1,430,098.43	245,308.40	830,736.60	168,025.62	1,145,598.22	5,483,355.78	717,810.68	6,201,166.46



Account Detail

Investment Objectives[†]: Capital Appreciation, Aggressive Income

Investment Advisory Account

[†] See the Expanded Disclosures for more information about investment objectives. Please review for accuracy and inform us if your investment objectives change.

HOLDINGS

This section reflects positions purchased/sold on a trade date basis, and will include positions purchased and omit positions sold in the current month. "Market Value" and "Unrealized Gain/(Loss)" are representative values as of the last business day of the statement period indicated, may not reflect the value that could be obtained in the market. See "Pricing of Securities" in the Expanded Disclosures. Fixed income securities are sorted by maturity or pre-refunding date, and alphabetically within date. Estimated annual income and estimated yield for certain securities may include return of principal or capital gains which could overstate such estimates. Actual income or yield may be lower or higher than the estimates. Estimated yield reflects only the income generated by an investment and, it does not reflect changes in its price, which may fluctuate. Structured products appear in various statement product categories and are identified as "Structured Products" in the Security Description column. Estimated accrued interest, estimated annual income and estimated yield for structured products with a contingent income feature (such as Range Accrual Notes or Contingent Income Notes) assume specified accrual conditions are met during the relevant observation period and payment in full of all contingent interest. If you hold structured products, see "Special Considerations Regarding Structured Products" in the Disclosures. New Treasury regulations require that we report on Form 1099-B after the close of the tax year your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments on covered securities due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. Cost basis is reflected on monthly statements for informational purposes only and should not be used in the preparation of your income tax returns. Refer to the Expanded Disclosures for additional information.

CASH, BANK DEPOSIT PROGRAM AND MONEY MARKET FUNDS

Cash, Bank Deposit Program, and Money Market Funds are generally displayed on a settlement date basis. Estimated Annual Income, Accrued Interest, and APY% will only be displayed for fully settled positions.

Description	Value	Estimated Annual Income	7-Day Current Yield %	Annual Percentage Yield %
CASH	\$314.16			
MORGAN STANLEY BANK N.A. #	67,634.84	34.00	—	0.050

CASH, BDP, AND MMFS	Market Value	Estimated Annual Income	7-Day Current Yield %	Annual Percentage Yield %	Estimated Annual Income	Accrued Interest
	\$67,949.00				\$34.00	\$0.00

Bank Deposits are held at either: (1) Morgan Stanley Bank, N.A., and/or Morgan Stanley Private Bank, National Association, affiliates of Morgan Stanley Smith Barney LLC, or (2) Citibank, N.A., each a national bank and FDIC member.

STOCKS

COMMON STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ABB LTD (ABB)	2/25/11	16,000	\$24.155	\$386.48	\$424.96	\$38.48 LT		
	3/1/11	16,000	24.149	386.39	424.96	38.57 LT		
	3/16/11	21,000	22.606	474.72	557.76	83.04 LT		
	4/27/11	32,000	26.226	839.23	849.92	10.69 LT		
	10/7/11	21,000	17.681	371.31	557.76	186.45 LT		

Account Detail

Select UMA Active Assets Account: KLEIN FAMILY FOUNDATION INC
 69-018935-037 ATTENTION: CARLA KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	11/16/11	3,000	18.457	55.37	79.68	24.31 LT		
	10/28/13	31,000	25.788	799.42	823.36	23.94 ST		
	Total	140,000		3,312.92	3,718.40	381.54 LT 23.94 ST	98.56	2.65
Share Price: \$26.560								
ACE LTD (ACE)	5/6/11	4,000	67.084	268.34	414.12	145.78 LT		
	5/6/11	1,000	67.084	67.08	103.53	36.45 LT		
	5/6/11	11,000	67.084	737.92	1,138.83	400.91 LT		
	8/24/11	11,000	62.857	691.43	1,138.83	447.40 LT		
	8/24/11	1,000	62.860	62.86	103.53	40.67 LT		
	2/13/12	11,000	73.892	812.81	1,138.83	326.02 LT		
	10/31/12	7,000	78.717	551.02	724.71	173.69 LT		
	3/25/13	10,000	88.335	883.35	1,035.30	151.95 ST		
	Total	56,000		4,074.81	5,797.68	1,570.92 LT 151.95 ST	141.12	2.43
Share Price: \$103.530; Next Dividend Payable 01/20/14								
ADIDAS-SALOMON AG SPONS ADR (ADYY)	3/11/09	34,000	15.790	536.86	2,183.82	1,646.96 LT A		
	3/5/10	23,000	24.986	574.68	1,477.29	902.61 LT		
	11/16/11	3,000	34.700	104.10	192.69	88.59 LT		
	Total	60,000		1,215.64	3,853.80	2,638.16 LT	37.92	0.98
Share Price: \$64.230								
ADOBE SYSTEMS (ADBE)	12/21/12	158,000	37.663	5,950.77	9,460.88	3,510.11 LT		
AFFILIATED MGRS GROUP INC (AMG)	12/10/09	18,000	64.790	1,166.22	3,903.84	2,737.62 LT		
	9/2/10	7,000	69.186	484.30	1,518.16	1,033.86 LT		
	3/24/11	4,000	104.500	418.00	867.52	449.52 LT		
	Total	29,000		2,068.52	6,289.52	4,221.00 LT		
Share Price: \$216.880								
AFLAC INCORPORATED (AFL)	12/3/12	50,000	53.131	2,656.57	3,340.00	683.43 LT		
	1/28/13	16,000	53.368	853.89	1,068.80	214.91 ST		
	Total	66,000		3,510.46	4,408.80	683.43 LT 214.91 ST	97.68	2.21
Share Price: \$66.800; Next Dividend Payable 03/20/14								
AIA GROUP LTD SPON ADR (AAGV)	10/10/11	49,000	11.838	580.06	987.35	407.29 LT		
	11/16/11	3,000	12.230	36.69	60.45	23.76 LT		
	1/31/12	13,000	13.340	173.42	261.95	88.53 LT		

Select UMA Active Asset Account **KLEIN FAMILY FOUNDATION, INC.**
759-019885-037 ATTENTION: CARLA KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$20.150								
AIRGAS INC (ARG)	12/10/09	33,000	47.816	1,577.93	3,691.05	2,113.12 LT	63.36	1.71
Share Price: \$111.850, Next Dividend Payable 03/2014								
AKZO NOBEL NV ADR (AKZOY)	12/10/09	42,000	21.250	892.50	1,086.54	194.04 LT		
	4/14/10	18,000	19.903	358.26	465.66	107.40 LT		
	11/17/10	18,000	19.783	356.10	465.66	109.56 LT		
	12/27/10	33,000	20.547	678.04	853.71	175.67 LT		
	8/15/12	33,000	18.169	599.58	853.71	254.13 LT		
	6/26/13	38,000	18.523	703.88	983.06	279.18 ST		
Total		182,000		3,588.36	4,708.34	840.80 LT 279.18 ST	94.09	1.99
Share Price: \$25.870								
ALCOA INC (AA)	9/18/13	255,000	8.323	2,122.44	2,710.65	588.21 ST		
	10/30/13	85,000	9.388	797.94	903.55	105.61 ST		
	11/25/13	115,000	9.580	1,101.65	1,222.45	120.80 ST		
Total		455,000		4,022.03	4,836.65	814.62 ST	54.60	1.12
Share Price: \$10.630; Next Dividend Payable 02/2014								
ALLERGAN INC (AGN)	10/3/12	80,000	93.218	7,457.42	8,886.40	1,428.98 LT	16.00	0.18
Share Price: \$111.080; Next Dividend Payable 03/2014								
ALLIANZ SE ADS (AZSEY)	2/28/13	104,000	13.730	1,427.96	1,885.52	457.56 ST		
	9/23/13	66,000	15.795	1,042.46	1,196.58	154.12 ST		
Total		170,000		2,470.42	3,082.10	611.68 ST	73.95	2.39
Share Price: \$18.130								
ALSTOM ADR (ALSMY)	1/27/11	163,000	5.830	950.29	586.80	(363.49) LT		
	11/16/11	14,000	3.410	47.74	50.40	2.66 LT		
	12/1/11	118,000	3.420	403.57	424.80	21.23 LT		
	1/31/12	37,000	3.800	140.60	133.20	(7.40) LT		
	3/26/12	113,000	4.110	464.43	406.80	(57.63) LT		
Total		445,000		2,006.63	1,602.00	(404.63) LT	32.46	2.02
Share Price: \$3.600								
AMADEUS IT HLDG SA UNSPON ADR (AMADY)	12/8/11	47,000	16.500	775.50	2,009.25	1,233.75 LT		
	2/17/12	34,000	18.920	643.28	1,453.50	810.22 LT		
Total		81,000		1,418.78	3,462.75	2,043.97 LT	38.72	1.11
Share Price: \$42.750								

Account Detail

Select UMA Active Assets Account
759-019935-037
KLEIN FAMILY FOUNDATION INC
ATTENTION: CARLA KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
AMCOR LIMITED ADR NEW (AMCRV)								
	12/3/13	42.000	39.861	1,674.16	1,835.40	161.24 ST		
	12/9/13	14.000	40.246	563.44	611.80	48.36 ST		
Total		56.000		2,237.60	2,447.20	209.60 ST	88.31	3.60
Share Price \$43.700								
AMDOCS LIMITED ORD (DOX)								
	12/11/13	56.000	40.227	2,252.69	2,309.44	56.75 ST	29.12	1.26
Share Price \$41.240; Next Dividend Payable 01/17/14								
AMERICAN CAPITAL AGENCY (AGNC)								
	6/8/11	24.000	30.650	735.60	462.96	(272.64) LT		
	6/23/11	64.000	28.568	1,828.36	1,234.56	(593.80) LT		
	3/30/12	32.000	29.409	941.08	617.28	(323.80) LT		
Total		120.000		3,505.04	2,314.80	(1,190.24) LT	312.00	13.47
Share Price \$19.290; Next Dividend Payable 01/28/14								
AMERICAN CAPITAL LTD (ACAS)								
	6/26/12	188.000	9.728	1,828.81	2,940.32	1,111.51 LT	—	—
Share Price \$15.640								
AMERICAN ELECTRIC POWER CO (AEP)								
	10/21/11	16.000	39.083	625.33	747.84	122.51 LT		
	6/1/12	28.000	38.622	1,081.42	1,308.72	227.30 LT		
Total		44.000		1,706.75	2,056.56	349.81 LT	88.00	4.27
Share Price \$46.740; Next Dividend Payable 03/20/14								
AMERICAN EXPRESS CO (AXP)								
	10/20/09	4.000	35.967	143.87	362.92	219.05 LT A		
	12/10/09	8.000	40.110	320.88	725.84	404.96 LT		
	4/4/11	17.000	45.344	770.84	1,542.41	771.57 LT		
	8/24/11	24.000	47.612	1,142.68	2,177.52	1,034.84 LT		
	4/18/12	11.000	58.429	642.72	998.03	355.31 LT		
	5/13/13	66.000	69.843	4,609.64	5,988.18	1,378.54 ST		
	5/13/13	54.000	69.843	3,771.52	4,899.42	1,127.90 ST		
Total		184.000		11,402.15	16,694.32	2,785.73 LT 2,506.44 ST	169.28	1.01
Share Price \$90.730; Next Dividend Payable 02/20/14								
AMERISOURCEBERGEN CORP (ABC)								
	5/28/13	149.000	54.394	8,104.69	10,476.19	2,371.50 ST		
	5/28/13	1.000	54.390	54.39	70.31	15.92 ST		
Total		150.000		8,159.08	10,546.50	2,387.42 ST	141.00	1.33
Share Price \$70.310; Next Dividend Payable 03/20/14								
AMETEK INC NEW (AME)								
	10/1/12	51.000	34.429	1,755.89	2,686.17	930.28 LT	12.24	0.45
Share Price \$52.670; Next Dividend Payable 03/20/14								
ANADARKO PETE (APC)								
	10/21/11	24.000	78.536	1,884.86	1,903.68	18.82 LT		
	12/3/12	9.000	74.319	668.87	713.88	45.01 LT		
	6/3/13	9.000	87.982	791.84	713.88	(77.96) ST		

Account Detail

Select UMA Active Assets/Account: 759-019955-037
 KLEIN FAMILY FOUNDATION INC
 ATTENTION: CARLA KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price \$79.320, Next Dividend Payable 03/2014								
ANALOG DEVICES INC (ADI)								
	6/8/09	20,000	24.073	481.47	1,018.60	537.13 LT A		
	12/10/09	40,000	30.349	1,213.95	2,037.20	823.25 LT		
	1/12/10	3,000	30.437	91.31	152.79	61.48 LT		
	7/22/13	66,000	47.995	3,167.64	3,361.38	193.74 ST		
	7/22/13	113,000	47.995	5,423.38	5,755.09	331.71 ST		
Total		242,000		10,377.75	12,325.06	1,421.86 LT 525.45 ST	329.12	2.67
Share Price \$50.930; Next Dividend Payable 03/2014								
APPLE INC (AAPL)								
	3/10/09	4,000	87.708	350.83	2,244.08	1,893.25 LT A		
	12/10/09	2,000	197.450	394.90	1,122.04	727.14 LT		
	2/10/11	1,000	356.258	356.26	561.02	204.76 LT		
	2/10/11	1,000	356.258	356.26	561.02	204.76 LT		
	2/10/11	2,000	356.258	712.51	1,122.04	409.53 LT		
	2/23/11	1,000	341.990	341.99	561.02	219.03 LT		
	6/16/11	5,000	324.198	1,620.99	2,805.10	1,184.11 LT		
	6/16/11	5,000	324.198	1,620.99	2,805.10	1,184.11 LT		
	12/13/11	1,000	392.770	392.77	561.02	168.25 LT		
	5/11/12	1,000	566.660	566.66	561.02	(5.64) LT		
	8/29/12	2,000	676.410	1,352.82	1,122.04	(230.78) LT		
	10/16/13	7,000	501.170	3,508.19	3,927.14	418.95 ST		
Total		32,000		11,575.17	17,952.64	5,958.52 LT 418.95 ST	390.40	2.17
Share Price \$561.020, Next Dividend Payable 02/2014								
APPLIED MATERIALS INC (AMAT)								
	6/10/13	130,000	15.534	2,019.42	2,298.40	278.98 ST		
Share Price \$17.680; Next Dividend Payable 03/2014								
ASCENA RETAIL GROUP INC COM (ASNA)								
	6/26/12	43,000	18.820	809.26	909.88	100.62 LT		
	10/1/12	42,000	20.951	879.96	888.72	8.76 LT		
Total		85,000		1,689.22	1,798.60	109.38 LT	—	—
Share Price \$21.160								
AT&T INC (T)								
	10/21/11	26,000	29.113	756.93	914.16	157.23 LT		
	11/16/11	4,000	28.960	115.84	140.64	24.80 LT		
	12/13/11	24,000	29.080	697.92	843.84	145.92 LT		
	5/11/12	22,000	33.670	740.74	773.52	32.78 LT		

Account Detail

Select UIMA Active Assets Account

759-018955-037

KLEINFAMILY FOUNDATION INC

ATTENTION: CARLA KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ATWOOD OCEANICS INC (ATW)								
Share Price: \$35.160; Next Dividend Payable 02/2014								
Share Price: \$53.390								
AVAGO TECH (AVGO)								
Share Price: \$52.879; Next Dividend Payable 03/2014								
AVALONBAY COMM INC (AVB)								
Share Price: \$118.230; Next Dividend Payable 01/15/14								
AVERY DENNISON CORPORATION (AVY)								
Share Price: \$50.190; Next Dividend Payable 03/2014								
AVIVA PLC ADR (AV)								
Share Price: \$15.150								
	3/25/13	30,000	36.400	1,092.00	1,054.80	(37.20) ST	195.04	5.23
Total		106,000		3,403.43	3,726.96	360.73 LT (37.20) ST		
	5/6/10	41,000	31.747	1,301.63	2,188.99	887.36 LT	—	—
	11/1/12	39,000	34.055	1,328.16	2,062.27	734.11 LT		
	12/18/12	11,000	32.225	354.47	581.66	227.19 LT		
	3/5/13	20,000	33.904	678.08	1,057.57	379.49 ST		
	8/1/13	22,000	37.186	818.10	1,163.33	345.23 ST		
Total		92,000		3,178.81	4,864.86	961.30 LT 724.72 ST	92.00	1.89
	3/24/09	4,000	48.478	193.91	472.92	279.01 LT A		
	12/10/09	3,000	75.660	226.98	354.69	127.71 LT		
	8/24/11	6,000	129.832	778.99	709.38	(69.61) LT		
	12/13/11	6,000	123.813	742.88	709.38	(33.50) LT		
	12/3/12	6,000	132.890	797.34	709.38	(87.96) LT		
Total		25,000		2,740.10	2,955.75	215.65 LT	107.00	3.62
	1/18/11	17,000	42.295	719.02	853.23	134.21 LT		
	3/7/11	21,000	41.058	862.22	1,053.99	191.77 LT		
	7/29/11	19,000	31.715	602.59	953.61	351.02 LT		
	11/16/11	3,000	26.860	80.58	150.57	69.99 LT		
Total		60,000		2,264.41	3,011.40	746.99 LT	69.60	2.31
	12/10/09	100,000	11.820	1,181.99	1,515.00	333.01 LT		
	12/29/10	53,000	12.390	656.67	802.95	146.28 LT		
	1/25/11	14,000	14.060	196.84	212.10	15.26 LT		
	11/16/11	19,000	9.770	185.63	287.85	102.22 LT		
	10/18/13	64,000	14.269	913.24	969.60	56.36 ST		
Total		250,000		3,134.37	3,787.50	596.77 LT 56.36 ST	113.25	2.99

Account Detail

Sub-3 (LMA) Active Assets Account
759-018935-037
KLEIN FAMILY FOUNDATION INC.
ATTENTION: CAROL KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
AXA ADS (AXAHY)								
	3/11/09	75,000	9.529	714.71	2,091.75	1,377.04 LT A		
	12/29/10	26,000	16.650	432.90	725.14	292.24 LT		
	12/30/10	2,000	16.550	33.10	55.78	22.68 LT		
	1/25/11	11,000	20.730	228.03	306.79	78.76 LT		
	11/16/11	7,000	13.280	92.96	195.23	102.27 LT		
	1/11/13	33,000	18.337	605.12	920.37	315.25 ST		
Total		154,000		2,106.82	4,295.06	1,872.99 LT 315.25 ST	117.96	2.74
Share Price: \$27.890								
BABCOCK & WILCOX COMPANY (BWC)								
	3/11/09	5,000	12.835	64.18	170.95	106.77 LT		
	12/10/09	6,000	22.743	136.46	205.14	68.68 LT		
	9/16/10	56,000	22.000	1,232.00	1,914.64	682.64 LT		
	6/6/11	20,000	27.502	550.04	683.80	133.76 LT		
	7/29/11	13,000	25.037	325.48	444.47	118.99 LT		
Total		100,000		2,308.16	3,419.00	1,110.84 LT	40.00	1.16
Share Price: \$34.190; Next Dividend Payable 03/20/14								
BAE SYS PLC SPON ADR (BAESY)								
	3/11/09	25,000	18.700	467.50	732.25	264.75 LT A		
	7/29/11	11,000	20.080	220.88	322.19	101.31 LT		
	11/16/11	5,000	17.820	89.10	146.45	57.35 LT		
	3/30/12	23,000	19.321	444.39	673.67	229.28 LT		
Total		64,000		1,221.87	1,874.56	652.69 LT	76.54	4.08
Share Price: \$29.290								
BAIDU INC ADS (BIDU)								
	7/24/12	3,000	116.280	348.84	533.64	184.80 LT		
	8/31/12	4,000	111.583	446.33	711.52	265.19 LT		
	10/10/12	7,000	108.444	759.11	1,245.16	486.05 LT		
	11/13/12	4,000	98.705	394.82	711.52	316.70 LT		
	12/6/12	7,000	88.979	622.85	1,245.16	622.31 LT		
Total		25,000		2,571.95	4,447.00	1,875.05 LT	—	—
Share Price: \$177.880								
BANCO BRADESCO S A NEW (BBD)								
	5/5/10	93,000	14.849	1,380.96	1,165.29	(215.67) LT		
	7/28/10	39,000	16.900	659.10	488.67	(170.43) LT		
	8/19/10	8,000	18.373	146.98	100.24	(46.74) LT		
	8/20/10	1,000	17.970	17.97	12.53	(5.44) LT		
	1/31/11	18,000	17.868	321.62	225.54	(96.08) LT		
	9/22/11	40,000	13.829	553.14	501.20	(51.94) LT		
	5/23/12	25,000	10.990	274.76	313.25	38.49 LT		

Account Detail

Sales/CLIMA Active Assets/Account
759-019935-037
KLEIN FAMILY FOUNDATION INC
ATTENTION: CARLA KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	4/5/13	41,000	16.580	679.78	513.73	(166.05) ST		
Total		265,000		4,034.31	3,320.45	(547.81) LT (166.05) ST	8.94	0.26
Share Price: \$12.530, Next Dividend Payable 01/09/14								
BANK OF AMERICA CORP (BAC)	11/20/13	495,000	15.180	7,514.20	7,707.15	192.95 ST	19.80	0.25
Share Price: \$15.570, Next Dividend Payable 03/20/14								
BAYER AG SPON ADR (BAYRY)	10/12/11	1,000	62.060	62.06	142.00	79.94 LT		
	10/12/11	9,000	62.060	558.54	1,278.00	719.46 LT		
	11/16/11	2,000	64.150	128.30	284.00	155.70 LT		
	1/25/12	6,000	68.230	409.38	852.00	442.62 LT		
	6/1/12	13,000	61.225	795.93	1,846.00	1,050.07 LT		
	8/29/12	5,000	77.660	388.30	710.00	321.70 LT		
Total		36,000		2,342.51	5,112.00	2,769.49 LT	64.98	1.27
Share Price: \$142.000								
BELLE INTL HLDGS LTD ADR (BELLY)	4/24/13	62,000	16.404	1,017.02	714.86	(302.16) ST		
	5/23/13	32,000	15.999	511.96	368.96	(143.00) ST		
	6/11/13	26,000	14.760	383.76	299.78	(83.98) ST		
Total		120,000		1,912.74	1,383.60	(529.14) ST	28.20	2.03
Share Price: \$11.530								
BILFINGER SE UNSPON ADR (BFLBY)	11/27/13	50,000	22.463	1,123.15	1,121.50	(1.65) ST	26.20	2.33
Share Price: \$22.430								
BIOMARIN PHARMAC SE (BMRN)	12/10/09	45,000	17.107	769.79	3,165.75	2,395.96 LT	—	—
Share Price: \$70.350								
BLACK HILLS CORP (BKH)	1/31/13	23,000	40.547	932.57	1,207.73	275.16 ST	34.96	2.89
Share Price: \$52.510, Next Dividend Payable 03/20/14								
BNP PARIBAS SP ADR REPSTG (BNPQY)	11/29/11	5,000	19.222	96.11	196.00	99.89 LT H		
	5/31/12	47,000	15.786	741.94	1,842.40	1,100.46 LT		
	6/1/12	98,000	16.140	1,581.69	3,841.60	2,259.91 LT		
Total		150,000		2,419.74	5,880.00	3,460.26 LT	101.85	1.73
Share Price: \$39.200, Basis Adjustment Due to Wash Sale: \$17.18								
BOEING CO (BA)	1/21/10	26,000	59.555	1,548.43	3,548.74	2,000.31 LT		
	7/29/11	3,000	70.867	212.60	409.47	196.87 LT		
	11/16/11	1,000	67.250	67.25	136.49	69.24 LT		
	12/13/11	11,000	72.257	794.83	1,501.39	706.56 LT		
	11/4/13	4,000	133.820	535.28	545.96	10.68 ST		

Account Detail

Select UMN Active Assets Account
759-019935-037
KLEIN FAMILY FOUNDATION INC
ATTENTION: CARLA KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$136.490, Next Dividend Payable 03/20/14								
BORG WARNER INC (BWA)								
	3/24/10	52,000	18.939	984.83	2,907.32	1,922.49 LT		
	9/3/10	6,000	24.290	145.74	335.46	189.72 LT		
Total		58,000		1,130.57	3,242.78	2,112.21 LT	29.00	0.89
Share Price: \$55.910; Next Dividend Payable 02/20/14								
BOSTON SCIENTIFIC CORP (BSX)								
	3/7/11	161,000	7.474	1,203.29	1,935.22	731.93 LT		
	3/11/11	109,000	7.488	816.20	1,310.18	493.98 LT		
	11/16/11	16,000	5.646	90.34	192.32	101.98 LT		
	1/25/12	124,000	6.100	756.36	1,490.48	734.12 LT		
Total		410,000		2,866.19	4,928.20	2,062.01 LT	—	—
Share Price: \$12.020								
BP PLC ADS (BP)								
	12/10/09	40,000	56.220	2,248.80	1,944.40	(304.40) LT		
	11/16/11	5,000	44.070	220.35	243.05	22.70 LT		
	8/29/12	11,000	42.152	463.67	534.71	71.04 LT		
Total		56,000		2,932.82	2,722.16	(210.66) LT	127.68	4.69
Share Price: \$48.610								
BRAMBLES LTD UNSPON ADR (BMBLY)								
	6/15/11	48,000	15.601	748.85	846.72	97.87 LT		
	8/12/11	41,000	13.920	570.72	723.24	152.52 LT		
	8/20/12	61,000	13.994	853.66	1,076.04	222.38 LT		
Total		150,000		2,173.23	2,646.00	472.77 LT	72.90	2.75
Share Price: \$17.640								
BRANDYWINE REALTY TR SBI NEW (BDN)								
	3/11/09	105,000	3.364	353.21	1,479.45	1,126.24 LT R		
	7/29/11	15,000	11.871	178.07	211.35	33.28 LT R		
	11/16/11	34,000	9.188	312.40	479.06	166.66 LT		
Total		154,000		843.68	2,169.86	1,326.18 LT	92.40	4.25
Share Price: \$14.090, Next Dividend Payable 01/20/14								
BRITISH AMER TOB SPON ADR (BTI)								
	3/11/09	17,000	46.850	796.45	1,826.14	1,029.69 LT A		
	4/6/10	7,000	69.697	487.88	751.94	264.06 LT		
	12/29/10	3,000	77.340	232.02	322.26	90.24 LT		
	12/26/12	4,000	100.565	402.26	429.68	27.42 LT		
	1/30/13	5,000	103.596	517.98	537.10	19.12 ST		
	5/10/13	9,000	114.363	1,029.27	966.78	(62.49) ST		

Account Detail

Select UMA Active Assets Account
759-019-055-057
KLEIN FAMILY FOUNDATION INC
ATTENTION: CARL KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$107.420								
BRITISH SKY BRDCSTG GRP PLC (BSYBY)								
	2/6/12	19,000	43.953	835.10	1,068.37	233.27 LT		
	2/15/12	9,000	43.380	390.42	506.07	115.65 LT		
	8/6/12	10,000	46.580	465.80	562.30	96.50 LT		
	8/2/13	25,000	51.352	1,283.79	1,405.75	121.96 ST		
	9/18/13	9,000	55.223	497.01	506.07	9.06 ST		
Total		72,000		3,472.12	4,048.56	445.42 LT	137.66	3.40
Share Price: \$56.230								
BROADRIDGE FIN SOLU.LLC (BR)								
	3/11/09	76,000	16.750	1,273.00	3,003.52	1,730.52 LT A		
	9/25/09	45,000	20.259	911.66	1,778.40	866.74 LT A		
	7/29/11	24,000	23.181	556.35	948.48	392.13 LT		
	5/20/13	9,000	27.122	244.10	355.68	111.58 ST		
Total		154,000		2,985.11	6,086.08	2,989.39 LT	129.36	2.12
Share Price: \$39.520, Next Dividend Payable 01/02/14								
BUNZL PLC NEW (BZLFY)								
	12/10/09	160,000	10.620	1,699.20	3,849.60	2,150.40 LT		
	12/29/10	20,000	11.530	230.60	481.20	250.60 LT		
Total		180,000		1,929.80	4,330.80	2,401.00 LT	79.92	1.84
Share Price: \$24.060; Next Dividend Payable 01/13/14								
C R BARD INC NJ (BCR)								
	11/25/13	16,000	139.703	2,235.24	2,143.04	(92.20) ST	13.44	0.62
Share Price: \$133.940; Next Dividend Payable 02/20/14								
CAMERON INTNL CORP (CAM)								
	11/4/13	34,000	55.072	1,872.46	2,024.02	151.56 ST	—	—
Share Price: \$59.530								
CANADIAN NATL RAILWAY CO (CNI)								
	3/11/09	24,000	16.285	390.84	1,368.48	977.64 LT A		
	3/11/09	26,000	16.285	423.41	1,482.52	1,059.11 LT A		
	3/11/09	14,000	16.285	227.99	798.28	570.29 LT A		
	6/18/09	126,000	21.005	2,646.68	7,184.52	4,537.84 LT A		
	12/29/10	4,000	33.245	132.98	228.08	95.10 LT		
	4/27/11	16,000	37.666	602.66	912.32	309.66 LT		
Total		210,000		4,424.56	11,974.20	7,549.64 LT	175.56	1.46
Share Price: \$57.020, Next Dividend Payable 03/20/14								
CARLSBERG AS (CABGY)								
	9/19/13	78,000	21.018	1,639.44	1,723.80	84.36 ST		
	12/3/13	90,000	21.806	1,962.53	1,989.00	26.47 ST		

Select UMA Active Assets Account
KLEIN FAMILY FOUNDATION INC
ATTENTION: CARLA KLEIN
759-01915-037

Account Detail

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$22.100								
CATERPILLAR INC (CAT)								
	3/25/13	18,000	86.422	1,555.60	1,634.58	78.98 ST		
	4/19/13	10,000	80.468	804.68	908.10	103.42 ST		
	6/18/13	19,000	84.737	1,610.00	1,725.39	115.39 ST		
Total		47,000		3,970.28	4,268.07	297.79 ST	112.80	2.64
Share Price: \$90.810; Next Dividend Payable 02/2014								
CELGENE CORP (CELG)								
	5/31/13	66,000	126.182	8,327.99	11,151.88	2,823.89 ST	—	—
Share Price: \$168.968								
GENOVUS ENERGY INC COM (CVE)								
	4/12/10	25,000	28.720	718.00	716.25	(1.75) LT		
	1/31/12	3,000	36.080	108.24	85.95	(22.29) LT		
	2/22/13	24,000	31.925	766.20	687.60	(78.60) ST		
Total		52,000		1,592.44	1,489.80	(24.04) LT	48.46	3.25
Share Price: \$28.650; Next Dividend Payable 03/2014								
CENTRICA PLC SPONS ADR NEW (CPYY)								
	3/8/10	24,000	17.266	414.39	556.32	141.93 LT		
	4/30/10	36,000	18.189	654.79	834.48	179.69 LT		
	5/28/10	24,000	15.990	383.76	556.32	172.56 LT		
	12/29/10	15,000	20.820	312.30	347.70	35.40 LT		
	10/21/13	27,000	23.690	639.63	625.86	(13.77) ST		
Total		126,000		2,404.87	2,920.68	529.58 LT	129.15	4.42
Share Price: \$23.180								
CERNER CORP (CERN)								
	3/31/11	4,000	27.824	111.30	222.96	111.66 LT		
	4/1/11	4,000	28.338	113.35	222.96	109.61 LT		
	6/4/12	40,000	38.389	1,535.57	2,229.60	694.03 LT		
Total		48,000		1,760.22	2,675.52	915.30 LT	—	—
Share Price: \$55.740								
CF INDUSTRIES HOLDINGS, INC (CF)								
	9/9/13	14,000	195.879	2,742.30	3,262.56	520.26 ST	56.00	1.71
Share Price: \$233.040; Next Dividend Payable 02/2014								
CGI GROUPE INC CL A (GIB)								
	4/29/11	26,000	21.923	570.01	869.96	299.95 LT		
	5/3/12	38,000	22.064	838.44	1,271.48	433.04 LT		
	2/19/13	16,000	27.425	438.80	535.36	96.56 ST		
	5/6/13	8,000	31.278	250.22	267.68	17.46 ST		

Account Detail

Solo-ELIMA Active Assets Account
759-019935-037
KLEINFAMILY FOUNDATION INC
ATTENTION: CAROL KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Total								
		88,000		2,097.47	2,944.48	732.99 LT 114.02 ST	—	—
Share Price: \$33.460								
CHARLES SCHWAB NEW (SCHW)	3/7/13	460,000	17.569	8,081.92	11,960.00	3,878.08 ST	110.40	0.92
Share Price: \$26.000; Next Dividend Payable 02/20/14								
CHECK POINT SOFTWARE TECH LTD (CHKP)	8/17/11	34,000	57.462	1,953.72	2,192.96	239.24 LT		
	11/16/11	2,000	57.510	115.02	128.99	13.97 LT		
Total		36,000		2,068.74	2,321.96	253.21 LT	—	—
Share Price: \$64.499								
CHEUNG KONG HOLDINGS ADR (CHEUY)	12/10/09	162,000	12.740	2,063.88	2,561.22	497.34 LT		
	12/10/09	45,000	12.740	573.30	711.45	138.15 LT		
	12/29/10	31,000	15.510	480.81	490.11	9.30 LT		
	11/16/11	29,000	11.670	338.43	458.49	120.06 LT		
	11/16/11	18,000	11.680	210.24	284.58	74.34 LT		
Total		285,000		3,666.66	4,505.85	839.19 LT	104.03	2.30
Share Price: \$15.810								
CHEVRON CORP (CVX)	10/21/11	29,000	105.200	3,050.79	3,622.39	571.60 LT		
	12/13/11	23,000	104.757	2,409.42	2,872.93	463.51 LT		
	2/23/12	8,000	108.013	864.10	999.28	135.18 LT		
	6/20/12	9,000	102.958	926.62	1,124.19	197.57 LT		
	12/3/12	9,000	105.206	946.85	1,124.19	177.34 LT		
	12/26/13	7,000	124.290	870.03	874.37	4.34 ST		
Total		85,000		9,067.81	10,617.35	1,545.20 LT 4.34 ST	340.00	3.20
Share Price: \$124.910; Next Dividend Payable 03/20/14								
CHINA LIFE INSURANCE CO LTD (LFC)	9/6/11	22,000	34.391	756.60	1,039.50	282.90 LT		
	10/3/11	19,000	34.579	657.00	897.75	240.75 LT		
	11/16/11	3,000	40.600	121.80	141.75	19.95 LT		
Total		44,000		1,535.40	2,079.00	543.60 LT	12.58	0.60
Share Price: \$47.250								
CHINA MOBILE LTD (CHL)	12/10/09	3,000	46.200	138.60	156.87	18.27 LT		
	12/10/09	3,000	46.200	138.60	156.87	18.27 LT		
	3/30/11	21,000	46.300	972.30	1,098.09	125.79 LT		
	8/12/11	4,000	48.155	192.62	209.16	16.54 LT		
	10/6/11	23,000	49.036	1,127.83	1,202.67	74.84 LT		
	10/6/11	3,000	49.037	147.11	156.87	9.76 LT		

Morgan Stanley

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

ATTENTION CARLA KLEIN

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
CHINA SHENHUA ENERGY LTD ADR (CSUAY) <i>Share Price: \$52.290</i>	11/16/11	2,000	49.510	99.02	104.58	5.56 LT		
	11/16/11	1,000	49.510	49.51	52.29	2.78 LT		
	Total	60,000		2,865.59	3,137.40	271.81 LT	120.90	3.85
	11/22/13	82,000	13.810	1,132.40	1,033.20	(99.20) ST	41.90	4.05
CHINA TELECOM LTD (CHA) <i>Share Price: \$12.600</i>	12/10/09	12,000	43.550	522.60	606.84	84.24 LT		
	5/28/10	3,000	46.140	138.42	151.71	13.29 LT		
	12/29/10	7,000	51.240	358.68	353.99	(4.69) LT		
	11/16/11	1,000	61.240	61.24	50.57	(10.67) LT		
	2/6/12	5,000	55.490	277.45	252.85	(24.60) LT		
	7/31/12	22,000	52.149	1,147.27	1,112.54	(34.73) LT		
	8/12/13	5,000	51.136	255.68	252.85	(2.83) ST		
	10/22/13	13,000	54.709	711.22	657.41	(53.81) ST		
	Total	68,000		3,472.56	3,438.76	22.84 LT (56.64) ST	67.05	1.94
CHIPOTLE MEXICAN GRILL INC COM (CMG) <i>Share Price: \$50.570</i>	6/21/13	17,000	361.293	6,141.98	9,057.26	2,915.28 ST		
	6/24/13	5,000	357.060	1,785.30	2,663.90	878.60 ST		
	Total	22,000		7,927.28	11,721.16	3,793.88 ST	—	—
	CHUBB CORP (CB) <i>Share Price: \$532.780</i>	6/10/09	25,000	41.192	1,029.81	2,415.75	1,385.94 LT A	
8/5/09		25,000	48.229	1,205.73	2,415.75	1,210.02 LT A		
12/10/09		2,000	48.570	97.14	193.26	96.12 LT		
Total		52,000		2,332.68	5,024.76	2,692.08 LT	91.52	1.82
CHURCH & DWIGHT CO INC (CHD) <i>Share Price: \$96.630; Next Dividend Payable 01/07/14</i>	6/17/09	36,000	26.026	936.94	2,386.08	1,449.14 LT A		
	6/25/09	20,000	27.266	545.31	1,325.60	780.29 LT A		
	Total	56,000		1,482.25	3,711.68	2,229.43 LT	62.72	1.68
	<i>Share Price: \$66.280; Next Dividend Payable 03/20/14</i>							
CIELO SA SPONSORED ADR NEW (CIOXY) <i>Share Price: \$28.000</i>	9/27/11	55,000	16.529	909.07	1,540.00	630.93 LT	51.21	3.32
CINEMARK HOLDINGS INC. (CNK)	8/31/10	5,000	14.588	72.94	166.65	93.71 LT		
	8/31/10	2,000	14.588	29.18	66.66	37.48 LT		
	8/31/10	2,000	14.588	29.18	66.66	37.48 LT		

Account Detail

Select UMA Active Assets/Account: KLEIN FAMILY FOUNDATION INC.
759-019935-037 ATTENTION: CARLA KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
CITIGROUP INC NEW (C)	8/31/10	15,000	14.588	218.83	499.95	281.12 LT		
	8/31/10	14,000	14.588	204.23	466.62	262.39 LT		
	5/13/11	23,000	20.690	475.86	766.59	290.73 LT		
	3/15/12	26,000	21.576	560.97	866.58	305.61 LT		
	2/4/13	69,000	28.115	1,939.96	2,299.77	359.81 ST		
	8/15/13	16,000	30.891	494.25	533.28	39.03 ST		
	8/26/13	16,000	30.400	486.40	533.28	46.88 ST		
	Total	188,000		4,511.80	6,266.04	1,308.52 LT 445.72 ST	188.00	3.00
Share Price: \$33.330, Next Dividend Payable 03/2014								
CITRIX SYSTEMS INC (CTXS)	10/21/11	98,000	30.099	2,949.72	5,106.78	2,157.06 LT		
	2/13/12	18,000	33.410	601.38	937.98	336.60 LT		
	3/20/12	42,000	38.090	1,599.78	2,188.62	588.84 LT		
	10/31/12	18,000	37.448	674.07	937.98	263.91 LT		
	1/28/13	32,000	42.430	1,357.75	1,667.52	309.77 ST		
	Total	208,000		7,182.70	10,838.88	3,346.41 LT 309.77 ST	8.32	0.07
Share Price: \$52.110, Next Dividend Payable 02/2014								
CLOROX CO DE (CLX)	11/6/12	102,000	64.256	6,554.16	6,451.50	(102.66) LT		
	10/28/09	23,000	57.990	1,333.77	2,133.48	799.71 LT A		
	12/10/09	10,000	61.944	619.44	927.60	308.16 LT		
	11/16/11	4,000	65.310	261.24	371.04	109.80 LT		
	Total	37,000		2,214.45	3,432.12	1,217.67 LT	105.08	3.06
Share Price: \$92.760, Next Dividend Payable 02/2014								
CNOOC LTD ADS (CEO)	12/10/09	14,000	155.300	2,174.20	2,627.24	453.04 LT		
	12/27/10	1,000	232.700	232.70	187.66	(45.04) LT		
	11/16/11	2,000	198.130	396.26	375.32	(20.94) LT		
	5/16/13	3,000	184.410	553.23	562.98	9.75 ST		
	Total	20,000		3,356.39	3,753.20	387.06 LT 9.75 ST	132.30	3.52
Share Price: \$187.660								
COACH INC (COH)	3/25/13	15,000	49.783	746.75	841.95	95.20 ST		
	3/25/13	2,000	49.783	99.57	112.26	12.69 ST		
	3/25/13	1,000	49.783	49.78	56.13	6.35 ST		
	5/15/13	18,000	58.713	1,056.84	1,010.34	(46.50) ST		

Account Detail

Settlements: JMA Active/Assets Account
759-019935-037

KLEIN FAMILY FOUNDATION INC
ATTENTION: CARLA KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	11/27/13	29,000	56.230	1,630.67	1,627.77	(2.90) ST		
	12/3/13	10,000	56.250	562.50	561.30	(1.20) ST		
Total		75,000		4,146.11	4,209.75	63.64 ST	101.25	2.40
Share Price: \$56.130, Next Dividend Payable 01/03/14								
COCA COLA AMATIL LTD SPON ADR (CCLAV)	12/10/09	40,000	20.200	808.00	856.00	48.00 LT		
	8/22/11	23,000	24.458	562.53	492.20	(70.33) LT		
	11/16/11	7,000	25.240	176.68	149.80	(26.88) LT		
Total		70,000		1,547.21	1,498.00	(49.21) LT	124.46	8.30
Share Price: \$21.400								
COGNIZANT TECH SOLUTIONS CL A (CTSH)	12/10/09	37,000	44.209	1,635.71	3,736.26	2,100.55 LT	—	—
Share Price: \$100.980								
COLGATE PALMOLIVE CO (CL)	3/10/09	130,000	27.705	3,601.65	8,477.30	4,875.65 LT A		
	12/10/09	8,000	41.440	331.52	521.68	190.16 LT		
	12/29/10	32,000	40.380	1,292.16	2,086.72	794.56 LT		
Total		170,000		5,225.33	11,085.70	5,860.37 LT	231.20	2.08
Share Price: \$65.210, Next Dividend Payable 02/20/14								
COMCAST CORP (NEW) CLASS A (CMCSA)	8/8/11	2,000	21.190	42.38	103.92	61.54 LT		
	1/11/12	30,000	25.520	765.60	1,558.94	793.34 LT		
	8/29/12	29,000	34.139	990.03	1,506.98	516.95 LT		
	10/24/12	53,000	36.709	1,945.59	2,754.14	808.55 LT		
	10/24/12	80,000	36.709	2,936.74	4,157.19	1,220.45 LT		
	10/24/12	61,000	36.709	2,239.27	3,169.86	930.59 LT		
	1/28/13	3,000	39.713	119.14	155.89	36.75 ST		
	1/28/13	47,000	39.713	1,866.51	2,442.35	575.84 ST		
Total		305,000		10,905.26	15,849.32	4,331.42 LT	237.90	1.50
Share Price: \$51.965, Next Dividend Payable 01/23/14								
COMPASS GROUP PLC SPON ADR NEW (CMPGV)	12/10/09	292,000	7.390	2,157.88	4,709.66	2,551.78 LT		
	12/29/10	34,000	9.370	318.58	548.38	229.80 LT		
	11/16/11	19,000	8.980	170.62	306.45	135.83 LT		
Total		345,000		2,647.08	5,564.50	2,917.41 LT	120.41	2.16
Share Price: \$16.129								
CONCHO RES INC (CXO)	6/18/12	23,000	88.390	2,032.98	2,484.00	451.02 LT		
	5/6/13	4,000	82.993	331.97	432.00	100.03 ST		

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	Total	27,000		2,364.95	2,916.00	451.02 LT 100.03 ST	—	—
Share Price \$108.000								
CONOCOPHILLIPS (COP)	5/27/10	7,000	39.952	279.66	494.55	214.89 LT		
	6/17/10	16,000	42.280	676.48	1,130.40	453.92 LT		
	6/21/12	76,000	54.226	4,121.15	5,369.40	1,248.25 LT		
Total		99,000		5,077.29	6,994.35	1,917.06 LT	273.24	3.90
Share Price: \$70.650; Next Dividend Payable 03/2014								
COOPER CO INC NEW (COO)	9/30/11	23,000	80.284	1,846.53	2,848.32	1,001.79 LT	1.38	0.04
Share Price: \$123.840, Next Dividend Payable 02/2014								
CORNING INC (GLW)	8/13/13	120,000	15.176	1,821.12	2,138.40	317.28 ST		
	12/4/13	78,000	16.747	1,306.23	1,389.96	83.73 ST		
Total		198,000		3,127.35	3,528.36	401.01 ST	79.20	2.24
Share Price: \$17.820, Next Dividend Payable 03/2014								
COVIDIEN PLC (COV)	3/11/09	5,000	27.158	135.79	340.50	204.71 LT		
	3/11/09	22,000	27.158	597.48	1,498.20	900.72 LT		
	6/17/10	27,000	38.250	1,032.76	1,838.70	805.94 LT		
Total		54,000		1,766.03	3,677.40	1,911.37 LT	69.12	1.87
Share Price: \$68.100; Next Dividend Payable 02/2014								
CREDIT AGRICOLE SA UNSP ADR (CRARY)	8/19/10	63,000	6.540	412.02	404.46	(7.56) LT		
	12/29/10	108,000	6.360	686.88	693.36	6.48 LT		
	6/28/11	17,000	7.150	121.55	109.14	(12.41) LT		
	9/6/11	119,000	3.970	472.38	763.98	291.60 LT		
	9/29/11	105,000	3.660	384.30	674.10	289.80 LT		
Total		412,000		2,077.13	2,645.04	567.91 LT	—	—
Share Price \$6.420								
CREDIT SUISSE GROUP (CS)	7/1/11	4,000	39.837	159.35	124.16	(35.19) LT		
	8/31/11	13,000	28.850	375.05	403.52	28.47 LT		
	9/30/11	13,000	26.491	344.38	403.52	59.14 LT		
	11/16/11	11,000	23.340	256.74	341.44	84.70 LT		
	3/28/12	15,000	29.278	439.17	465.60	26.43 LT		
	5/16/12	28,000	20.145	564.07	869.12	305.05 LT		
	6/1/12	57,000	18.613	1,060.96	1,769.28	708.32 LT		
	8/29/12	17,000	15.620	265.54	527.68	262.14 LT		
Total		158,000		3,465.26	4,904.32	1,439.06 LT	16.75	0.34
Share Price: \$31.040								

**KLEIN FAMILY FOUNDATION
ATTENTION: CARLA KLEIN**

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Dividend Yield %
CRH PLC ADR (CRH)	12/10/09	34,000	26.610	904.74	868.70	(36.04) LT		
	8/27/10	19,000	15.727	298.81	485.45	186.64 LT		
	7/29/11	11,000	19.780	217.58	281.05	63.47 LT		
	11/16/11	3,000	18.030	54.09	76.65	22.56 LT		
	8/15/12	27,000	17.800	480.61	689.85	209.24 LT		
	5/22/13	22,000	21.484	472.65	562.10	89.45 ST		
	Total	116,000		2,428.48	2,963.80	445.87 LT 89.45 ST	94.54	3.18
Share Price: \$25.550								
CUMMINS INC (CMI)	11/15/12	64,000	100.731	6,446.78	9,022.08	2,575.30 LT	160.00	1.77
Share Price: \$140.970, Next Dividend Payable 03/2014								
CVS CAREMARK CORP (CVS)	6/9/10	9,000	30.792	277.12	644.13	367.01 LT		
	6/17/10	16,000	31.791	508.66	1,145.12	636.46 LT		
	11/1/10	26,000	30.000	780.00	1,080.82	1,080.82 LT		
	10/21/11	35,000	35.487	1,242.05	2,504.95	1,262.90 LT		
	5/11/12	22,000	45.886	1,009.50	1,574.54	565.04 LT		
	Total	108,000		3,817.33	7,729.56	3,912.23 LT	118.80	1.53
Share Price: \$71.570; Next Dividend Payable 02/2014								
DBS GROUP HOLDINGS LTD SP (DBSDY)	12/10/09	43,000	42.250	1,816.75	2,333.61	516.86 LT		
	12/29/10	9,000	44.790	403.11	488.43	85.32 LT		
	11/16/11	6,000	39.790	238.74	325.62	86.88 LT		
	Total	58,000		2,458.60	3,147.66	689.06 LT	100.57	3.19
Share Price: \$54.270								
DELTA AIR LINES INC NEW (DAL)	9/9/13	96,000	21.727	2,085.77	2,637.12	551.35 ST		
	11/4/13	46,000	27.391	1,260.00	1,263.62	3.62 ST		
	Total	142,000		3,345.77	3,900.74	554.97 ST	34.08	0.87
Share Price: \$27.470, Next Dividend Payable 02/2014								
DENSO CORP LTD ADR (DNZOY)	12/10/09	14,000	14.844	207.81	370.30	162.49 LT		
	12/27/10	6,000	17.150	102.90	158.70	55.80 LT		
	12/29/10	14,000	17.320	242.48	370.30	127.82 LT		
	3/16/11	12,000	15.808	189.69	317.40	127.71 LT		
	6/2/11	43,000	17.645	758.73	1,137.35	378.62 LT		
	11/16/11	3,000	14.240	42.72	79.35	36.63 LT		
Total	92,000		1,544.33	2,433.40	889.07 LT	31.46	1.29	
Share Price: \$26.450								

Account Detail

Select LIMA Active Assets Account

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
DEUTSCHE BOERSE AG UNSPONS ADR (DBOEY)	11/21/12	246,000	5.320	1,308.82	2,029.50	720.68 LT	44.28	2.18
Share Price: \$8.250								
DEUTSCHE LUFTHANSA ADR (DLAKY)	10/27/11	25,000	15.087	377.18	534.65	157.47 LT		
	11/16/11	6,000	12.710	76.26	128.31	52.05 LT		
	11/30/11	28,000	12.956	362.77	598.80	236.03 LT		
	2/6/12	11,000	14.680	161.48	235.24	73.76 LT		
	3/30/12	26,000	14.121	367.15	556.03	188.88 LT		
	9/4/13	36,000	16.823	605.64	769.89	164.25 ST		
	10/22/13	18,000	19.923	358.61	384.94	26.33 ST		
Total		150,000		2,309.09	3,207.90	708.19 LT 190.58 ST	--	--
Share Price: \$21.386								
DEUTSCHE POST AG SPONSORED ADR (DPGGY)	12/10/09	5,000	19.450	97.25	183.50	86.25 LT		
	2/4/11	13,000	18.250	237.25	477.10	239.85 LT		
	3/21/13	19,000	23.678	449.88	697.30	247.42 ST		
	3/21/13	4,000	23.678	94.71	146.80	52.09 ST		
	3/21/13	21,000	23.678	497.23	770.70	273.47 ST		
	3/21/13	18,000	23.678	426.20	660.60	234.40 ST		
	6/3/13	18,000	25.288	455.18	660.60	205.42 ST		
Total		98,000		2,257.70	3,596.60	326.10 LT 1,012.80 ST	86.93	2.41
Share Price: \$36.700								
DEUTSCHE TELEKOM AG 1 ORD 1ADS (DTEGY)	8/15/13	162,000	12.941	2,096.47	2,796.12	699.65 ST	145.15	5.19
Share Price: \$17.260								
DIEBOLD INC (DBD)	5/13/13	67,000	30.707	2,057.35	2,211.67	154.32 ST	77.05	3.48
Share Price: \$33.010; Next Dividend Payable 03/2014								
DIGITAL REALTY TRUST INC (DLR)	12/10/09	31,000	47.722	1,479.37	1,522.72	43.35 LT R	96.72	6.35
Share Price: \$49.120, Next Dividend Payable 01/15/14								
DISCOVER FINCL SVCS (DFS)	3/25/13	81,000	44.873	3,634.75	4,531.95	897.20 ST		
	4/19/13	18,000	43.232	778.18	1,007.10	228.92 ST		
Total		99,000		4,412.93	5,539.05	1,126.12 ST	79.20	1.42
Share Price: \$55.950, Next Dividend Payable 02/2014								

Account Detail

SmallCap Active Assets Account
759-019555-037

KLEIN FAMILY FOUNDATION INC
ATTENTION: CARLA KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Dividend Yield %
DISCOVERY COMMUNICATIONS SER A (DISCA) Share Price: \$90.420	4/17/12	41,000	52.379	2,147.53	3,707.22	1,559.69 LT	—	—
DOLLAR GEN CORP NEW COM (DG) Share Price: \$60.320	6/18/13	34,000	52.129	1,772.39	2,050.88	278.49 ST	—	—
DOLLAR TREE INC (DLTR) Share Price: \$56.420	12/1/11	146,000	41.146	6,007.27	8,237.32	2,230.05 LT	—	—
DUKE ENERGY CORP NEW (DUK)								
	3/11/09	40,000	36.986	1,479.44	2,760.40	1,280.96 LT A		
	12/10/09	4,000	41.278	165.11	276.04	110.93 LT		
Total		44,000		1,644.55	3,036.44	1,391.89 LT	137.28	4.52
Share Price: \$69.010; Next Dividend Payable 03/20/14								
EATON CORP PLC SHS (ETN)	12/3/12	33,000	51.655	1,704.62	2,511.96	807.34 LT	55.44	2.20
Share Price: \$76.120, Next Dividend Payable 02/20/14								
EBAY INC (EBAY) Share Price: \$54.865	8/16/12	156,000	45.733	7,134.38	8,558.94	1,424.56 LT	—	—
ECOLAB INC (ECL) Share Price: \$104.270, Next Dividend Payable 01/15/14	6/16/11	31,000	54.237	1,681.33	3,232.37	1,551.04 LT	34.10	1.05
EDISON INTERNATIONAL (EIX)								
	10/31/12	32,000	46.950	1,502.40	1,481.60	(20.80) LT		
	3/25/13	20,000	50.635	1,012.70	926.00	(86.70) ST		
Total		52,000		2,515.10	2,407.60	(20.80) LT	73.84	3.06
Share Price: \$46.300; Next Dividend Payable 01/31/14								
EMBRAER S A ADR (ERJ)								
	12/10/09	3,000	20.380	61.14	96.54	35.40 LT		
	7/29/11	4,000	29.650	118.60	128.72	10.12 LT		
	11/16/11	1,000	26.410	26.41	32.18	5.77 LT		
	1/18/13	20,000	27.611	552.21	643.60	91.39 ST		
	12/4/13	19,000	29.829	566.76	611.42	44.66 ST		
Total		47,000		1,325.12	1,512.46	51.29 LT	3.81	0.25
Share Price: \$32.180; Next Dividend Payable 01/17/14								
EMC CORP MASS (EMC)								
	12/3/12	31,000	24.902	771.98	779.65	7.67 LT		
	12/5/12	30,000	25.204	756.11	754.50	(1.61) LT H		
	3/25/13	42,000	23.760	997.94	1,056.30	58.36 ST		
	3/25/13	53,000	23.760	1,259.30	1,332.95	73.65 ST		
	8/13/13	48,000	26.959	1,294.01	1,207.20	(86.81) ST		

Account Detail

SMITH BARBARA J. KLEIN FAMILY FOUNDATION INC
 ATTENTION: CARLA KLEIN
 759-0198-5037

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Total		204,000		5,079.34	5,130.60	6.06 LT 45.20 ST	81.60	1.59
Share Price: \$25.150; Next Dividend Payable 01/2014, Basis Adjustment Due to Wash Sale: \$10.61								
ENCANA CORP (ECA)	12/10/13	87,000	19.373	1,685.43	1,570.35	(115.08) ST	24.36	1.55
Share Price: \$18.050; Next Dividend Payable 03/2014								
ENDURANCE SPCLTY HLDGS LTD (ENH)	3/11/09	50,000	21.020	1,051.00	2,933.50	1,882.50 LT A		
	5/7/09	20,000	25.580	511.59	1,173.40	661.81 LT A		
	8/19/09	5,000	34.150	170.75	293.35	122.60 LT A		
	11/16/11	10,000	37.692	376.92	586.70	209.78 LT		
Total		85,000	2,110.26	4,986.95	2,876.69 LT		108.80	2.18
Share Price: \$58.670; Next Dividend Payable 03/2014								
ENI SPA AMER DEP RCPT (E)	12/10/09	35,000	49.180	1,721.30	1,697.15	(24.15) LT		
	8/4/11	16,000	39.289	628.63	775.84	147.21 LT		
	8/3/12	17,000	42.621	724.56	824.33	99.77 LT		
Total		68,000	3,074.49	3,297.32	222.83 LT		157.15	4.76
Share Price: \$48.490								
ENERGY CORP NEW (ETR)	3/11/09	23,000	60.980	1,402.54	1,455.21	52.67 LT A		
	12/10/09	4,000	80.930	323.72	253.08	(70.64) LT		
	1/18/11	12,000	72.772	873.26	759.24	(114.02) LT		
Total		39,000	2,599.52	2,467.53	(131.99) LT		129.48	5.24
Share Price: \$63.270; Next Dividend Payable 03/2014								
EOG RESOURCES INC (EOG)	4/19/13	3,000	113.492	340.48	503.52	163.04 ST		
	8/12/13	26,000	159.177	4,138.60	4,363.84	225.24 ST		
	8/12/13	14,000	159.177	2,228.47	2,349.76	121.29 ST		
	8/12/13	5,000	159.177	795.88	839.20	43.32 ST		
	8/12/13	9,000	159.177	1,432.59	1,510.56	77.97 ST		
Total		57,000	8,936.02	9,566.88	630.86 ST		42.75	0.44
Share Price: \$167.840; Next Dividend Payable 01/2014								
ERICSSON LM TEL ADR CL B NEW (ERIC)	12/10/09	45,000	9.508	427.86	550.80	122.94 LT		
	5/10/10	27,000	10.510	283.77	330.48	46.71 LT		
	10/7/10	39,000	10.820	421.98	477.36	55.38 LT		
	10/20/10	53,000	10.876	576.44	648.72	72.28 LT		
	11/3/10	36,000	10.834	390.04	440.64	50.60 LT		
	11/3/10	5,000	10.834	54.17	61.20	7.03 LT		
	11/3/10	1,000	10.834	10.83	12.24	1.41 LT		
	11/3/10	41,000	10.834	444.22	501.84	57.62 LT		

Account Detail

SELECT UMA Active Assets Account
759-0189 (5-037)
KLEIN FAMILY FOUNDATION INC
ATTENTION: CARLA KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$12.240								
ESSEX PROPERTY TRUST INC (ESS)	12/29/10	49,000	11.550	565.95	599.76	33.81 LT		
	1/26/11	56,000	12.516	700.90	685.44	(15.46) LT		
	6/20/11	28,000	13.615	381.23	342.72	(38.51) LT		
	6/23/11	54,000	13.383	722.67	660.96	(61.71) LT		
	8/9/11	34,000	10.880	369.92	416.16	46.24 LT		
	11/16/11	23,000	10.127	232.92	281.52	48.60 LT		
	11/16/11	19,000	10.137	192.60	232.56	39.96 LT		
Total		510,000		5,775.50	6,242.40	466.90 LT	149.94	2.40
Share Price: \$12.240								
ESSEX PROPERTY TRUST INC (ESS)	12/10/09	13,000	79.923	1,039.00	1,865.63	826.63 LT R	62.92	3.37
Share Price: \$143.510; Next Dividend Payable 01/15/14								
ESTEE LAUDER CO INC CL A (EL)	9/21/12	106,000	62.128	6,585.57	7,983.92	1,398.35 LT	84.80	1.06
Share Price: \$75.320; Next Dividend Payable 03/20/14								
EXXON MOBIL CORP (XOM)								
	7/9/10	32,000	58.759	1,880.29	3,238.40	1,358.11 LT		
	7/13/10	22,000	59.473	1,308.41	2,226.40	917.99 LT		
	4/18/12	4,000	85.838	343.35	404.80	61.45 LT		
	6/20/12	18,000	84.267	1,516.81	1,821.60	304.79 LT		
	6/20/12	4,000	84.267	337.07	404.80	67.73 LT		
	12/3/12	1,000	88.190	88.19	101.20	13.01 LT		
	12/3/12	11,000	88.192	970.11	1,113.20	143.09 LT		
	12/26/13	105,000	100.655	10,568.74	10,626.00	57.26 ST		
	12/26/13	3,000	100.653	301.96	303.60	1.64 ST		
Total		200,000		17,314.93	20,240.00	2,866.17 LT	504.00	2.49
Share Price: \$101.200; Next Dividend Payable 03/20/14								
FACEBOOK INC CL-A (FB)	8/21/13	220,000	38.733	8,521.17	12,022.78	3,501.61 ST	—	—
Share Price: \$54.649								
FANUC CORPORATION UNSP ADR (FANUY)								
	7/29/10	13,000	20.174	262.26	399.23	136.97 LT		
	12/28/10	5,000	25.460	127.30	153.55	26.25 LT		
	12/29/10	11,000	25.760	283.36	337.81	54.45 LT		
	11/16/11	3,000	27.570	82.71	92.13	9.42 LT		
	8/10/12	10,000	26.922	269.22	307.10	37.88 LT		
	2/4/13	30,000	25.672	770.17	921.30	151.13 ST		
	6/26/13	30,000	23.900	717.00	921.30	204.30 ST		
	8/1/13	28,000	26.278	735.77	859.88	124.11 ST		

KLEINFAMILY FOUNDATION
ATTENTION: CARLA KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$30.710								
FIFTH 3RD BANCORP OHIO (FITB)	1/27/10	78,000	12.242	954.88	1,640.34	685.46 LT		
	12/29/10	64,000	14.835	949.45	1,345.92	396.47 LT		
	4/1/11	2,000	14.040	28.08	42.06	13.98 LT		
	7/15/11	34,000	11.860	403.24	715.02	311.78 LT		
Total		178,000		2,335.65	3,743.34	1,407.69 LT	85.44	2.28
Share Price: \$21.030, Next Dividend Payable 01/23/14								
FIRST AMERICAN FINL CORP (FAF)	2/23/11	20,000	15.972	319.43	564.00	244.57 LT		
	2/23/11	53,000	16.383	868.28	1,494.60	626.32 LT H		
	3/18/11	42,000	16.745	703.31	1,184.40	481.09 LT		
	3/22/11	3,000	16.750	50.25	84.60	34.35 LT		
	7/12/13	60,000	22.239	1,334.32	1,692.00	357.68 ST		
	7/15/13	12,000	22.236	266.83	338.40	71.57 ST		
Total		190,000		3,542.42	5,358.00	1,386.33 LT	91.20	1.70
Share Price: \$28.200, Next Dividend Payable 03/20/14, Basis Adjustment Due to Wash Sale: \$238.63								
FISERV INC WISCONSIN (FISV)	12/10/09	48,000	23.390	1,122.72	2,834.40	1,711.68 LT	—	—
Share Price: \$59.050								
FLEXTRONICS INTL LTD (FLEX)	5/10/10	16,000	7.300	116.80	124.32	7.52 LT		
	10/21/10	73,000	6.181	451.22	567.21	115.99 LT		
	7/29/11	13,000	6.480	84.24	101.01	16.77 LT		
	1/31/12	23,000	6.886	158.38	178.71	20.33 LT		
	2/10/12	28,000	6.970	195.16	217.56	22.40 LT		
Total		153,000		1,005.80	1,188.81	183.01 LT	—	—
Share Price: \$7.770								
FMC CORP NEW (FMC)	8/27/13	30,000	66.936	2,008.07	2,263.80	255.73 ST		
	8/28/13	96,000	66.310	6,365.77	7,244.16	878.39 ST		
Total		126,000		8,373.84	9,507.96	1,134.12 ST	68.04	0.71
Share Price: \$75.460, Next Dividend Payable 01/16/14								
FOMENTO ECONOMICO MEXICANO (FMX)	9/2/11	6,000	68.998	413.99	587.22	173.23 LT		
	10/12/11	5,000	68.546	342.73	489.35	146.62 LT		
	11/16/11	3,000	66.680	200.04	293.61	93.57 LT		
Total		14,000		956.76	1,370.18	413.42 LT	43.64	3.18
Share Price: \$97.870								

Select UMA Active Accounts & Count

STOCKS

COMMON STOCKS (CONTINUED)

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KLEINER'S EMPLOYMENT
WINTER 1966-67

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
GENUINE PARTS CO (GPC)								
	12/10/09	34,000	37.847	1,286.80	2,828.46	1,541.66 LT		
	10/15/10	11,000	47.774	525.51	915.09	389.58 LT		
	12/14/12	11,000	62.923	692.15	915.09	222.94 LT		
Total		56,000		2,504.46	4,658.64	2,154.18 LT	120.40	2.58

Share Price. \$83.190, Next Dividend Payable 01/02/14

GETINGE AB UNSPONS ADR (GNGBV)	4/17/13	30,000	29,196	875.87	1,024.80	148.93 ST
	4/18/13	2,000	29,330	58.66	68.32	9.66 ST
	6/7/13	24,000	30,985	743.65	819.84	76.19 ST
	7/10/13	16,000	32,027	512.43	546.56	34.13 ST
	9/11/13	8,000	35,770	286.16	273.28	(12.88) ST
Total		80,000		2,476.77	2,732.80	256.03 ST
						32.32
						1.18

Share Price: \$34.160

GILEAD SCIENCE (GILD)	4/18/12	64,000	23,385	1,496.62	4,806.40	3,309.78 LT
	5/11/12	26,000	25,820	671.31	1,952.60	1,281.29 LT
	10/16/13	18,000	65,328	1,175.91	1,351.80	175.89 ST
	Total	108,000		3,343.84	8,110.80	4,591.07 LT 175.89 ST
						—

Share Price: \$75.100

GLAXOSMITHKLINE PLC ADS (GSK)	12/29/10	3,000	39,240	117.72	160.17	42.45 LT
	11/1/11	17,000	44,200	751.40	907.53	156.23 LT
	11/1/11	1,000	44,200	44.20	53.39	9.19 LT
	11/28/11	9,000	42,322	380.90	480.51	99.61 LT
	11/28/11	4,000	42,323	169.29	213.56	44.27 LT
	6/1/12	1,000	43,780	43.78	53.39	9.61 LT
	6/1/12	15,000	43,779	656.68	800.85	144.17 LT
	6/20/12	14,000	46,160	646.24	747.46	101.22 LT
	6/20/12	4,000	46,160	184.64	213.56	28.92 LT
	9/11/13	6,000	50,873	305.24	320.34	15.10 ST
	10/4/13	10,000	50,125	501.25	533.90	32.65 ST
Total		84,000	3,801.34	4,484.76		635.67 LT
						202.36
						4.51

Share Price \$53.39; Next Dividend Payable 01/09/14

GOLDMAN SACHS GRP INC (GS)	3/10/09	2,000	84.823	169.65	354.52	184.87 LT A
	4/17/09	6,000	120.588	723.53	1,063.56	340.03 LT A
	9/9/09	6,000	169.410	1,016.46	1,063.56	47.10 LT A
	12/10/09	2,000	165.530	331.06	354.52	23.46 LT

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
GOOGLE INC-CL A (GOOG) Share Price: \$177.260; Next Dividend Payable 03/2014	12/29/10	3,000	168.140	504.42	531.78	27.36 LT		
	8/29/12	7,000	105.989	741.92	1,240.82	498.90 LT		
	Total	26,000		3,487.04	4,608.76	1,121.72 LT	57.20	1.24
	2/2/11	4,000	612.214	2,448.85	4,482.84	2,033.99 LT		
GRACE WR & CO DELA NEW (GRA) Share Price: \$1,120.710	5/24/12	5,000	601.162	3,005.81	5,603.55	2,597.74 LT		
	5/24/12	1,000	601.160	601.16	1,120.71	519.55 LT		
	Total	10,000		6,055.82	11,207.10	5,151.28 LT	---	---
	12/9/11	23,000	42.755	983.37	2,274.01	1,290.64 LT		
GREEN MOUNTAIN COFFEE INC (GMCR) Share Price: \$98.870	12/9/11	14,000	42.755	598.58	1,384.18	785.60 LT		
	12/30/11	13,000	45.951	597.36	1,285.31	687.95 LT		
	6/14/13	13,000	83.001	1,079.01	1,285.31	206.30 ST		
	Total	63,000		3,258.32	6,228.81	2,764.19 LT	---	---
GRUPO TELEWISA S.A.GLOBAL DEP (TV) Share Price: \$75.540	3/13/12	29,000	51.830	1,503.07	2,190.66	687.59 LT	29.00	1.32
	12/10/09	59,000	20.957	1,236.49	1,785.34	548.85 LT		
	9/27/11	19,000	19.368	368.00	574.94	206.94 LT		
	11/16/11	2,000	20.855	41.71	60.52	18.81 LT		
GULFPORT ENERGY CORP NEW (GPOR) Share Price: \$30.260; Next Dividend Payable 01/02/14	5/4/12	23,000	21.425	492.77	695.98	203.21 LT		
	7/13/12	25,000	21.806	545.15	756.50	211.35 LT		
	Total	128,000		2,684.12	3,873.28	1,189.16 LT	32.13	0.82
	2/26/13	26,000	36.063	937.65	1,641.38	703.73 ST		
HAEMONETICS CORP (HAE) Share Price: \$63.130	8/8/13	19,000	51.402	976.63	1,199.47	222.84 ST		
	Total	45,000		1,914.28	2,840.85	926.57 ST	---	---
	3/10/11	42,000	31.820	1,336.46	1,769.46	433.00 LT		
	4/1/11	2,000	36.900	73.80	84.26	10.46 LT H		
GRUPO TELEWISA S.A.GLOBAL DEP (TV) Share Price: \$75.540	6/6/11	2,000	33.072	66.14	84.26	18.12 LT		
	6/6/11	20,000	33.072	661.44	842.60	181.16 LT		
	11/16/11	4,000	29.680	118.72	168.52	49.80 LT		
	5/17/13	6,000	40.493	242.96	252.78	9.82 ST		

**KLEIN FAMILY FOUNDATION, INC.
ATTENTION: CARLA KLEIN**

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	Total	76,000		2,499.52	3,201.88	692.54 LT 9.82 ST	—	—
Share Price: \$42.130; Basis Adjustment Due to Wash Sale \$7.66								
HASBRO INC (HAS)								
	3/11/09	36,000	21.990	791.64	1,980.36	1,188.72 LT A		
	12/10/09	23,000	30.727	706.72	1,265.23	558.51 LT		
	3/18/10	9,000	38.092	342.83	495.09	152.26 LT		
	7/29/11	17,000	39.625	673.62	935.17	261.55 LT		
	11/16/11	2,000	36.700	73.40	110.02	36.62 LT		
	2/8/12	9,000	35.917	323.25	495.09	171.84 LT		
Total		96,000		2,911.46	5,280.96	2,369.50 LT	153.60	2.90
Share Price: \$55.010; Next Dividend Payable 02/2014								
HCP INCORPORATED (HCP)								
	3/11/09	66,000	16.240	1,071.81	2,397.12	1,325.31 LT R		
	10/21/11	17,000	36.771	625.10	617.44	(7.66) LT R		
Total		83,000		1,696.91	3,014.56	1,317.65 LT	174.30	5.78
Share Price: \$36.320, Next Dividend Payable 02/2014								
HEALTH CARE REIT INC (HCN)								
	3/11/09	38,000	26.127	992.84	2,035.66	1,042.82 LT R		
	12/10/09	11,000	40.866	449.53	589.27	139.74 LT R		
	2/28/12	16,000	53.216	851.45	857.12	5.67 LT R		
Total		65,000		2,293.82	3,482.05	1,188.23 LT	198.90	5.71
Share Price: \$53.570, Next Dividend Payable 02/2014								
HEALTHSOUTH CP NEW (HLS)								
	5/31/11	72,000	28.069	2,020.97	2,399.04	378.07 LT		
	9/16/11	13,000	20.604	267.85	433.16	165.31 LT		
Total		85,000		2,288.82	2,832.20	543.38 LT	61.20	2.16
Share Price: \$33.320; Next Dividend Payable 01/15/14								
HEIDELBERG CEMENT ADR (HDELY)								
	5/31/12	91,000	8.782	799.16	1,399.58	600.42 LT		
	6/20/12	45,000	9.478	426.51	692.10	265.59 LT		
	10/24/12	54,000	10.521	568.14	830.52	262.38 LT		
	11/20/13	30,000	15.260	457.81	461.40	3.59 ST		
Total		220,000		2,251.62	3,383.60	1,128.39 LT 3.59 ST	17.52	0.51
Share Price: \$15.380								
HELIIX ENERGY SOLUTIONS GRP INC (HLX)								
	8/27/13	77,000	26.399	2,032.70	1,784.86	(247.84) ST	—	—
Share Price: \$23.180								
HOME DEPOT INC (HD)								
	5/21/13	108,000	78.882	8,519.25	8,892.72	373.47 ST	168.48	1.89
Share Price: \$82.340, Next Dividend Payable 03/2014								

Account Detail

Select UIMA Active Assets Account

759-015835-037

KLEIN FAMILY FOUNDATION, INC.
ATTENTION: CARLA KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Dividend Yield %
HONEYWELL INTERNATIONAL INC (HON)	2/13/12	28,000	59.936	1,678.20	2,558.36	880.16 LT		
	6/1/12	19,000	54.279	1,031.31	1,736.03	704.72 LT		
Total		47,000		2,709.51	4,294.39	1,584.88 LT	84.60	1.97
Share Price: \$91.370, Next Dividend Payable 03/20/14								
HSBC HOLDINGS PLC SPON ADR NEW (HSBC)	3/14/11	21,000	52.779	1,108.36	1,157.73	49.37 LT		
	4/4/11	12,000	52.334	628.01	661.56	33.55 LT		
	11/16/11	3,000	38.960	116.88	165.39	48.51 LT		
	4/20/12	7,000	44.790	313.53	385.91	72.38 LT		
Total		43,000		2,166.78	2,370.59	203.81 LT	103.20	4.35
Share Price: \$55.130								
HUBBELL INC B (HUBB)	4/18/13	5,000	92.298	461.49	544.50	83.01 ST		
	4/25/13	8,000	94.309	754.47	871.20	116.73 ST		
	5/28/13	7,000	99.131	693.92	762.30	68.38 ST		
Total		20,000		1,909.88	2,178.00	268.12 ST	40.00	1.83
Share Price: \$108.900, Next Dividend Payable 03/20/14								
HUTCHISON WHAMPOA ADR (HUWHY)	12/10/09	91,000	13.551	1,233.17	2,475.20	1,242.03 LT		
	12/10/09	19,000	13.626	258.89	516.80	257.91 LT		
	12/10/09	25,000	13.551	338.78	680.00	341.22 LT		
	12/10/09	6,000	13.551	81.31	163.20	81.89 LT		
	12/29/10	10,000	20.800	208.00	272.00	64.00 LT		
	11/16/11	4,000	17.910	71.64	108.80	37.16 LT		
	11/16/11	3,000	17.940	53.82	81.60	27.78 LT		
	8/8/13	32,000	23.668	757.39	870.40	113.01 ST		
Total		190,000		3,003.00	5,168.00	2,051.99 LT	91.01	1.76
Share Price: \$27.200								
ICICI BANK LTD (IBN)	12/10/09	24,000	37.280	894.72	892.08	(2.64) LT		
	2/25/11	3,000	43.770	131.31	111.51	(19.80) LT		
	11/16/11	2,000	31.400	62.80	74.34	11.54 LT		
Total		29,000		1,088.83	1,077.93	(10.90) LT	19.34	1.79
Share Price: \$37.170								
IHS INC GLA A COM (IHS)	12/10/09	21,000	51.442	1,080.28	2,513.70	1,433.42 LT		
Share Price: \$119.700								
ILL TOOL WORKS INC (ITW)	9/23/13	52,000	76.206	3,962.73	4,372.16	409.43 ST		
	9/24/13	64,000	76.880	4,920.31	5,381.12	460.81 ST		

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$84.080; Next Dividend Payable 01/07/14								
IMPERIAL TOBACCO GP PLC SP ADR (ITYBY)	12/10/09	39,000	61.100	2,382.90	3,033.42	650.52 LT		
	12/29/10	4,000	62.010	248.04	311.12	63.08 LT		
	8/10/12	3,000	79.040	237.12	233.34	(3.78) LT		
Total		46,000		2,868.06	3,577.88	709.82 LT	169.28	4.73
Share Price: \$77.780								
INDUSTRIAL & COML BK CHINA ADR (IDCBY)	1/29/10	70,000	14.915	1,044.03	950.60	(93.43) LT		
	3/10/10	42,000	15.490	650.59	570.36	(80.23) LT		
	11/1/10	16,000	15.327	245.23	217.28	(27.95) LT		
	8/11/11	43,000	12.962	557.36	583.94	26.58 LT		
	9/1/11	30,000	13.310	399.30	407.40	8.10 LT		
	11/16/11	19,000	11.900	226.10	258.02	31.92 LT		
Total		220,000		3,122.61	2,987.60	(135.01) LT	142.56	4.77
Share Price: \$13.580								
INFINEON TECHNOLOGIES AG (IFNNV)	8/30/12	124,000	6.922	858.29	1,341.68	483.39 LT		
	9/7/12	131,000	7.172	939.48	1,417.42	477.94 LT		
Total		255,000		1,797.77	2,759.10	961.33 LT	35.96	1.30
Share Price: \$10.820								
ING GROEP NV ADR (ING)	1/5/10	38,000	10.737	408.02	532.38	124.36 LT		
	1/6/10	1,000	10.680	10.68	14.01	3.33 LT		
	10/20/10	36,000	11.015	396.54	504.36	107.82 LT		
	12/29/10	44,000	9.610	422.84	616.44	193.60 LT		
	11/16/11	25,000	7.426	185.64	350.25	164.61 LT		
	4/20/12	93,000	7.281	677.09	1,302.93	625.84 LT		
	8/29/12	58,000	7.190	417.01	812.58	395.57 LT		
	9/7/12	100,000	8.564	856.44	1,401.00	544.56 LT		
Total		395,000		3,374.26	5,533.95	2,159.69 LT	--	--
Share Price: \$14.010								
INTEL CORP (INTC)	7/12/13	120,000	23.874	2,864.92	3,114.60	249.68 ST		
	12/4/13	44,000	23.630	1,039.71	1,142.02	102.31 ST		
Total		164,000		3,904.63	4,256.62	351.99 ST	147.60	3.46
Share Price: \$25.955; Next Dividend Payable 03/20/14								
INTERCONTINENTALEXCHANGE GROUP (ICE)	7/11/13	47,000	178.132	8,372.22	10,571.24	2,199.02 ST	122.20	1.15
Share Price: \$224.920; Next Dividend Payable 03/20/14								

Account Detail

Select UMA Active Asset Account

759-015051-037

KLEIN FUND FOUNDATION

ATTENTION: CARLE KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
INTESA SANPAOLO S.P.A. ADR (ISNPV)	12/10/09	39,000	26.550	1,035.45	583.05	(452.40) LT		
	2/2/11	56,000	21.090	1,181.04	837.20	(343.84) LT		
	7/13/11	21,000	13.980	293.58	313.95	20.37 LT		
	9/6/11	93,000	8.673	806.56	1,390.35	583.79 LT		
	11/16/11	9,000	10.000	90.00	134.55	44.55 LT		
	1/11/13	20,000	11.910	238.20	299.00	60.80 ST		
Total		238,000		3,644.83	3,558.10	(147.53) LT	136.37	3.83
Share Price: \$14.950								
INTUITIVE SURGICAL INC (ISRG)	12/29/10	3,000	259.770	779.31	1,152.24	372.93 LT		
	3/22/11	2,000	324.130	648.26	768.16	119.90 LT		
	Total	5,000		1,427.57	1,920.40	492.83 LT		
Share Price: \$384.080								
INVESCO LTD (IVZ)	1/19/11	74,000	24.805	1,835.57	2,693.60	858.03 LT		
	1/19/11	3,000	24.805	74.42	109.20	34.78 LT		
	1/19/11	4,000	24.805	99.22	145.60	46.38 LT		
	2/17/11	25,000	27.328	683.19	910.00	226.81 LT		
	2/28/11	56,000	26.769	1,499.09	2,038.40	539.31 LT		
	2/28/11	30,000	26.769	803.08	1,092.00	288.92 LT		
	2/28/11	2,000	26.769	53.54	72.80	19.26 LT		
	11/16/11	15,000	19.958	299.37	546.00	246.63 LT		
	11/16/11	2,000	20.020	40.04	72.80	32.76 LT		
	1/25/12	17,000	22.164	376.78	618.80	242.02 LT		
	5/6/13	8,000	32.605	260.84	291.20	30.36 ST		
	5/15/13	1,000	34.540	34.54	36.40	1.86 ST		
	5/15/13	1,000	34.540	34.54	36.40	1.86 ST		
	5/15/13	52,000	34.543	1,796.22	1,892.80	96.58 ST		
	6/18/13	40,000	34.511	1,380.42	1,456.00	75.58 ST		
	7/12/13	11,000	31.876	350.64	400.40	49.76 ST		
	7/12/13	36,000	31.876	1,147.54	1,310.40	162.86 ST		
	7/12/13	3,000	31.877	95.63	109.20	13.57 ST		
	8/1/13	30,000	32.770	983.10	1,092.00	108.90 ST		
	12/26/13	25,000	36.660	916.50	910.00	(6.50) ST		
Total		435,000		12,764.27	15,834.00	2,534.90 LT	391.50	2.47
Share Price: \$36.400; Next Dividend Payable 03/2014								
						534.83 ST		

Account Detail

Send 2014 Active Assets Report to: KLEIN FAMILY FOUNDATION
 750 W. 100th St. #1000
 ATLANTA, GA 30349

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
IRON MOUNTAIN INC (DE) (IRM)								
	10/11/11	50,000	30.316	1,515.80	1,517.50	1.70 LT		
	11/16/11	3,000	30.000	90.00	91.05	1.05 LT		
Purchases		53,000		1,605.80	1,608.55	2.75 LT		
Long Term Reinvestments		6,000		197.22	182.10	(15.12) LT		
Total		59,000		1,803.02	1,790.65	(12.37) LT	63.72	3.55
Share Price: \$30.350; Next Dividend Payable 01/15/14								
ITC HOLDINGS (ITC)								
	12/10/09	28,000	48.639	1,361.89	2,682.96	1,321.07 LT		
	2/6/12	3,000	75.010	225.03	287.46	62.43 LT		
	12/17/12	23,000	77.885	1,791.35	2,203.86	412.51 LT		
Total		54,000		3,378.27	5,174.28	1,796.01 LT	91.80	1.77
Share Price: \$95.820; Next Dividend Payable 03/2014								
ITOCHU CORP ADR (ITOCY)								
	7/2/10	18,000	15.935	286.83	449.10	162.27 LT		
	12/3/10	15,000	19.698	295.47	374.25	78.78 LT		
	1/27/11	28,000	22.280	623.84	698.60	74.76 LT		
	3/15/11	32,000	18.774	600.77	798.40	197.63 LT		
Total		93,000		1,806.91	2,320.35	513.44 LT	62.12	2.67
Share Price: \$24.950								
JANUS CAPITAL GROUP INC (JNS)								
	7/25/13	224,000	9.324	2,088.53	2,770.88	682.35 ST	62.72	2.26
Share Price: \$12.370; Next Dividend Payable 02/2014								
JOHNSON & JOHNSON (JNJ)								
	6/16/11	6,000	66.283	397.70	549.54	151.84 LT		
	6/27/12	96,000	67.159	6,447.31	8,792.64	2,345.33 LT		
Total		102,000		6,845.01	9,342.18	2,497.17 LT	269.28	2.88
Share Price: \$91.590; Next Dividend Payable 03/2014								
JPMORGAN CHASE & CO (JPM)								
	8/16/10	71,000	37.574	2,667.76	4,152.08	1,484.32 LT		
	12/29/10	19,000	42.460	806.74	1,111.12	304.38 LT		
	7/29/11	27,000	40.394	1,090.65	1,578.96	488.31 LT		
	7/29/11	12,000	40.396	484.75	701.76	217.01 LT		
	8/8/11	2,000	35.399	70.80	116.96	46.16 LT		
	8/8/11	27,000	35.399	955.77	1,578.96	623.19 LT		
	8/8/11	7,000	35.399	247.79	409.36	161.57 LT		
	6/1/12	17,000	32.272	548.62	994.16	445.54 LT		
Total		182,000		6,872.88	10,643.36	3,770.48 LT	276.64	2.59
Share Price: \$58.480; Next Dividend Payable 01/2014								
JULIUS BAER GROUP LTD UN ADR (JBAXY)								
	6/3/10	88,000	5.887	518.07	849.20	331.13 LT		
	7/6/10	64,000	5.960	381.42	617.60	236.18 LT		
	11/16/11	30,000	7.060	211.80	289.50	77.70 LT		

Account Detail

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$9.650								
KANSAS CY SOUTHN IND NEW (KSU)	4/5/13	88,000	7.796	686.07	849.20	163.13 ST	—	—
Total		270,000		1,797.36	2,605.50	645.01 LT	—	—
Share Price: \$9.650								
KANSAS CY SOUTHN IND NEW (KSU)	5/6/10	8,000	37.807	302.45	990.64	688.19 LT		
	9/2/10	19,000	36.108	686.06	2,352.77	1,666.71 LT		
Total		27,000		988.51	3,343.41	2,354.90 LT	23.22	0.69
Share Price: \$123.830; Next Dividend Payable 01/22/14								
KB FINANCIAL GRP INC SONS ADR (KB)	12/10/09	28,000	53.540	1,499.12	1,134.28	(364.84) LT		
	2/4/10	10,000	42.033	420.33	405.10	(15.23) LT		
	12/29/10	6,000	51.880	311.28	243.06	(68.22) LT		
	7/14/11	13,000	50.603	657.84	526.63	(131.21) LT		
	11/16/11	8,000	33.770	270.16	324.08	53.92 LT		
	5/22/13	15,000	33.668	505.02	607.65	102.63 ST		
	7/12/13	18,000	31.511	567.19	729.18	161.99 ST		
	12/4/13	30,000	37.288	1,118.65	1,215.30	96.65 ST		
Total		128,000		5,349.59	5,185.28	(525.58) LT	49.92	0.96
Share Price: \$40.510								
KEPPEL CORP LTD ADR SPONSORED (KEPELY)	12/10/09	139,000	10.643	1,479.43	2,471.42	991.99 LT		
	11/16/11	15,000	14.345	215.18	266.70	51.52 LT		
Total		154,000		1,694.61	2,738.12	1,043.51 LT	91.78	3.35
Share Price: \$17.780								
KILROY REALTY CORPORATION (KRC)	12/17/12	39,000	46.154	1,800.02	1,957.02	157.00 LT	54.60	2.78
Share Price: \$50.180; Next Dividend Payable 01/15/14								
KINGFISHER PLC SPONS ADR NEW (KGFHY)	12/10/09	105,000	7.600	798.00	1,348.20	550.20 LT		
	6/16/10	9,000	6.710	60.39	115.56	55.17 LT		
	6/24/10	50,000	6.751	337.53	642.00	304.47 LT		
	6/24/10	1,000	6.750	6.75	12.84	6.09 LT		
	6/24/10	61,000	6.751	411.78	783.24	371.46 LT		
	7/6/10	17,000	6.548	111.32	218.28	106.96 LT		
	7/6/10	39,000	6.548	255.37	500.76	245.39 LT		
	9/23/10	74,000	7.033	520.44	950.16	429.72 LT		
	12/29/10	37,000	8.180	302.66	475.08	172.42 LT		
	12/29/10	42,000	8.180	343.56	539.28	195.72 LT		
	7/16/12	46,000	8.509	391.42	590.64	199.22 LT		

Account Detail

SUBJECT TO ACCOUNT ASSUMPTIONS: KLEINER PERIODIC STATEMENT
769-01985-037 ATTENTION: MORGAN STANLEY

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$12.840								
KIRBY CP (KEX)	7/16/12	49,000	8.509	416.95	629.16	212.21 LT		
	Total	530,000		3,956.17	6,805.20	2,849.03 LT	142.57	2.09
Share Price: \$99.250								
KODIAK OIL & GAS CORP (KOG)	10/24/12	33,000	59.502	1,963.57	3,275.25	1,311.68 LT		
	3/4/13	86,000	8.895	764.95	964.06	199.11 ST		
	5/20/13	40,000	8.869	354.74	448.40	93.66 ST		
	7/31/13	66,000	9.795	646.44	739.86	93.42 ST		
	Total	192,000		1,766.13	2,152.32	386.19 ST		
Share Price: \$11.210								
KOHL'S CORPORATION WISC (KSS)	2/6/13	42,000	45.801	1,923.65	2,383.50	459.85 ST		
	2/13/13	21,000	46.481	976.10	1,191.75	215.65 ST		
	9/27/13	21,000	51.918	1,090.28	1,191.75	101.47 ST		
	Total	84,000		3,990.03	4,767.00	776.97 ST	117.60	2.46
Share Price: \$56.750, Next Dividend Payable 03/2014								
KOMATSU LTD SPON ADR NEW (KMTUY)	12/10/09	35,000	20.638	722.31	720.30	(2.01) LT		
	4/30/10	27,000	20.420	551.34	555.66	4.32 LT		
	12/29/10	7,000	30.290	212.03	144.06	(67.97) LT		
	11/16/11	2,000	25.460	50.92	41.16	(9.76) LT		
	8/1/13	33,000	22.650	747.45	679.14	(68.31) ST		
	Total	104,000		2,284.05	2,140.32	(75.42) LT (68.31) ST	46.18	2.15
Share Price: \$20.580								
KONICA MINOLTA INC ADR (KNCAY)	12/10/09	5,000	20.550	102.75	99.50	(3.25) LT		
	7/2/10	30,000	19.423	582.69	597.00	14.31 LT		
	12/29/10	16,000	21.150	338.40	318.40	(20.00) LT		
	Total	51,000		1,023.84	1,014.90	(8.94) LT	14.38	1.41
Share Price: \$19.900								
L BRANDS INC COM (LB)	8/30/11	31,000	38.073	1,180.27	1,917.35	737.08 LT		
	11/16/11	5,000	43.376	216.88	309.25	92.37 LT		
	12/6/11	10,000	43.235	432.35	618.50	186.15 LT		
	Total	46,000		1,829.50	2,845.10	1,015.60 LT	55.20	1.94
Share Price: \$61.850, Next Dividend Payable 03/2014								
LEIDOS HLDGS INC (LDOS)	1/29/13	38,000	33.954	1,290.24	1,766.62	476.38 ST		
	2/15/13	21,000	32.712	686.96	976.29	289.33 ST		

Account Detail

Sales: JMA Active Account
7592015055-0337

KLEIN FAMILY FOUNDATION INC
ATTENTION: JARIS KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Total								
Share Price: \$46.490; Next Dividend Payable 01/2014								
LIBERTY MEDIA CORP SER A (LMCA)	12/13/10	23,000	55.985	1,287.66	3,364.70	2,077.04 LT		
	3/24/11	1,000	70.560	70.56	146.29	75.73 LT		
	3/24/11	5,000	65.746	328.73	731.45	402.72 LT		
Total								
		29,000		1,686.95	4,242.46	2,555.49 LT		
Share Price: \$146.292								
LINCOLN NTL CORP IND (LNC)	6/17/10	16,000	27.534	440.54	825.92	385.38 LT		
	9/2/10	33,000	24.967	823.91	1,703.46	879.55 LT		
	2/22/11	34,000	30.446	1,035.16	1,755.08	719.92 LT		
	4/1/11	1,000	30.500	30.50	51.62	21.12 LT		
Total								
		84,000		2,330.11	4,336.08	2,005.97 LT	53.76	1.23
Share Price: \$51.620; Next Dividend Payable 02/2014								
LKQ CORPORATION (LKQ)	3/10/09	114,000	6.469	737.46	3,750.60	3,013.14 LT A		
Share Price: \$32.900								
LLOYDS BANKING GROUP PLC (LVG)	6/1/12	770,000	1.578	1,215.37	4,096.40	2,881.03 LT		
Share Price: \$5.320								
LONZA GROUP AG ZUERICH ADR (LZAGV)	12/10/09	114,000	7.420	845.88	1,077.30	231.42 LT		
	6/28/11	22,000	7.300	160.60	207.90	47.30 LT		
	11/16/11	3,000	5.900	17.70	28.35	10.65 LT		
	1/31/12	15,000	5.380	80.70	141.75	61.05 LT		
Total								
		154,000		1,104.88	1,455.30	350.42 LT		
Share Price: \$9.450								
LYONDELLBASELL NV CL-A (LYB)	11/1/10	30,000	20.224	606.72	2,408.40	1,801.68 LT R		
	11/1/10	2,000	20.225	40.45	160.56	120.11 LT R		
	11/1/10	2,000	20.224	40.45	160.56	120.11 LT R		
	4/1/11	4,000	34.208	136.83	321.12	184.29 LT R		
	6/20/12	31,000	40.470	1,254.57	2,488.68	1,234.11 LT R		
	7/12/12	20,000	38.732	774.64	1,605.60	830.96 LT R		
	7/12/12	1,000	38.590	38.59	80.28	41.69 LT R		
	10/31/12	18,000	52.587	946.57	1,445.04	498.47 LT R		
	3/25/13	6,000	63.317	379.90	481.68	101.78 ST		
Total								
		114,000		4,218.72	9,151.92	4,831.42 LT	273.60	2.98
Share Price: \$80.280; Next Dividend Payable 03/2014								
						101.78 ST		

Account Detail

Send UMA Active Assets Statement
759-418-3503
KLEIN FAMILY FOUNDATION
ATTENTION: CARLA KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
M&T BANK CORP (MTB)								
	10/12/11	20,000	75.992	1,519.84	2,328.40	808.56 LT		
	10/14/11	11,000	75.650	832.15	1,280.62	448.47 LT		
	10/19/11	12,000	72.964	875.57	1,397.04	521.47 LT		
Total		43,000		3,227.56	5,006.06	1,778.50 LT	120.40	2.40
Share Price: \$116.420; Next Dividend Payable 03/2014								
MACY'S INC (M)								
	12/13/11	22,000	31.571	694.57	1,174.80	480.23 LT		
	1/26/12	20,000	33.344	666.88	1,068.00	401.12 LT		
	2/28/12	24,000	37.597	902.32	1,281.60	379.28 LT		
	6/1/12	18,000	36.937	664.86	961.20	296.34 LT		
Total		84,000		2,928.63	4,485.60	1,556.97 LT	84.00	1.87
Share Price: \$53.400; Next Dividend Payable 01/02/14								
MARATHON OIL CO (MRO)								
	1/28/13	49,000	33.593	1,646.08	1,729.70	83.62 ST		
	3/25/13	67,000	33.636	2,253.61	2,365.10	111.49 ST		
	4/19/13	28,000	29.786	834.00	988.40	154.40 ST		
	5/15/13	24,000	34.948	838.75	847.20	8.45 ST		
Total		168,000		5,572.44	5,930.40	357.96 ST	127.68	2.15
Share Price: \$35.300; Next Dividend Payable 03/2014								
MARKS & SPENCER GRP PLC ADR (MAKSY)								
	12/10/09	40,000	13.090	523.60	573.36	49.76 LT		
	5/10/10	26,000	10.472	272.28	372.68	100.40 LT		
	12/16/10	30,000	11.910	357.30	430.02	72.72 LT		
	7/29/11	15,000	11.350	170.25	215.01	44.76 LT		
	11/16/11	5,000	10.400	52.00	71.67	19.67 LT		
	8/9/13	74,000	14.873	1,100.61	1,060.72	(39.89) ST		
Total		190,000		2,476.04	2,723.46	287.31 LT	92.91	3.41
Share Price: \$14.334								
MARRIOTT INTL INC NEW CL A (MAR)								
	7/19/11	58,000	32.541	1,887.39	2,862.35	974.96 LT	39.44	1.37
Share Price: \$49.351; Next Dividend Payable 03/2014								
MATTEL INC (MAT)								
	3/11/09	52,000	10.838	563.58	2,474.16	1,910.58 LT A		
	3/10/10	24,000	22.874	548.98	1,141.92	592.94 LT		
	4/22/10	33,000	23.448	773.78	1,570.14	796.36 LT		
Total		109,000		1,886.34	5,186.22	3,299.88 LT	156.96	3.02
Share Price: \$47.580; Next Dividend Payable 03/2014								
MCKESSON CORP (MCK)								
	4/7/10	11,000	66.344	729.78	1,775.40	1,045.62 LT		
	5/17/10	9,000	67.931	611.38	1,452.60	841.22 LT		
	11/1/10	15,000	67.084	1,006.26	2,421.00	1,414.74 LT		

SABOTINIA ACTION ASSOCIATION KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
211 75th Street NW

COMMON STOCKS (CONTINUED)

Share Price: \$21.350

Account Detail

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 Attention: Broker/Client

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
MICROCHIP TECHNOLOGY INC (MCHP) Share Price: \$44.750; Next Dividend Payable 03/2014	12/10/09	52,000	24.217	1,259.26	2,327.00	1,067.74 LT R	73.74	3.16
MICROS SYST (MCRS) Share Price: \$57.370	12/10/09	46,000	29.846	1,372.92	2,639.02	1,266.10 LT	—	—
MOHAWK INDUSTRIES INC (MHK) Share Price: \$148.900	11/20/13	15,000	141.302	2,119.53	2,233.50	113.97 ST	—	—
MONDELEZ INTL INC COM (MDLZ)								
	3/10/09	70,000	13.891	972.35	2,471.00	1,498.65 LT		
	12/10/09	44,000	17.266	759.71	1,553.20	793.49 LT		
	8/23/10	1,000	18.950	18.95	35.30	16.35 LT		
	8/23/10	37,000	18.946	701.01	1,306.10	605.09 LT		
	8/23/10	17,000	18.946	322.08	600.10	278.02 LT		
	12/29/10	17,000	20.576	349.80	600.10	250.30 LT		
	3/20/12	7,000	24.959	174.71	247.10	72.39 LT		
	3/20/12	19,000	24.958	474.20	670.70	196.50 LT		
Total		212,000		3,772.81	7,483.60	3,710.79 LT	118.72	1.58
Share Price: \$35.300; Next Dividend Payable 01/14/14								
MONSANTO CORNEW (MON)								
	5/25/12	91,000	73.609	6,698.43	10,606.05	3,907.62 LT	156.52	1.47
Share Price: \$116.550; Next Dividend Payable 01/2014								
MONSTER BEVERAGE CORP COM (MNST)								
	6/1/11	23,000	36.092	830.11	1,558.71	728.60 LT		
	9/18/12	15,000	52.725	790.87	1,016.55	225.68 LT		
Total		38,000		1,620.98	2,575.26	954.28 LT	—	—
Share Price: \$67.770								
MORGAN STANLEY (MS)								
	5/15/13	166,000	24.613	4,085.72	5,205.76	1,120.04 ST		
	6/18/13	84,000	26.346	2,213.03	2,634.24	421.21 ST		
Total		250,000		6,298.75	7,840.00	1,541.25 ST	50.00	0.63
Share Price: \$31.360; Next Dividend Payable 02/2014								
MOTOROLA SOLUTIONS INC (MSI)								
	1/28/13	36,000	59.154	2,129.56	2,438.00	300.44 ST	44.64	1.83
Share Price: \$67.500; Next Dividend Payable 01/15/14								
MYRIAD GENETIC INC (MYGN)								
	7/25/13	82,000	31.596	2,590.84	1,729.36	(870.48) ST	—	—
Share Price: \$20.980								
NATL FUEL GAS CO (NFG)								
	12/13/12	34,000	53.049	1,803.68	2,427.60	623.92 LT		
	2/11/13	8,000	56.583	452.66	571.20	118.54 ST		
	2/12/13	8,000	56.758	454.06	571.20	117.14 ST		
	5/2/13	11,000	61.750	679.25	785.40	106.15 ST		
	5/6/13	4,000	61.750	247.00	285.60	38.60 ST		

Account Detail

S&P 500 Index Account - US\$1,000,000.00

759-019-037 - ATTENTION: CREDIT

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Total		65,000		3,636.65	4,641.00	623.92 LT 380.43 ST	97.50	2.10
Share Price: \$71.400; Next Dividend Payable 01/15/14								
NCR CORPORATION (NCR)								
	8/13/13	50,000	36.773	1,838.64	1,703.00	(135.64) ST		
	12/4/13	35,000	32.568	1,139.87	1,192.10	52.23 ST		
Total		85,000		2,978.51	2,895.10	(83.41) ST	--	--
Share Price: \$34.060								
NESTLE SPON ADR REP REG SHR (NSRGV)								
	3/11/09	18,000	31.650	569.70	1,324.62	754.92 LT A		
	3/11/09	21,000	31.600	663.60	1,545.39	881.79 LT A		
	3/11/09	7,000	31.600	221.20	515.13	293.93 LT A		
	3/11/09	1,000	31.600	31.60	73.59	41.99 LT A		
	3/11/09	4,000	31.600	126.40	294.36	167.96 LT A		
	3/11/09	4,000	31.600	126.40	294.36	167.96 LT A		
	3/11/09	2,000	31.650	63.30	147.18	83.88 LT A		
	12/10/09	3,000	48.620	145.86	220.77	74.91 LT		
	9/9/10	13,000	52.975	688.68	956.67	267.99 LT		
	12/29/10	2,000	59.230	118.46	147.18	28.72 LT		
	12/29/10	4,000	59.230	236.92	294.36	57.44 LT		
	6/18/13	3,000	67.600	202.80	220.77	17.97 ST		
	6/18/13	9,000	67.600	608.40	662.31	53.91 ST		
Total		91,000		3,803.32	6,695.69	2,821.49 LT 71.88 ST	165.25	2.46
Share Price: \$73.590; Next Dividend Payable 05/20/14								
NEW YORK COMMUNITY BANCORP INC (NYCB)								
	12/10/09	159,000	13.040	2,073.34	2,679.15	605.81 LT		
	12/21/09	35,000	14.234	498.18	589.75	91.57 LT		
	10/25/11	56,000	12.726	712.68	943.60	230.92 LT		
	11/16/11	14,000	12.127	169.78	235.90	66.12 LT		
Total		264,000		3,453.98	4,448.40	994.42 LT	264.00	5.93
Share Price: \$16.850; Next Dividend Payable 02/20/14								
NEXTERA ENERGY INC COM (NEE)								
	4/18/12	44,000	62.972	2,770.76	3,767.28	996.52 LT		
	7/12/12	13,000	68.585	891.60	1,113.06	221.46 LT		
Total		57,000		3,662.36	4,880.34	1,217.98 LT	150.48	3.08
Share Price: \$85.620; Next Dividend Payable 03/20/14								
NIKON CORP ADR (NINOY)								
	7/30/13	48,000	21.400	1,027.18	923.52	(103.66) ST	7.73	0.83
Total								

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KLEIN FAMILY FOUNDATION AND
ATTORNEYS CARL KLEIN
1-800-555-037

STOCKS

COMMON STOCKS (CONTINUED)

[illegible]

Account Detail

SALES/IMA Active Asset Account - KLEIN ENERGY FUND, LTD. FOR
759-01785-037 ATTENTION: CARRINGTON

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Dividend Yield %
NOVO NORDISK A/S ADR (NVO)								
	7/21/09	2,000	56.909	113.82	369.52	255.70 LT A		
	12/10/09	8,000	67.530	540.24	1,478.08	937.84 LT		
	12/29/10	2,000	111.920	223.84	369.52	145.68 LT		
Total		12,000		877.90	2,217.12	1,339.22 LT	27.17	1.22
Share Price: \$184.760								
OCCIDENTAL PETROLEUM CORP DE (OXY)								
	5/7/10	45,000	80.300	3,613.50	4,279.50	666.00 LT		
	8/7/12	8,000	91.484	731.87	760.80	28.93 LT		
	8/29/12	14,000	86.677	1,213.48	1,331.40	117.92 LT		
	5/15/13	26,000	90.679	2,357.66	2,472.60	114.94 ST		
Total		93,000		7,916.51	8,844.30	812.85 LT	238.08	2.69
Share Price: \$95.100, Next Dividend Payable 01/15/14								
OCEANEERING INTL INC (OII)								
	5/15/12	27,000	48.298	1,304.04	2,129.76	825.72 LT	23.76	1.11
Share Price: \$78.880, Next Dividend Payable 03/20/14								
OLD DOMINION FREIGHT LINE (ODFL)								
	6/6/13	47,000	41.596	1,955.01	2,491.94	536.93 ST	—	—
Share Price: \$53.020								
OLD REPUBLIC INTL CP (ORI)								
	3/11/09	85,000	8.275	703.37	1,467.95	764.58 LT A		
	12/10/09	12,000	10.450	125.40	207.24	81.84 LT		
	7/29/11	29,000	10.521	305.10	500.83	195.73 LT		
	11/16/11	41,000	8.020	328.82	706.07	379.25 LT		
	11/14/12	88,000	9.777	860.39	1,519.76	659.37 LT		
	5/6/13	35,000	13.766	481.82	604.45	122.63 ST		
Total		290,000		2,804.90	5,908.30	2,080.77 LT	208.80	4.16
Share Price: \$17.270; Next Dividend Payable 03/20/14								
OMNICOM GROUP (OMC)								
	12/29/10	8,000	46.388	371.10	594.96	223.86 LT		
	8/25/11	27,000	38.828	1,048.35	2,007.99	959.64 LT		
	8/25/11	13,000	38.828	504.76	966.81	462.05 LT		
Total		48,000		1,924.21	3,569.76	1,645.55 LT	76.80	2.15
Share Price: \$74.370; Next Dividend Payable 01/16/14								
ON SEMICONDUCTOR CORP (ONNN)								
	6/25/13	250,000	7.811	1,952.65	2,060.00	107.35 ST	—	—
Share Price: \$8.240								
ORIFLAME COSMETICS SA SPON ADR (ORFLY)								
	3/19/12	23,000	18.940	435.62	355.58	(80.04) LT		
	10/3/12	31,000	16.954	525.58	479.26	(46.32) LT		
	6/12/13	38,000	16.424	624.11	587.48	(36.63) ST		

Account Detail

Sales LMA Active Asset Account
759-1119-1-0137
KLEIN FAMILY FOUNDATION INC
ATTENTION: BOB KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
<i>Share Price: \$15.460</i>								
PEABODY ENERGY CORP (BTU)	9/10/13	110,000	19.127	2,103.96	2,148.30	44.34 ST	37.40	1.74
<i>Share Price: \$19.530; Next Dividend Payable 02/2014</i>								
PERRIGO CO LTD (PRGO)	12/19/13	21,000	155.340	3,262.13	3,222.66	(39.47) ST		
	12/19/13	62,000	155.340	9,631.06	9,514.52	(116.54) ST		
Total		83,000		12,893.19	12,737.18	(156.01) ST	—	—
<i>Share Price: \$153.460</i>								
PETROLEO BRASILEIRO SA ADR (PBR.A)	12/10/09	52,000	43.130	2,242.76	763.88	(1,478.88) LT		
	11/16/11	11,000	25.380	279.18	161.59	(117.59) LT		
	2/15/12	17,000	27.054	459.91	249.73	(210.18) LT		
Total		80,000		2,981.85	1,175.20	(1,806.65) LT	—	—
<i>Share Price: \$14.690</i>								
PFIZER INC (PFE)	3/10/09	135,000	12.998	1,754.70	4,135.05	2,380.35 LT A		
	12/10/09	18,000	18.380	330.84	551.34	220.50 LT		
	6/9/10	44,000	14.480	637.13	1,347.72	710.59 LT		
	12/29/10	58,000	17.568	1,018.93	1,776.54	757.61 LT		
	6/18/13	35,000	29.249	1,023.73	1,072.05	48.32 ST		
	11/4/13	30,000	31.250	937.50	918.90	(18.60) ST		
Total		320,000		5,702.83	9,801.60	4,069.05 LT	332.80	3.39
<i>Share Price: \$30.630; Next Dividend Payable 03/2014</i>								
PHILLIPS 66 COM (PSX)	6/20/12	4,000	34.490	137.96	308.52	170.56 LT		
	8/7/12	34,000	40.531	1,378.06	2,622.42	1,244.36 LT		
	1/28/13	19,000	57.494	1,092.38	1,465.47	373.09 ST		
	8/13/13	12,000	58.289	699.47	925.56	226.09 ST		
Total		69,000		3,307.87	5,321.97	1,414.92 LT	107.64	2.02
<i>Share Price: \$77.130; Next Dividend Payable 03/2014</i>								
PNC FINL SVCS GP (PNC)	1/28/13	45,000	62.213	2,799.58	3,491.10	691.52 ST	79.20	2.26
<i>Share Price: \$77.580; Next Dividend Payable 02/2014</i>								
POSCO ADS (PKX)	7/8/11	6,000	109.580	657.48	468.00	(189.48) LT		
	8/3/11	7,000	106.481	745.37	546.00	(199.37) LT		
	11/16/11	1,000	84.910	84.91	78.00	(6.91) LT		
	12/14/11	4,000	83.648	334.59	312.00	(22.59) LT		

Account Detail

SELLER INFORMATION: KLEIN'S MORTGAGE INVESTMENT
 758-616-0377 ATTENTION: CARRIE KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$78.000								
PRAXAIR INC (PX)	1/20/12	4,000	91.035	364.14	312.00	(52.14) LT		
	6/21/13	8,000	64.375	515.00	624.00	109.00 ST		
	8/7/13	6,000	72.685	436.11	468.00	31.89 ST		
Total		36,000		3,137.60	2,808.00	(470.49) LT	52.96	1.88
						140.89 ST		
Share Price: \$130.030; Next Dividend Payable 03/2014								
PRECISION CASTPARTS CORP (PCP)	3/10/09	63,000	57.430	3,618.09	8,191.89	4,573.80 LT A		
	12/10/09	6,000	82.680	496.08	780.18	284.10 LT		
Total		69,000		4,114.17	8,972.07	4,857.90 LT	165.60	1.84
Share Price: \$269.300; Next Dividend Payable 03/2014								
PRECISION CASTPARTS CORP (PCP)	12/10/09	8,000	109.830	878.64	2,154.40	1,275.76 LT		
	7/3/12	2,000	166.900	333.80	538.60	204.80 LT		
	9/20/12	10,000	161.075	1,610.75	2,693.00	1,082.25 LT		
	9/20/12	29,000	161.075	4,671.19	7,809.70	3,138.51 LT		
	9/21/12	7,000	162.094	1,134.66	1,885.10	750.44 LT		
Total		56,000		8,629.04	15,080.80	6,451.76 LT	6.72	0.04
Share Price: \$269.300; Next Dividend Payable 03/2014								
PT BK MANDIRI PERSERO TBK UNSP (PPERY)	8/29/13	250,000	6.186	1,546.40	1,615.00	68.60 ST		
	11/21/13	90,000	6.496	584.65	581.40	(3.25) ST		
Total		340,000		2,131.05	2,196.40	65.35 ST	50.32	2.29
Share Price: \$6.460								
PUBLIC STORAGE (PSA)	7/12/12	9,000	145.533	1,309.80	1,354.68	44.88 LT		
	8/7/12	10,000	145.906	1,459.06	1,505.20	46.14 LT		
	10/16/13	8,000	170.486	1,363.89	1,204.16	(159.73) ST		
Total		27,000		4,132.75	4,064.04	91.02 LT	151.20	3.72
						(159.73) ST		
Share Price: \$150.520; Next Dividend Payable 03/2014								
PUBLICIS GROUPE SA ADS (PUBGY)	11/26/10	20,000	11.460	229.19	459.40	230.21 LT		
	11/29/10	32,000	11.342	362.95	735.04	372.09 LT		
	11/30/10	52,000	11.266	585.83	1,194.44	608.61 LT		
	2/6/12	10,000	13.085	130.85	229.70	98.85 LT		
	3/6/12	32,000	13.300	425.59	735.04	309.45 LT		
	4/11/12	48,000	13.240	635.52	1,102.56	467.04 LT		
	1/30/13	24,000	16.603	398.47	551.28	152.81 ST		

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STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$22.970								
QUALCOMM INC (QCOM)								
	3/10/09	100.000	34.818	3,481.78	7,425.00	3,943.22 LT A		
	3/10/09	3.000	34.818	104.45	222.75	118.30 LT A		
	3/10/09	1.000	34.818	34.82	74.25	39.43 LT A		
	12/10/09	23.000	45.610	1,049.03	1,707.75	658.72 LT		
	6/3/13	6.000	62.898	377.39	445.50	68.11 ST		
	6/3/13	23.000	62.898	1,446.65	1,707.75	261.10 ST		
	10/16/13	1.000	68.850	68.85	74.25	5.40 ST		
	10/16/13	37.000	68.853	2,547.57	2,747.25	199.68 ST		
Total		194.000		9,110.54	14,404.50	4,759.67 LT 534.29 ST	271.60	1.88
Share Price: \$74.250, Next Dividend Payable 03/2014								
QUEST DIAGNOSTICS INC (DGX)								
	10/2/13	34.000	62.441	2,123.01	1,820.36	(302.65) ST	40.80	2.24
Share Price: \$53.540; Next Dividend Payable 01/2014								
R P M INC (RPM)								
	10/22/13	58.000	38.248	2,218.41	2,407.58	189.17 ST	55.68	2.31
Share Price: \$41.510; Next Dividend Payable 01/2014								
RADIAN GROUP INC (RDN)								
	4/30/13	82.000	12.038	987.08	1,157.84	170.76 ST		
	12/9/13	94.000	14.289	1,343.21	1,327.28	(15.93) ST		
Total		176.000		2,330.29	2,485.12	154.83 ST	1.76	0.07
Share Price: \$14.120, Next Dividend Payable 03/2014								
RANDSTAD HLDG NV UNSPON ADR (RANJY)								
	9/6/12	38.000	16.888	641.74	1,232.34	590.60 LT	24.47	1.98
Share Price: \$32.430								
RED HAT INC (RHT)								
	8/12/11	27.000	37.601	1,015.22	1,513.08	497.86 LT		
	8/26/11	4.000	39.095	156.38	224.16	67.78 LT H		
	9/9/11	4.000	37.162	148.65	224.16	75.51 LT		
	9/9/11	5.000	37.162	185.81	280.20	94.39 LT		
	11/16/11	2.000	52.820	105.64	112.08	6.44 LT		
Total		42.000		1,611.70	2,353.68	741.98 LT	—	—
Share Price: \$56.040, Basis Adjustment Due to Wash Sale: \$7.73								
REED ELSEVIER PLC - SPONS ADR (RUK)								
	12/10/09	57.000	30.868	1,759.48	3,422.85	1,663.37 LT		
	12/29/10	6.000	33.160	198.96	360.30	161.34 LT		
	11/16/11	22.000	33.160	729.52	1,321.10	591.58 LT		
	2/21/12	9.000	34.860	313.74	540.45	226.71 LT		
	7/31/12	14.000	33.840	473.76	840.70	366.94 LT		

Account Detail

STOCKS (Including Asset Account) KLEIN, FLORENCE M. (KLEIN, FLORENCE M.)
 7/19/2013 10:37 AM EST ATTENTION: CREDIT

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Dividend Yield %
Share Price: \$60.050								
REGAL ENTERTAINMENT GRP CL A (RGC)	12/17/12	128.000	13.878	1,776.35	2,489.60	713.25 LT		
	1/7/13	66.000	13.969	921.97	1,283.70	361.73 ST		
Total		194.000		2,698.32	3,773.30	713.25 LT 361.73 ST	162.96	4.31
Share Price: \$19.450; Next Dividend Payable 03/20/14								
REGIONS FINANCIAL CORP NEW (RF)	2/23/12	205.000	5.747	1,178.18	2,027.45	849.27 LT		
	3/20/12	110.000	6.420	706.19	1,087.90	381.71 LT		
	11/1/12	125.000	6.630	828.73	1,236.25	407.52 LT		
Total		440.000		2,713.10	4,351.60	1,638.50 LT	52.80	1.21
Share Price: \$9.890; Next Dividend Payable 01/02/14								
REINSURANCE GROUP OF AMERICA (RGA)	1/5/11	16.000	55.835	893.36	1,238.56	345.20 LT		
	1/21/11	19.000	58.178	1,105.39	1,470.79	365.40 LT		
	11/16/11	3.000	52.250	156.75	232.23	75.48 LT		
Total		38.000		2,155.50	2,941.58	786.08 LT	45.60	1.55
Share Price: \$77.410; Next Dividend Payable 02/20/14								
RENAISSANCE RE HOLDINGS LTD (RNR)	6/16/11	26.000	70.010	1,820.26	2,530.84	710.58 LT		
Share Price: \$97.340; Next Dividend Payable 03/20/14								
REPSOL ADR OPT DIV RTS	12/20/13	94.000	—	Pending Corp. Action	N/A	N/A	—	—
Share Price: N/A								
REPSOL SA SPON ADR (REPYV)	12/10/09	23.000	26.930	619.39	581.67	(37.72) LT		
	11/16/11	1.000	29.660	29.66	25.29	(4.37) LT		
	6/6/12	27.000	15.945	430.52	682.83	252.31 LT		
	6/27/13	43.000	21.224	912.64	1,087.47	174.83 ST		
Total		94.000		1,992.21	2,377.26	210.22 LT 174.83 ST	95.13	4.00
Share Price: \$25.290								
REXAM PLC SPONSADR COMNOPA (REXMY)	12/10/09	13.000	26.515	344.70	574.73	230.03 LT		
	1/10/11	14.000	31.486	440.80	618.94	178.14 LT		
	7/29/11	3.000	30.660	91.98	132.63	40.65 LT		
	11/16/11	4.000	25.990	103.96	176.84	72.88 LT		
Total		34.000		981.44	1,503.14	521.70 LT	41.34	2.75
Share Price: \$44.210								
REYNOLDS AMERICAN INC (RAI)	12/4/13	49.000	50.641	2,481.43	2,449.51	(31.92) ST		
	12/26/13	32.000	49.499	1,583.96	1,599.68	15.72 ST		

Account Detail

Small Business Assets Account - KLEIN FAMILY FOUNDATION INC
758-0199-35-037 - ATTENTION: CARLA KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$49.990, Next Dividend Payable 01/02/14								
ROGHE HOLDINGS ADR (RHHBY)								
	Total	81,000		4,065.39	4,049.19	(16.20) ST	204.12	5.04
	3/11/09	16,000	30.610	489.76	1,123.20	633.44 LT A		
	3/11/09	2,000	30.610	61.22	140.40	79.18 LT A		
	12/10/09	37,000	41.150	1,522.55	2,597.40	1,074.85 LT		
	12/10/09	31,000	41.150	1,275.65	2,176.20	900.55 LT		
	12/10/09	3,000	41.150	123.45	210.60	87.15 LT		
	12/10/09	2,000	41.150	82.30	140.40	58.10 LT		
	12/10/09	2,000	41.150	82.30	140.40	58.10 LT		
	12/16/09	3,000	41.960	125.88	210.60	84.72 LT		
	1/29/10	3,000	42.580	127.74	210.60	82.86 LT		
	5/28/10	9,000	34.420	309.78	631.80	322.02 LT		
	3/25/11	5,000	35.580	177.90	351.00	173.10 LT		
	11/16/11	1,000	39.250	39.25	70.20	30.95 LT		
	11/16/11	4,000	39.250	157.00	280.80	123.80 LT		
	9/10/12	6,000	46.550	279.30	421.20	141.90 LT		
	9/10/12	10,000	46.550	465.50	702.00	236.50 LT		
	10/22/12	8,000	50.146	401.17	561.60	160.43 LT		
	1/28/13	46,000	54.642	2,513.54	3,229.20	715.66 ST		
	1/28/13	4,000	54.643	218.57	280.80	62.23 ST		
	4/19/13	2,000	61.275	122.55	140.40	17.85 ST		
	4/19/13	36,000	61.274	2,205.85	2,527.20	321.35 ST		
	4/19/13	2,000	61.275	122.55	140.40	17.85 ST		
	Total	232,000		10,903.81	16,286.40	4,247.65 LT 1,134.94 ST	376.76	2.31
Share Price: \$70.200								
ROCKWELL COLLINS INC (COL)								
	3/11/09	13,000	29.900	388.70	960.96	572.26 LT A		
	1/18/11	16,000	62.975	1,007.60	1,182.72	175.12 LT		
	7/29/11	4,000	55.425	221.70	295.68	73.98 LT		
	3/11/13	15,000	61.006	915.09	1,108.80	193.71 ST		
	8/19/13	11,000	72.170	793.87	813.12	19.25 ST		
	Total	59,000		3,326.96	4,361.28	821.36 LT 212.96 ST	70.80	1.62
Share Price: \$73.920, Next Dividend Payable 03/20/14								
ROSS STORES INC (ROST)								
	5/1/12	38,000	62.802	2,386.48	2,847.34	460.86 LT	25.84	0.90
Share Price: \$74.930, Next Dividend Payable 03/20/14								

Account Detail

Sales UWA Active Assets Account
759-0188-1177
KLEINFELDER FOUNDATION INC
ATTENTION: CAROL KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ROYAL DUTCH SHELL PLC CL B (RDS'B)								
	12/10/09	18,000	57.190	1,029.42	1,351.98	322.56 LT		
	12/10/09	3,000	57.190	171.57	225.33	53.76 LT		
	12/10/09	3,000	57.190	171.57	225.33	53.76 LT		
	4/16/10	8,000	58.860	470.88	600.88	130.00 LT		
	8/3/10	6,000	56.175	337.05	450.66	113.61 LT		
	8/4/10	13,000	55.778	725.11	976.43	251.32 LT		
	12/27/10	12,000	65.900	790.80	901.32	110.52 LT		
	12/28/10	11,000	66.290	729.19	826.21	97.02 LT		
	6/14/11	5,000	70.960	354.80	375.55	20.75 LT		
	11/16/11	2,000	73.080	146.16	150.22	4.06 LT		
	11/16/11	4,000	73.070	292.28	300.44	8.16 LT		
	5/17/13	7,000	70.119	490.83	525.77	34.94 ST		
Total		92,000		5,709.66	6,910.12	1,165.52 LT	331.20	4.79
SAIPEM S P A UNSPON ADR (SAPMV)								
Share Price: \$75.110	6/7/13	152,000	13.443	2,043.29	1,605.12	(438.17) ST	46.51	2.89
Share Price: \$10.560								
SALLY BEAUTY HLDGS INC (SBH)								
Share Price: \$30.230	3/12/12	89,000	25.049	2,229.32	2,690.47	461.15 LT	—	—
Share Price: \$30.230								
SANOFI ADR (SNV)								
	12/10/09	64,000	38.886	2,468.70	3,432.32	943.62 LT		
	1/29/10	2,000	37.380	74.76	107.26	32.50 LT		
	12/29/10	11,000	32.360	355.96	589.93	233.97 LT		
	11/16/11	3,000	33.820	101.46	160.89	59.43 LT		
	3/25/13	3,000	50.110	150.33	160.89	10.56 ST		
	3/25/13	93,000	50.110	4,660.19	4,987.59	327.40 ST		
	4/19/13	14,000	53.026	742.37	750.82	8.45 ST		
Total		190,000		8,573.77	10,189.70	1,269.52 LT	238.46	2.34
						346.41 ST		
SAP AG (SAP)								
Share Price: \$53.630	3/11/09	1,000	33.730	33.73	87.14	53.41 LT A		
	12/10/09	15,000	44.360	665.40	1,307.10	641.70 LT		
	12/10/09	1,000	44.360	44.36	87.14	42.78 LT		
	2/4/10	10,000	46.615	466.15	871.40	405.25 LT		
	10/27/10	8,000	51.669	413.35	697.12	283.77 LT		
	12/29/10	4,000	50.640	202.56	348.56	146.00 LT		
	12/29/10	6,000	50.640	303.84	522.84	219.00 LT		

Account Detail

Sub 3: UMA Accum Assets Account - KLEIN FAMILY FOUNDATION (RO)
 759-0199-0175 - AFTERBORN CARE PLAN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
SBA COMMUNICATIONS CORP (SBAC) Share Price: \$87.140	12/29/10	2,000	50.640	101.28	174.28	73.00 LT		
	6/28/11	4,000	59.190	236.76	348.56	111.80 LT		
	8/1/11	6,000	60.630	363.78	522.84	159.06 LT		
	8/1/11	2,000	60.630	121.26	174.28	53.02 LT		
	10/28/11	6,000	62.255	373.53	522.84	149.31 LT		
	11/16/11	1,000	59.740	59.74	87.14	27.40 LT		
	11/16/11	4,000	59.690	238.76	348.56	109.80 LT		
	5/21/12	9,000	58.318	524.86	784.26	259.40 LT		
	5/21/12	1,000	58.320	58.32	87.14	28.82 LT		
	6/4/12	5,000	55.008	275.04	435.70	160.66 LT		
SCHLUMBERGER LTD (SLB) Share Price: \$89.840	6/4/12	1,000	55.010	55.01	87.14	32.13 LT		
	Total	86,000		4,537.73	7,494.04	2,956.31 LT	68.63	0.91
SCHNEIDER ELEC SA UNSP ADR (SBGSV) Share Price: \$90.110; Next Dividend Payable 01/10/14	5/23/11	44,000	39.358	1,731.77	3,952.96	2,221.19 LT		
	3/11/09	27,000	38.737	1,045.89	2,432.97	1,387.08 LT A		
	11/16/11	8,000	76.123	608.98	720.88	111.90 LT		
	3/20/12	11,000	75.594	831.53	991.21	159.68 LT		
	3/20/12	12,000	75.594	907.12	1,081.32	174.20 LT		
	3/20/12	8,000	75.594	604.75	720.88	116.13 LT		
	6/28/12	12,000	61.890	742.68	1,081.32	338.64 LT		
	6/28/12	10,000	61.890	618.90	901.10	282.20 LT		
	4/19/13	12,000	69.605	835.26	1,081.32	246.06 ST		
	4/19/13	6,000	69.605	417.63	540.66	123.03 ST		
SCHNEIDER ELEC SA UNSP ADR (SBGSV) Share Price: \$17.550	Total	106,000		6,612.74	9,551.66	2,569.83 LT	132.50	1.38
						369.09 ST		
	8/23/11	58,000	12.650	733.70	1,017.90	284.20 LT		
	11/16/11	2,000	10.670	21.34	35.10	13.76 LT		
	1/31/12	8,000	12.490	99.92	140.40	40.48 LT		
	5/15/12	62,000	11.200	694.39	1,088.10	393.71 LT		
SCHNEIDER ELEC SA UNSP ADR (SBGSV) Share Price: \$17.550	10/31/13	64,000	16.904	1,081.86	1,123.20	41.34 ST		
	Total	194,000		2,631.21	3,404.70	732.15 LT	72.56	2.13
						41.34 ST		

Account Detail

Sales 11/18 Active Assets Account
75801535-037KLEIN FERNIS FOUNDATION INC
ATTENTION: J. K. JENSEN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Dividend Yield %
SCIENCE APPLICATIONS INTL CP (SAIC)	1/29/13	22,000	25.911	570.05	727.54	157.49 ST		
	2/15/13	11,000	28.493	313.42	363.77	50.35 ST		
Total		33,000		883.47	1,091.31	207.84 ST	36.96	3.38
Share Price: \$33.070; Next Dividend Payable 01/20/14								
SEMPRA ENERGY (SRE)	3/11/09	12,000	39.000	468.00	1,077.12	609.12 LT A		
	12/10/09	11,000	54.790	602.69	987.36	394.67 LT		
	4/30/10	43,000	49.422	2,125.16	3,859.68	1,734.52 LT		
	4/30/10	6,000	49.422	296.53	538.56	242.03 LT		
	5/4/10	9,000	49.411	444.70	807.84	363.14 LT		
	12/29/10	11,000	52.350	575.85	987.36	411.51 LT		
Total		92,000		4,512.93	8,257.92	3,744.99 LT	231.84	2.80
Share Price: \$89.760; Next Dividend Payable 01/15/14								
SHANGHAI ELEC GROUP CO LTD ADR (SIELY)	12/10/09	68,000	9.350	635.80	487.56	(148.24) LT		
	7/2/10	33,000	8.858	292.33	236.61	(55.72) LT		
	2/25/11	17,000	11.540	196.18	121.89	(74.29) LT		
	6/13/11	35,000	10.334	361.68	250.95	(110.73) LT		
	11/16/11	19,000	9.430	179.17	136.23	(42.94) LT		
	8/3/12	52,000	7.939	412.84	372.84	(40.00) LT		
	10/11/12	56,000	7.423	415.68	401.52	(14.16) LT		
Total		280,000		2,493.68	2,007.60	(486.08) LT	47.04	2.34
Share Price: \$7.170								
SHINHAN FINANCIAL GROUP CO LTD (SHG)	8/4/11	18,000	46.287	833.16	822.60	(10.56) LT		
	1/31/12	2,000	39.640	79.28	91.40	12.12 LT		
	10/24/13	12,000	43.913	526.96	548.40	21.44 ST		
Total		32,000		1,439.40	1,462.40	1.56 LT	14.78	1.01
Share Price: \$45.700								
SHIRE PLC ADR (SHPG)	12/10/09	15,000	56.492	847.38	2,119.35	1,271.97 LT		
	12/29/10	2,000	71.430	142.86	282.58	139.72 LT		
	5/31/13	8,000	98.990	791.92	1,130.32	338.40 ST		
	6/3/13	1,000	99.030	99.03	141.29	42.26 ST		
	6/3/13	14,000	99.029	1,386.41	1,978.06	591.65 ST		
	6/4/13	3,000	98.470	295.41	423.87	128.46 ST		
	11/4/13	1,000	134.730	134.73	141.29	6.56 ST		
	11/4/13	9,000	134.729	1,212.56	1,271.61	59.05 ST		

Account Detail

SELECTING ACCOUNTS TO VIEW: ALL ACCOUNTS | ACCOUNTS WITH BALANCE | ACCOUNTS WITH UNREALIZED GAIN/LOSS | ACCOUNTS WITH DIVIDENDS | ACCOUNTS WITH UNREALIZED LOSS

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$141.290								
SIEMENS AKTIENGESSELLSCHAFT (SI)								
	12/10/09	14.000	86.986	1,217.81	1,939.14	721.33 LT		
	12/29/10	3.000	120.437	361.31	415.53	54.22 LT		
	9/27/11	5.000	91.190	455.95	692.55	236.60 LT		
	11/16/11	2.000	95.700	191.40	277.02	85.62 LT		
	3/30/12	4.000	97.155	388.62	554.04	165.42 LT		
	8/3/12	8.000	84.926	679.41	1,108.08	428.67 LT		
Total		36.000		3,294.50	4,986.36	1,691.86 LT	107.86	2.16
Share Price: \$138.510; Next Dividend Payable 07/2014								
SIGNATURE BANK (SBNY)								
	8/5/09	2.000	30.233	60.47	214.84	154.37 LT A		
	11/3/09	15.000	31.057	465.86	1,611.30	1,145.44 LT A		
	2/8/10	6.000	34.160	204.96	644.52	439.56 LT		
	11/3/10	5.000	42.506	212.53	537.10	324.57 LT		
Total		28.000		943.82	3,007.76	2,063.94 LT	—	—
Share Price: \$107.420								
SIMON PTY GROUP INC (SPG)								
	10/16/13	25.000	156.790	3,919.76	3,804.00	(115.76) ST	120.00	3.15
Share Price: \$152.160; Next Dividend Payable 02/2014								
SINGAPORE TELECOM LTD ADR NEW (SGAPY)								
	12/10/09	85.000	21.550	1,831.75	2,473.50	641.75 LT		
	12/29/10	19.000	23.860	453.34	552.90	99.56 LT		
Total		104.000		2,285.09	3,026.40	741.31 LT	133.54	4.41
Share Price: \$29.100								
SKYWORKS SOLUTIONS INC (SWKS)								
	11/18/10	104.000	23.940	2,489.74	2,970.24	480.50 LT		
	1/31/12	11.000	21.630	237.93	314.16	76.23 LT		
Total		115.000		2,727.67	3,284.40	556.73 LT	—	—
Share Price: \$28.560								
SMITH & NEPHEW PLC ADR (SNIN)								
	3/11/09	10.000	31.120	311.20	717.40	406.20 LT A		
	5/5/11	11.000	56.099	617.09	789.14	172.05 LT		
	11/16/11	1.000	46.110	46.11	71.74	25.63 LT		
	9/21/12	10.000	55.764	557.64	717.40	159.76 LT		
	12/5/13	12.000	68.753	825.03	860.88	35.85 ST		
Total		44.000		2,357.07	3,156.56	763.64 LT	57.20	1.81
Share Price: \$71.740								
						35.85 ST		

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STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
SOCIETE GENERALE SP ADR (SCGLY)	1/30/13	106,000	8.976	951.49	1,234.79	283.30 ST	9.32	0.75
Share Price: \$11.649								
SOLERA HOLDINGS INC (SLH)	12/10/09	43,000	35.658	1,533.32	3,042.68	1,509.36 LT		
	11/16/11	2,000	48.880	97.76	141.52	43.76 LT		
Total		45,000		1,631.08	3,184.20	1,553.12 LT	30.60	0.96
Share Price: \$70.760; Next Dividend Payable 03/2014								
SONOCO PRODUCTS CO (SON)	8/25/11	53,000	28.883	1,530.82	2,211.16	680.34 LT		
	10/21/11	25,000	29.988	749.69	1,043.00	293.31 LT		
Total		78,000		2,280.51	3,254.16	973.65 LT	96.72	2.97
Share Price: \$41.720; Next Dividend Payable 03/2014								
ST JUDE MEDICAL INC (STJ)	5/18/11	29,000	52.593	1,525.21	1,796.55	271.34 LT		
	7/29/11	23,000	46.902	1,078.75	1,424.85	346.10 LT		
	11/16/11	24,000	39.566	949.59	1,486.80	537.21 LT		
	11/16/11	8,000	39.560	316.48	495.60	179.12 LT		
Total		84,000		3,870.03	5,203.80	1,333.77 LT	84.00	1.61
Share Price: \$61.950; Next Dividend Payable 01/31/14								
STAPLES INC (SPLS)	5/7/13	146,000	13.742	2,006.30	2,319.94	313.64 ST		
	6/11/13	48,000	15.586	748.11	762.72	14.61 ST		
	9/6/13	26,000	14.170	368.42	413.14	44.72 ST		
Total		220,000		3,122.83	3,495.80	372.97 ST	105.60	3.02
Share Price: \$15.890; Next Dividend Payable 01/16/14								
STARZ SERIES A (STRZA)	12/13/10	3,000	6.438	19.31	87.72	68.41 LT		
	3/24/11	1,000	8.110	8.11	29.24	21.13 LT		
	3/24/11	5,000	7.560	37.80	146.20	108.40 LT		
	2/13/13	75,000	18.653	1,398.97	2,193.00	794.03 ST		
Total		84,000		1,464.19	2,456.16	197.94 LT	—	—
Share Price: \$29.240								
STATOIL ASA ADR (STO)	12/10/09	57,000	24.500	1,396.50	1,375.41	(21.09) LT		
	12/20/10	21,000	23.041	483.86	506.73	22.87 LT		
	12/27/10	4,000	23.200	92.80	96.52	3.72 LT		
	12/29/10	25,000	23.620	590.50	603.25	12.75 LT		
	11/16/11	3,000	25.620	76.86	72.39	(4.47) LT		
Total		110,000		2,640.52	2,654.30	13.78 LT	94.49	3.55
Share Price: \$24.130								

Account Detail

SUN LIFE ACTIVE ASSETS ACCOUNT KLEIN FAMILY FOUNDATION INC
759-019335-0377 ATTENTION: JAMES KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Dividend Yield %
STERICYCLE INC (SRCL)	12/10/09	26,000	57.620	1,498.12	3,020.42	1,522.30 LT	—	—
Share Price: \$116.170								
STRYKER CORP (SYK)	3/25/13	37,000	64.578	2,389.40	2,780.18	390.78 ST		
	4/19/13	19,000	64.234	1,220.44	1,427.66	207.22 ST		
Total		56,000		3,609.84	4,207.84	598.00 ST	68.32	1.62
Share Price: \$75.140, Next Dividend Payable 01/31/14								
SUN COMMUNITIES INC (SUI)	11/11/12	46,000	35.439	1,630.21	1,961.44	331.23 LT R		
	1/23/12	10,000	37.351	373.51	426.40	52.89 LT R		
	2/6/12	7,000	39.761	278.33	298.48	20.15 LT R		
	9/25/12	20,000	43.939	878.78	852.80	(25.98) LT R		
	12/5/13	14,000	40.760	570.64	596.96	26.32 ST		
Total		97,000		3,731.47	4,136.08	378.29 LT	244.44	5.90
Share Price: \$42.640, Next Dividend Payable 01/17/14						26.32 ST		
SUNCOR ENERGY INC NEW COM (SU)	7/8/11	28,000	40.566	1,135.86	981.40	(154.46) LT		
	7/8/11	4,000	48.790	195.16	140.20	(54.96) LT H		
	7/29/11	4,000	38.429	153.71	140.20	(13.51) LT		
	7/29/11	15,000	38.429	576.43	525.75	(50.68) LT		
	10/11/11	20,000	28.085	561.70	701.00	139.30 LT		
	5/23/12	9,000	27.240	245.16	315.45	70.29 LT		
	8/6/12	2,000	31.930	63.86	70.10	6.24 LT		
	8/6/12	20,000	31.930	638.60	701.00	62.40 LT		
	8/30/12	2,000	31.255	62.51	70.10	7.59 LT		
	8/30/12	14,000	31.254	437.56	490.70	53.14 LT		
	5/11/13	20,000	30.530	610.60	701.00	90.40 ST		
Total		138,000		4,681.15	4,836.90	65.35 LT	103.91	2.14
Share Price: \$35.050, Next Dividend Payable 03/2014; Basis Adjustment Due to Wash Sale: \$41.44						90.40 ST		
SUNTORY BEVERAGE AND FOOD LTD (STBFY)	12/9/13	102,000	16.020	1,634.05	1,657.50	23.45 ST	—	—
Share Price: \$16.250								
SUNTRUST BKS (STI)	10/19/11	55,000	19.060	1,048.30	2,024.55	976.25 LT		
	10/19/11	5,000	19.060	95.30	184.05	88.75 LT		
	10/19/11	1,000	19.060	19.06	36.81	17.75 LT		
	10/25/11	45,000	19.113	860.08	1,656.45	796.37 LT		
	11/16/11	4,000	18.438	73.75	147.24	73.49 LT		

Account Detail

Select TWO Active Assets & Email KLEIN, EMMETT DONTON FROST
759-01953-597 ATTENTION: JUDY KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	3/30/12	16,000	24.198	387.17	588.96	201.79 LT		
	6/3/13	58,000	32.193	1,867.17	2,134.98	267.81 ST		
	6/18/13	35,000	31.828	1,113.98	1,288.35	174.37 ST		
	6/18/13	3,000	31.827	95.48	110.43	14.95 ST		
	8/13/13	28,000	34.710	971.87	1,030.68	58.81 ST		
Total		250,000		6,532.16	9,202.50	2,154.40 LT 515.94 ST	100.00	1.08
Share Price: \$36.810; Next Dividend Payable 03/20/14								
SWEDBANK AB SPONS ADR (SWDBV)	3/2/11	18,000	17.310	311.58	509.58	198.00 LT		
	3/3/11	1,000	17.280	17.28	28.31	11.03 LT		
	7/29/11	18,000	17.650	317.70	509.58	191.88 LT		
	11/16/11	9,000	13.480	121.32	254.79	133.47 LT		
	5/24/12	41,000	14.565	597.17	1,160.71	563.54 LT		
Total		87,000		1,365.05	2,462.97	1,097.92 LT	111.80	4.53
Share Price: \$28.310								
SWIRE PACIFIC SPN ADR LTD CL A (SWRAY)	12/10/09	57,000	12.350	703.95	667.47	(36.48) LT		
	12/29/10	21,000	16.410	344.61	245.91	(98.70) LT		
	11/16/11	4,000	12.280	49.12	46.84	(2.28) LT		
	Total	82,000		1,097.68	960.22	(137.46) LT	34.11	3.55
Share Price: \$11.710								
SWISS RE LTD SPONSORED ADR (SSREV)	6/6/11	27,000	59.500	1,606.50	2,494.26	887.76 LT		
	11/16/11	3,000	52.500	157.50	277.14	119.64 LT		
	8/1/12	10,000	63.084	630.84	923.80	292.96 LT		
	Total	40,000		2,394.84	3,695.20	1,300.36 LT	149.16	4.03
Share Price: \$92.380								
SYNGENTA AG ADR (SYT)	12/10/09	16,000	54.958	879.32	1,279.04	399.72 LT		
	5/25/10	11,000	44.065	484.72	879.34	394.62 LT		
	7/29/11	3,000	63.830	191.49	239.82	48.33 LT		
	11/16/11	1,000	58.960	58.96	79.94	20.98 LT		
	12/14/11	7,000	55.247	386.73	559.58	172.85 LT		
Total		38,000		2,001.22	3,037.72	1,036.50 LT	64.52	2.12
Share Price: \$79.940								
SYSCO CORP (SYW)	9/28/12	57,000	31.171	1,776.76	2,057.70	280.94 LT		
	11/5/12	29,000	30.648	888.80	1,046.90	158.10 LT		
	12/27/12	28,000	31.425	879.89	1,010.80	130.91 LT		

Select UMA Active Asset Account: KLEIN FAMILY FOUNDATION INC
759-019935-037 ATTENTION: CARLA KLEIN

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Total								
		114,000		3,545.45	4,115.40	569.95 LT	132.24	3.21
Share Price: \$36 100, Next Dividend Payable 01/24/14								
TAIWAN SMCNDCR MFG CO LTD ADR								
(TSM)								
	12/10/09	122,000	10.758	1,312.48	2,127.68	815.20 LT		
	12/10/09	23,000	10.758	247.43	401.12	153.69 LT		
	12/10/09	6,000	10.758	64.55	104.64	40.09 LT		
	12/10/09	2,000	10.758	21.52	34.88	13.36 LT		
	12/10/09	9,000	10.758	96.82	156.96	60.14 LT		
	12/10/09	13,000	10.758	139.85	226.72	86.87 LT		
	10/21/10	47,000	10.399	488.73	819.68	330.95 LT		
	12/29/10	18,000	12.230	220.14	313.92	93.78 LT		
	12/29/10	40,000	12.230	489.20	697.60	208.40 LT		
	11/16/11	11,000	12.796	140.76	191.84	51.08 LT		
	11/16/11	39,000	12.818	499.90	680.16	180.26 LT		
	10/18/13	25,000	19.120	478.00	436.00	(42.00) ST		
Total								
		355,000		4,199.38	6,191.20	2,033.82 LT	142.36	2.29
						(42.00) ST		

Share Price: \$17 440

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Share Price \$11.650, Next Dividend Payable 03/2014

TECO ENERGY (TE)	9/17/12	106,000	17,347	1,838.81	1,827.44	(11.37) LT
	11/8/12	50,000	17,255	862.77	862.00	(0.77) LT
	2/5/13	14,000	16,950	237.30	241.36	4.06 ST
Total		170,000	2,938.88	2,938.88	2,938.80	(12.14) LT
						4.06 ST
						5.10

Share Price \$17 240, Next Dividend Payable 02/2014

Account Detail

Safe/Inactive Asset Account: KLEINER PERKINS & COMPANY, INC. ATTENTION: CARRA KLEINER
758-01835-037

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Dividend Yield %
TELEFONICA SA ADR (TEF)								
	3/11/09	57,000	18.140	1,033.98	931.38	(102.60) LT A		
	12/10/09	15,000	28.263	423.95	245.10	(178.85) LT		
	12/29/10	15,000	22.687	340.30	245.10	(95.20) LT		
	10/12/11	28,000	21.117	591.28	457.52	(133.76) LT		
	11/16/11	13,000	18.730	243.49	212.42	(31.07) LT		
	6/17/13	42,000	13.724	576.40	686.28	109.88 ST		
	9/11/13	48,000	14.595	700.54	784.32	83.78 ST		
Total		218,000		3,909.94	3,562.12	(541.48) LT	78.92	2.21
TELEFONOR ASA ADS (TELNY)								
	12/10/09	18,000	42.950	773.10	1,288.26	515.16 LT		
	12/29/10	7,000	48.150	337.05	500.99	163.94 LT		
	11/16/11	6,000	52.080	312.48	429.42	116.94 LT		
	5/31/12	15,000	44.104	661.56	1,073.55	411.99 LT		
Total		46,000		2,084.19	3,292.22	1,208.03 LT	119.05	3.61
TELEPHONE AND DATA SYSTEMS INC (TDS)								
	3/11/09	85,000	23.680	2,012.80	2,191.30	178.50 LT A		
	12/10/09	10,000	29.652	296.52	257.80	(38.72) LT		
	11/16/11	8,000	23.215	185.72	206.24	20.52 LT		
Total		103,000		2,495.04	2,655.34	160.30 LT	52.53	1.97
TEREX CP NEW DEL (TEX)								
	8/16/10	11,000	19.587	215.46	461.89	246.43 LT		
	9/2/10	30,000	20.069	602.07	1,259.70	657.63 LT		
	11/3/10	3,000	23.227	69.68	125.97	56.29 LT		
	3/23/11	13,000	36.900	479.70	545.87	66.17 LT		
	11/16/11	3,000	16.770	50.31	125.97	75.66 LT		
Total		60,000		1,417.22	2,519.40	1,102.18 LT	12.00	0.47
TESCO PLC SPONSORED ADR (TSCDY)								
	12/10/09	11,000	20.540	225.94	185.24	(40.70) LT		
	12/10/09	68,000	20.540	1,396.72	1,145.12	(251.60) LT		
	12/29/10	14,000	20.300	284.20	235.76	(48.44) LT		
	4/20/12	37,000	15.676	580.02	623.08	43.06 LT		
	6/7/13	40,000	16.080	643.18	673.60	30.42 ST		
	7/10/13	44,000	15.610	686.85	740.96	54.11 ST		
	10/22/13	14,000	18.202	254.83	235.76	(19.07) ST		

Share Price: \$16.340

Share Price: \$71.570

Share Price: \$25.780; Next Dividend Payable 03/2014

Share Price: \$41.990; Next Dividend Payable 03/2014

Account Detail

See Client Agreement for details regarding the use of this information. This information is not to be used for any purpose other than the purpose for which it was provided. Please contact your advisor for more information.

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Total		228.000		4,071.74	3,839.52	(297.68) LT 65.46 ST	147.06	3.83
Share Price: \$16.840								
TEVA PHARMACEUTICALS ADR (TEVA)								
	3/11/09	19.000	42.938	815.82	761.52	(54.30) LT A		
	12/10/09	50.000	53.116	2,655.80	2,004.00	(651.80) LT		
	12/29/10	4.000	51.990	207.96	160.32	(47.64) LT		
	10/6/11	14.000	37.898	530.57	561.12	30.55 LT		
	11/16/11	2.000	40.520	81.04	80.16	(0.88) LT		
	8/6/12	7.000	40.401	282.81	280.56	(2.25) LT		
	10/31/13	36.000	37.315	1,343.34	1,442.88	99.54 ST		
	10/31/13	8.000	37.315	298.52	320.64	22.12 ST		
	11/20/13	4.000	40.000	160.00	160.32	0.32 ST		
	11/20/13	14.000	40.000	560.00	561.12	1.12 ST		
Total		158.000		6,935.86	6,332.64	(726.32) LT 123.10 ST	171.59	2.70
Share Price: \$40.080; Next Dividend Payable 03/2014								
THE ADT CORPORATION COM (ADT)								
	11/20/13	44.000	43.446	1,911.62	1,780.68	(130.94) ST		
	12/4/13	24.000	40.581	973.94	971.28	(2.66) ST		
Total		68.000		2,885.56	2,751.96	(133.60) ST	34.00	1.23
Share Price: \$40.470; Next Dividend Payable 02/2014								
THE MACERICH CO (MAC)								
	5/26/10	34.000	38.409	1,305.90	2,002.26	696.36 LT R		
	9/2/10	15.000	42.200	633.00	883.35	250.35 LT R		
Total		49.000		1,938.90	2,885.61	946.71 LT	121.52	4.21
Share Price: \$58.890; Next Dividend Payable 03/2014								
THERMO FISHER SCIENTIFIC INC (TMO)								
	3/10/09	29.000	33.810	980.49	3,229.15	2,248.66 LT A		
	11/16/11	4.000	48.910	195.64	445.40	249.76 LT		
	1/28/13	14.000	70.846	991.85	1,558.90	567.05 ST		
Total		47.000		2,167.98	5,233.45	2,498.42 LT 567.05 ST	28.20	0.53
Share Price: \$111.350; Next Dividend Payable 01/15/14								
TJX COS INC NEW (TJX)								
	5/24/10	40.000	22.166	886.64	2,549.20	1,662.56 LT		
	6/9/10	26.000	22.560	586.57	1,656.98	1,070.41 LT		
	12/29/10	22.000	22.330	491.26	1,402.06	910.80 LT		
	12/29/10	60.000	22.330	1,339.80	3,823.80	2,484.00 LT		
	10/21/11	12.000	29.865	358.38	764.76	406.38 LT		

Account Detail

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Dividend Yield %
TNT EXPRESS NV (INTEV)								
Share Price: \$63.730; Next Dividend Payable 03/2014								
Total		160,000		3,662.65	10,196.80	6,534.15 LT	92.80	0.91
3/1/13		188,000	7.553	1,419.89	1,739.00	319.11 ST		
5/16/13		87,000	7.708	670.63	804.75	134.12 ST		
6/26/13		120,000	7.508	900.92	1,110.00	209.08 ST		
10/23/13		20,000	9.375	187.49	185.00	(2.49) ST		
Total		415,000		3,178.93	3,838.75	659.82 ST	18.50	0.48
TOLL BROTHERS (TOL)								
Share Price: \$9.250								
Total		25,000	34.358	858.94	925.00	66.06 LT	—	—
Share Price: \$37.000								
TOTAL S A SPON ADR (TOT)								
12/10/09		2,000	62.740	125.48	122.54	(2.94) LT		
12/10/09		35,000	62.740	2,195.90	2,144.45	(51.45) LT		
12/10/09		7,000	62.740	439.18	428.89	(10.29) LT		
12/29/10		8,000	53.650	429.20	490.16	60.96 LT		
11/16/11		1,000	51.020	51.02	61.27	10.25 LT		
11/16/11		5,000	51.020	255.10	306.35	51.25 LT		
7/3/13		41,000	48.316	1,980.96	2,512.07	531.11 ST		
8/1/13		1,000	53.590	53.59	61.27	7.68 ST		
8/1/13		18,000	53.599	964.78	1,102.86	138.08 ST		
9/13/13		8,000	56.893	455.14	490.16	35.02 ST		
Total		126,000		6,950.35	7,728.02	777.67 LT	330.88	4.28
TOYOTA MOTOR CP ADR NEW (TM)								
Share Price: \$61.270; Next Dividend Payable 01/07/14								
3/11/09		7,000	59.370	415.59	853.44	437.85 LT A		
3/11/09		14,000	59.370	831.18	1,706.88	875.70 LT A		
3/11/09		5,000	59.370	296.85	609.60	312.75 LT A		
2/4/10		7,000	71.600	501.20	853.44	352.24 LT		
12/29/10		2,000	78.940	157.88	243.84	85.96 LT		
12/29/10		3,000	78.940	236.82	365.76	128.94 LT		
3/15/11		4,000	78.915	315.66	487.68	172.02 LT		
11/16/11		2,000	64.050	128.10	243.84	115.74 LT		
5/9/13		8,000	118.525	948.20	975.36	27.16 ST		
Total		52,000		3,831.48	6,339.84	2,481.20 LT	121.99	1.92
Share Price \$121.920								
Total						27.16 ST		

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
TRANSCANADA CORP(HLDG CO) (TRP)	12/10/09	53,000	32.913	1,744.41	2,419.98	675.57 LT		
	12/29/10	7,000	38.270	267.89	319.62	51.73 LT		
Total		60,000		2,012.30	2,739.60	727.30 LT	105.96	3.86
Share Price: \$45.660; Next Dividend Payable 01/31/14								
TRAVELERS COMPANIES INC COM (TRV)	9/9/11	29,000	48.748	1,413.69	2,625.66	1,211.97 LT		
	12/13/11	12,000	56.468	677.61	1,086.48	408.87 LT		
	2/7/12	105,000	59.701	6,268.57	9,506.70	3,238.13 LT		
	2/13/12	2,000	59.100	118.20	181.08	62.88 LT		
	2/13/12	14,000	59.100	827.40	1,267.56	440.16 LT		
Total		162,000		9,305.47	14,667.48	5,362.01 LT	324.00	2.20
Share Price: \$90.540; Next Dividend Payable 03/20/14								
TREND MICRO INC SPON ADR NEW (TMCY)	1/7/11	36,000	33.725	1,214.10	1,265.40	51.30 LT		
	11/16/11	8,000	32.210	257.68	281.20	23.52 LT		
	9/13/12	14,000	27.540	385.56	492.10	106.54 LT		
	12/14/12	17,000	27.700	470.90	597.55	126.65 LT		
Total		75,000		2,328.24	2,636.25	308.01 LT	47.40	1.79
Share Price: \$35.150								
TUPPERWARE BRANDS CORP (TUP)	12/10/09	36,000	48.892	1,760.11	3,403.08	1,642.97 LT		
	4/29/10	6,000	52.720	316.32	567.18	250.86 LT		
Total		42,000		2,076.43	3,970.26	1,893.83 LT	104.16	2.62
Share Price: \$94.530; Next Dividend Payable 01/06/14								
TURKCELL ILETISM HIZM AS NEW (TKC)	12/10/09	46,000	15.930	732.78	614.10	(118.68) LT		
	12/29/10	19,000	17.130	325.47	253.65	(71.82) LT		
Total		65,000		1,058.25	867.75	(190.50) LT	—	—
Share Price: \$13.350								
UBS AG NEW (UBS)	2/6/13	56,000	17.167	961.37	1,078.00	116.63 ST		
	8/1/13	50,000	19.885	994.25	962.50	(31.75) ST		
Total		106,000		1,955.62	2,040.50	84.88 ST	16.96	0.83
Share Price: \$19.250								
ULTRA PETROLEUM CORP (UPL)	5/16/13	93,000	21.938	2,040.20	2,013.45	(26.75) ST	—	—
Share Price: \$21.650								
UNILEVER NV NY SH NEW (UN)	5/6/11	50,000	32.509	1,625.43	2,011.50	386.07 LT		
	5/6/11	13,000	32.509	422.61	522.99	100.38 LT		
	11/16/11	3,000	33.110	99.33	120.69	21.36 LT		
Total		66,000		2,147.37	2,655.18	507.81 LT	78.28	2.94
Share Price: \$40.230								

Account Detail

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Dividend Yield %
UNION PACIFIC CORP (UNP)								
	12/10/09	30,000	64.530	1,935.90	5,040.00	3,104.10 LT		
	8/30/11	4,000	90.610	362.44	672.00	309.56 LT		
	6/18/13	3,000	157.907	473.72	504.00	30.28 ST		
Total		37,000		2,772.06	6,216.00	3,413.66 LT 30.28 ST	116.92	1.88
Share Price: \$168.000, Next Dividend Payable 01/02/14								
UNITED TECHNOLOGIES CORP (UTX)								
	3/10/09	72,000	40.430	2,910.96	8,193.60	5,282.64 LT A		
	3/10/09	8,000	39.920	319.36	910.40	591.04 LT A		
	3/10/09	4,000	39.920	159.68	455.20	295.52 LT A		
	3/10/09	2,000	40.430	80.86	227.60	146.74 LT A		
	12/29/10	5,000	79.330	396.65	569.00	172.35 LT		
	3/14/11	8,000	80.484	643.87	910.40	266.53 LT		
	8/24/11	7,000	69.979	489.85	796.60	306.75 LT		
	8/24/11	10,000	69.978	699.78	1,138.00	438.22 LT		
	4/18/12	10,000	81.350	813.50	1,138.00	324.50 LT		
	3/25/13	6,000	92.533	555.20	682.80	127.60 ST		
Total		132,000		7,069.71	15,021.60	7,824.29 LT 127.60 ST	311.52	2.07
Share Price: \$113.800, Next Dividend Payable 03/20/14								
UNITEDHEALTH GP INC (UNH)								
	7/19/13	120,000	71.476	8,577.06	9,036.00	458.94 ST	134.40	1.48
Share Price: \$75.300; Next Dividend Payable 03/20/14								
VALERO ENERGY CP DELA NEW (VLO)								
	11/15/12	43,000	26.748	1,150.15	2,167.20	1,017.05 LT	38.70	1.78
Share Price: \$50.400; Next Dividend Payable 03/20/14								
VERIFONE SYSTEMS INC (PAY)								
	1/24/13	42,000	35.441	1,488.53	1,126.44	(362.09) ST		
	4/19/13	62,000	19.211	1,191.09	1,662.84	471.75 ST		
Total		104,000		2,679.62	2,789.28	109.66 ST	—	—
Share Price: \$26.820								
VERIZON COMMUNICATIONS (VZ)								
	3/25/13	64,000	49.132	3,144.46	3,144.96	0.50 ST	135.68	4.31
Share Price: \$49.140; Next Dividend Payable 02/20/14								
VISA INC CL A (V)								
	5/21/13	46,000	182.138	8,378.33	10,243.28	1,864.95 ST	73.60	0.71
Share Price: \$222.680; Next Dividend Payable 03/20/14								
VIVENDI SA UNSPON ADR (VIVHY)								
	3/4/11	50,000	28.300	1,415.00	1,318.50	(96.50) LT		
	11/16/11	6,000	15.443	92.66	158.22	65.56 LT		
	3/15/13	26,000	20.950	544.69	685.62	140.93 ST		

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Total		82.000		2,052.35	2,162.34	(30.94) LT 140.93 ST	84.62	3.91
Share Price: \$26.370								
VODAFONE GP PLC ADS NEW (VOD)	12/29/10	4.000	26.300	105.20	157.24	52.04 LT		
	2/22/11	1.000	28.784	28.78	39.31	10.53 LT		
	2/22/11	53.000	28.784	1,525.56	2,083.43	557.87 LT		
	4/4/11	45.000	28.946	1,302.57	1,768.95	466.38 LT		
	11/16/11	4.000	27.558	110.23	157.24	47.01 LT		
	11/16/11	6.000	27.488	164.93	235.86	70.93 LT		
	11/16/11	1.000	27.550	27.55	39.31	11.76 LT		
Total		114.000		3,264.82	4,481.34	1,216.52 LT	181.26	4.04
Share Price: \$39.310; Next Dividend Payable 02/05/14								
VOLKSWAGEN AG SPON ADR (VLKAY)	8/13/13	55.000	47.573	2,616.52	3,008.50	391.98 ST	36.85	1.22
Share Price: \$54.700								
VOLKSWAGEN AG SPONS ADR (VLKPY)	7/11/11	1.000	41.494	41.49	56.44	14.95 LT		
	10/7/11	13.000	27.144	352.87	733.72	380.85 LT		
	11/16/11	3.000	34.140	102.42	169.32	66.90 LT		
	4/30/12	11.000	37.964	417.60	620.84	203.24 LT		
	6/8/12	16.000	30.675	490.80	903.04	412.24 LT		
Total		44.000		1,405.18	2,483.36	1,078.18 LT	29.96	1.20
Share Price: \$56.440; Next Dividend Payable 05/20/14								
WABCO HLDGS INC (WBC)	2/10/11	12.000	57.961	695.54	1,120.92	425.38 LT		
	3/17/11	18.000	58.009	1,044.17	1,681.38	637.21 LT		
	4/1/11	2.000	62.970	125.94	186.82	60.88 LT		
Total		32.000		1,865.65	2,989.12	1,123.47 LT	---	---
Share Price: \$93.410								
WALT DISNEY CO HLDG CO (DIS)	12/29/10	6.000	37.720	226.32	458.40	232.08 LT		
	6/16/11	33.000	38.016	1,254.54	2,521.20	1,266.66 LT		
	12/13/11	25.000	36.599	914.98	1,910.00	995.02 LT		
	1/26/12	22.000	39.500	869.00	1,683.80	811.80 LT		
	5/11/12	12.000	45.070	540.84	916.80	375.96 LT		
	5/14/13	120.000	67.407	8,088.80	9,168.00	1,079.20 ST		
Total		218.000		11,894.48	16,655.20	3,681.52 LT 1,079.20 ST	187.48	1.12
Share Price: \$76.400; Next Dividend Payable 01/16/14								

S&P 500 Active Assets Account
 KLEN FAMILY FOUNDATION, INC.
 ATTENTION: ERIC V. KLEN
 759-0193-437

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
WELLS FARGO & CO NEW (WFC)	3/10/09	23,000	11.505	264.62	1,044.20	779.58 LT A		
	4/1/09	63,000	14.721	927.43	2,860.20	1,932.77 LT A		
	4/24/09	45,000	20.822	937.00	2,043.00	1,106.00 LT A		
	12/10/09	13,000	25.600	332.80	590.20	257.40 LT		
	12/27/10	15,000	31.280	469.20	681.00	211.80 LT		
	12/29/10	20,000	31.040	620.80	908.00	287.20 LT		
	8/8/11	39,000	24.348	949.57	1,770.60	821.03 LT		
	10/31/12	14,000	33.751	472.51	635.60	163.09 LT		
Total				4,973.93	10,532.80	5,558.87 LT	278.40	2.64
Share Price: \$45.400; Next Dividend Payable 03/2014								
WPP PLC SPON NEW ADR (WPPGY)	12/10/09	36,000	47.974	1,727.05	4,134.96	2,407.91 LT		
	12/29/10	5,000	61.520	307.60	574.30	266.70 LT		
	11/16/11	1,000	52.200	52.20	114.86	62.66 LT		
	5/10/13	8,000	86.253	690.02	918.88	228.86 ST		
	Total	50,000		2,776.87	5,743.00	2,737.27 LT	228.86 ST	115.15
Share Price: \$114.860; Next Dividend Payable 05/2014								
XCEL ENERGY INC (XEL)	3/11/09	63,000	16.610	1,046.43	1,760.22	713.79 LT A		
	12/10/09	9,000	20.938	188.44	251.46	63.02 LT		
	Total	72,000		1,234.87	2,011.68	776.81 LT		80.64
Share Price: \$27.940; Next Dividend Payable 01/2014								
XEROX CORP (XRX)	3/11/09	94,000	8.475	796.65	1,143.98	347.33 LT		
	3/11/09	8,000	8.475	67.80	97.36	29.56 LT		
	3/4/10	60,000	9.534	572.05	730.20	158.15 LT		
	3/18/10	76,000	9.823	746.54	924.92	178.38 LT		
	12/13/10	36,000	11.988	431.55	438.12	6.57 LT		
	15/11	97,000	11.504	1,115.92	1,180.49	64.57 LT		
	15/11	18,000	11.504	207.08	218.06	11.98 LT		
	15/11	2,000	11.504	23.01	24.34	1.33 LT		
	3/31/11	82,000	10.705	877.80	997.94	120.14 LT		
	7/29/11	5,000	9.416	47.08	60.85	13.77 LT		
	7/29/11	107,000	9.521	1,018.75	1,302.19	283.44 LT		
	1/31/12	37,000	7.668	283.72	450.29	166.57 LT		
1/31/12	32,000	7.676	245.64	389.44	143.80 LT			
Total	654,000		6,433.59	7,959.18	1,525.59 LT		150.42	1.88
Share Price: \$12.170; Next Dividend Payable 01/31/14								

Account Detail

Settle Your Active Account Balance
 759,019.5007
 11/14/13
 11/14/13

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ZIMMER HLDGS INC (ZMH)								
	3/11/09	24,000	33.110	794.64	2,236.56	1,441.92 LT A		
	9/21/10	5,000	51.778	258.89	465.95	207.06 LT		
	10/15/10	1,000	51.100	51.10	93.19	42.09 LT		
	2/3/11	11,000	60.345	663.80	1,025.09	361.29 LT		
	11/16/11	5,000	51.496	257.48	465.95	208.47 LT		
	1/14/13	3,000	70.530	211.59	279.57	67.98 ST		
Total		49,000		2,237.50	4,566.31	2,260.83 LT	39.20	0.85

Share Price: \$93.190; Next Dividend Payable 01/31/14

COMMON STOCKS

				\$1,168,303.83	\$1,628,350.51	\$398,520.92 LT	\$29,629.99	1.82%
						\$61,525.60 ST	\$0.00	

PREFERRED STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
VALE S.A. SP (VALEP)								
	12/10/09	30,000	\$24.078	\$722.33	\$420.30	\$(302.03) LT		
	12/29/10	14,000	29.230	409.22	196.14	(213.08) LT		
	11/16/11	6,000	23.850	143.10	84.06	(59.04) LT		
Total		50,000		1,274.65	700.50	(574.15) LT	6.55	0.93

Share Price: \$14.010

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Estimated Accrued Interest	Yield %
STOCKS	56.5%	\$1,169,578.48	\$1,629,051.01	\$397,946.77 LT	\$29,636.54	\$0.00	1.82%
				\$61,525.60 ST			

EXCHANGE-TRADED & CLOSED-END FUNDS

Consulting Group Investment Advisor Research (CG IAR) status codes (FL, AL or NL) may be shown for certain exchange-traded funds. Please refer to "CG IAR Statuses in Investment Advisory Programs" in the quarter-end statement for your first statement, if you have not yet received a statement at the quarter-end for a description of these status codes. All status codes represent the opinions of CG IAR and are not representations or guarantees of performance.

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ISHARES MSCI EAFE ETF (EFA)								
	3/10/09	2,432,000	\$33.792	\$82,182.39	\$163,175.03	\$80,992.64 LT A		
	12/10/09	12,000	55.528	666.34	805.13	138.79 LT		
	12/27/10	46,000	57.358	2,638.47	3,086.36	447.89 LT		
	12/28/10	1,000	57.600	57.60	67.09	9.49 LT		
	12/29/10	246,000	58.088	14,289.65	16,505.36	2,215.71 LT		

753-01633-037 ATTENTION: 800-333-3333

EXCHANGE-TRADED & CLOSED-END FUNDS (CONTINUED)

[illegible]

	PERCENT OF TOTAL ASSETS	PERCENT OF TOTAL LIABILITIES	PERCENT OF TOTAL EQUITY
EXCHANGE-TRADED & CLOSED-END FUNDS	35.5%	\$1,023,710.06	\$447,147.58 LT
		\$576,562.45	\$17,619.88

MUTUAL FUNDS

OTHER MUTUAL FUNDS

Total Purchases vs Market Value: "Total Purchases," excluding reinvested distributions, with the current value of the mutual fund positions in your account

Cumulative Cash Distributions when shown, may reflect distributions on shares no longer held in the account. It may not reflect all distributions received in cash; due to but not limited to the following investments made prior to addition of this information on statements, securities transfers, timing of recent distributions, and certain adjustments made in your account.

"Net Value Increase/ (Decrease)" reflects the difference between your total purchases, and the sum of the current value of the fund's shares, and cash distributions shown. This calculation is for informational purposes only and does not reflect your total unrealized gain or loss nor should it be used for tax purposes.

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
IVY GLOBAL NATURAL RESOURCES I (IGNRI)	3/10/09	7,531.546	\$10.450	\$78,702.81	\$141,894.33	\$63,191.52 LT A		
	1/31/12	1,126.388	18.910	21,299.99	21,221.15	(78.84) LT		
Purchases		8,657.934		100,002.80	163,115.48	63,112.68 LT		
Long Term Reinvestments		55.596		936.79	1,047.43	110.64 LT		
Total		8,713.530		100,939.59	164,162.91	63,223.32 LT		
Total Purchases vs Market Value				100,002.80	164,162.91			
Net Value Increase/(Decrease)					64,160.11			

Share Price: \$18.840. CG IAR Status: AL, Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest

Morgan Stanley

CLIENT STATEMENT | For the Period December 1-31, 2013

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Account Detail
 Select TMA Active Assets Account: KLEIN FAMILY FOUNDATION INC
 759-019835-037 ATTENTION: CARLA KLEIN

MUTUAL FUNDS	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
	5.7%	\$100,939.59	\$164,162.91	\$63,223.32 LT	\$0.00	—
					\$0.00	

Transactions in mutual fund positions held directly at the Fund Company are not included in the total above and are not reflected on the Summary Page
 For more information about the pricing of Money Market Funds, please see the Expanded Disclosures.

TOTAL MARKET VALUE	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
	100.0%	\$1,847,080.52	\$2,884,872.98	\$908,317.65 LT	\$47,290.42	1.64%
				\$61,525.60 ST	\$0.00	

TOTAL VALUE (includes accrued interest)

\$2,884,872.98

A - You executed this transaction elsewhere and later transferred the security to your Morgan Stanley Smith Barney LLC Account. Another financial institution has provided us with the transaction detail for this position.

H - Wash sale rules apply to this tax lot. The cost basis and acquisition date (trade date) have been adjusted to account for disallowed loss of a related wash sale transaction. The aggregate amount of the basis adjustment is identified in italics under the Security Description.

R - The cost basis for this tax lot was adjusted due to a reclassification of income

Unrealized Gain/(Loss) totals only reflect positions that have cost basis and/or market value information available. Cash, MMF, Deposits and positions stating 'Please Provide' are not included.

ACTIVITY

CASH FLOW ACTIVITY BY DATE

Transaction Settlement	Date	Activity Type	Description	Comments	Quantity	Price	Credits/(Debits)
	12/1	Qualified Dividend	WELLS FARGO & CO NEW			\$69.60	\$69.60
	12/1	Qualified Dividend	INTEL CORP			27.00	27.00
	12/1	Qualified Dividend	BLACK HILLS CORP			8.74	8.74
	12/2	Qualified Dividend	CONOCOPHILLIPS			68.31	68.31
	12/2	Qualified Dividend	PHILLIPS 66 COM			45.24	45.24
	12/2	Qualified Dividend	CUMMINS INC			40.00	40.00
	12/2	Qualified Dividend	AMERISOURCEBERGEN CORP			35.25	35.25
	12/2	Qualified Dividend	ENERGY CORP NEW			32.37	32.37
	12/2	Qualified Dividend	AFLAC INCORPORATED			24.42	24.42
	12/2	Qualified Dividend	ROCKWELL COLLINS INC			17.70	17.70
	12/2	Qualified Dividend	CHURCH & DWIGHT CO INC			15.68	15.68
	12/2	Sold	HEALTH MGMT ASSOC CL A	ACTED AS AGENT	170.000	13.0950	2,226.11
	12/2	Service Fee	BAIDU INC ADS	AGENT CUSTODY FEE \$0.0200/SH	30.000		(0.60)
	12/3	Dividend	TEVA PHARMACEUTICALS ADR				0.00
			ADJ GROSS DIV AMOUNT			1.76	
			FOREIGN TAX PAID IS			1.76	

Account Detail

Consulting Group Advisor Active Assets Account
 KLEIN FAMILY FOUNDATION INC
 769-019928-037
 ATTENTION: CAROL KLEIN

STOCKS

PREFERRED STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
CHARLES SCHWAB CORP 6% SER-B (SCHW.B)	11/26/12	750.000	\$26.493	\$19,869.45	\$16,492.50	\$(3,376.95) LT	\$1,125.00	6.82
Share Price \$21.990; Moody BAA2 S&P BBB+, Next Dividend Payable 03/2014								
VORNADO REALTY TR SER-J 6.875% (VNO.J)	2/20/13	750.000	27.133	20,349.45	18,045.00	(2,304.45) ST	1,289.25	7.14
Share Price \$24.060; Moody BAA3 S&P BBB-, Next Dividend Payable 01/02/14								

STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
		1.0%		\$40,218.90	\$34,537.50	\$(3,376.95) LT \$(2,304.45) ST	\$2,414.25 \$0.00	6.99%

EXCHANGE-TRADED & CLOSED-END FUNDS

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Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
CLEARBRIDGE ENERGY MLP FD INC (CEM)	9/26/12	1,500.000	\$23.902	\$35,852.86	\$40,830.00	\$4,977.14 LT R	\$2,400.00	5.87
Share Price: \$27.220; Next Dividend Payable 02/2014								
DOUBLELINE INCOME SOLUTIONS FD (DSL)	4/25/13	500.000	25.000	12,500.00	10,545.00	(1,955.00) ST	900.00	8.53
Share Price: \$21.090; Next Dividend Payable 01/2014								
ISHARES IBOX INVEST GR COR BD (IQD)	3/10/09	1,252.000	91.535	114,601.82	142,963.37	28,361.55 LT	5,478.75	3.83
Share Price \$114.188; CG IAR Status: AL; Next Dividend Payable 01/02/14								
ISHARES TIPS BOND ETF (TIP)	2/7/11	500.000	105.666	52,833.00	54,950.00	2,117.00 LT	631.00	1.14
Share Price: \$109.900; CG IAR Status: AL; Next Dividend Payable 01/2014								
PIMCO 0-5 YEAR HY CORP BOND (HYS)	1/17/12	500.000	103.736	51,867.91	53,180.00	1,312.09 LT	2,312.50	4.34
Share Price \$106.360								
PIMCO DYNAMIC CREDIT INC FD (PCI)	1/28/13	1,000.000	25.000	25,000.00	22,480.00	(2,520.00) ST	1,875.00	8.34
Share Price \$22.480; Next Dividend Payable 01/02/14								
POWERSHARES SENIOR LOAN PORT (BKLN)	12/11/12	1,500.000	25.350	38,025.57	37,320.00	(705.57) LT	1,642.50	4.40
Share Price: \$24.880								
PROSHARES S&P 500 ARISTOCRATS (NOBL)	12/23/13	1,000.000	43.773	43,772.60	44,120.00	347.40 ST	537.00	1.21
Share Price \$44.120								

Account Detail

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

MUNICIPAL BONDS

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj. Unit Cost	Orig. Total Cost Adj. Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
NEW YORK CITY TRANS FIN AU FUTURE	3/1/11	25,000,000	\$100.254	\$25,063.50			\$942.50	3.56
TAX SEC REV SUB SER-D-2			\$100.158	\$25,039.48	\$26,467.50	\$1,428.02 LT	\$392.70	
CUSIP 64971M7P1								
Unit Price: \$105.870; Coupon Rate 3.770%; Matures 02/01/2018; Int. Semi-Annually Feb/Aug 01, Yield to Maturity 2.257%; Subject to Federal Tax, Moody AA1 S&P AAA; Issued 02/10/11								
MONTGOMERY CNTY MD REV CTF\$ LTD	9/28/10	25,000,000	110.397	27,599.25			1,250.00	4.66
OBLIG-A			107.271	26,817.63	26,817.25	(0.38) LT	208.33	
CUSIP 61336PB7								
Unit Price: \$107.269; Coupon Rate 5.000%; Matures 05/01/2022, Int. Semi-Annually May/Nov 01, Callable \$100.00 on 05/01/20, Yield to Call 3.701%; Subject to Federal Tax, Moody AA1 S&P AA+, Issued 04/22/10								
WESTCHESTER CNTY N Y GENL OBLIG-C-2	12/12/11	55,000,000	110.602	60,831.05			2,640.00	4.49
BABDP			107.940	59,367.19	58,692.15	(675.04) LT	219.99	
CUSIP 95736UVV3								
Unit Price: \$106.713; Coupon Rate 4.800%; Matures 06/01/2022, Int. Semi-Annually Jun/Dec 01; Callable \$100.00 on 06/01/19, Yield to Call 3.431%; Subject to Federal Tax; Moody AA1 S&P AAA; Issued 02/11/10								
NEW YORK N Y SER-G1 BUILD AMERICA	7/30/10	25,000,000	107.252	26,813.00			1,331.00	4.93
BOND			105.828	26,456.89	26,969.25	512.36 LT	443.66	
CUSIP 64966HYC9								
Unit Price: \$107.877; Coupon Rate 5.324%; Matures 03/01/2024; Int. Semi-Annually Mar/Sep 01; Yield to Maturity 4.356%; Subject to Federal Tax, Moody AA2 S&P AA; Issued 03/30/10								
PENNSYLVANIA ST BUILD AMERICA BOND	12/30/10	25,000,000	102.452	25,613.00			1,262.50	4.70
CUSIP 70914PPJ5			101.796	25,449.04	26,812.50	1,363.46 LT	582.15	
Unit Price: \$107.250; Coupon Rate 5.050%; Matures 07/15/2024, Int. Semi-Annually Jan/Jul 15, Callable \$100.00 on 07/15/20, Yield to Call 3.787%; Subject to Federal Tax; Moody AA2, Issued 12/23/10								
OREGON ST GENL OBLIG DEPT ENERGY	8/6/10	25,000,000	104.641	26,160.25			1,175.00	4.58
SER-B			103.211	25,802.86	25,637.50	(165.36) LT	293.75	
CUSIP 68608KF94								
Unit Price: \$102.550; Coupon Rate 4.700%; Matures 04/01/2025, Int. Semi-Annually Apr/Oct 01; Callable \$100.00 on 04/01/20; Yield to Call 4.230%; Subject to Federal Tax; Moody AA1 S&P AA+, Issued 07/29/10								

Account Details

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

[illegible]

	Face Value Percentage of Assets %	Orig. Total Cost Adj. Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
MUNICIPAL BONDS	230,000.000	\$246,308.80 \$242,234.88	\$245,308.40	\$3,073.52 LT	\$11,263.50 \$2,309.46	4.59%

TOTAL MUNICIPAL BONDS (incl.accr.int.)

CORPORATE BONDS

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj.	Unit Cost	Orig. Total Cost Adj.	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
GENERAL ELEC CAP CORP 7.125% FIX TO 6/15/22 FLTS THEREAFTER CUSIP 369622SN6	6/12/12	100,000,000	\$106,590	\$106,524	\$106,590.00	\$106,523.98	\$111,750.00	\$5,226.02 LT	\$7,125.00 \$316.66	6.37
Unit Price: \$111.750; Coupon Rate 7.125%; Perpetual Maturity, Int Semi-Annually Jun/Dec 15, Callable \$100.00 on 06/15/22, Yield to Call 5.377%; Floater, Moody BAA1 S&P AA-, Issued 06/12/12										
JPMORGAN CHASE & CO CUSIP 46625HBV1	3/16/09	5,000,000	88,000		4,400.00		5,151.35	751.35 LT		
	9/30/09	1,000,000	104,899		1,048.99		1,030.27	22.70 LT		
			100,757		1,007.57					
Total		6,000,000			5,448.99		6,181.62	774.05 LT	307.50 90.54	4.97
Unit Price: \$103.027; Coupon Rate 5.125%; Matures 09/15/2014; Int Semi-Annually Mar/Sep 15; Yield to Maturity 8.12%; Moody BAA1 S&P A-; Issued 09/15/04										
WELLS FARGO & COMPANY CUSIP 949746CR0	9/3/10	25,000,000	108,946	101,948	27,236.50	25,486.99	25,944.00	457.01 LT	1,250.00 159.72	4.81
Unit Price: \$103.776; Coupon Rate 5.000%; Matures 11/15/2014, Int. Semi-Annually May/Nov 15, Yield to Maturity 651%; Moody A3 S&P A; Issued 11/06/02										

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

Consulting Group Advisor Active Assets Account 759-9190-8-037

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj.	Unit Cost	Orig. Total Cost Adj.	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Yield %
AMGEN INC CUSIP 031162AJ9	3/12/09	5,000,000	102.786		5,139.30	5,185.85	162.03 LT		
	9/30/09	1,000,000	108.114		1,081.14	1,037.17	22.32 LT		
Total		6,000,000			6,220.44	6,223.02	184.35 LT	291.00	4.67
Unit Price: \$103.717, Coupon Rate 4.850%; Matures 11/18/2014; Int. Semi-Annually May/Nov 18; Yield to Maturity .610%, Moody BAA1 S&P A, Issued 11/18/04									
GOLDMAN SACHS GROUP INC CUSIP 38141GEA8	3/16/09	6,000,000	89.850		5,391.00			307.50	4.90
			89.850		5,391.00	6,267.54	876.54 LT	141.79	
Unit Price: \$104.459, Coupon Rate 5.125%; Matures 01/15/2015; Int. Semi-Annually Jan/Jul 15; Yield to Maturity .806%, Moody BAA1 S&P A-; Issued 01/12/05									
CREDIT SUISSE FB USA INC CUSIP 22541LBK8	3/12/09	6,000,000	93.340		5,600.40	6,429.66	829.26 LT	307.50	4.78
			93.340		5,600.40	Moody A1 S&P A, Issued 08/17/05		116.16	
Unit Price \$107.161; Coupon Rate 5.125%; Matures 08/15/2015, Int. Semi-Annually Feb/Aug 15; Yield to Maturity 678%; Moody A1 S&P A, Issued 08/17/05									
FORD MOTOR CREDIT CO LLC CUSIP 345397VQ3	4/26/11	35,000,000	108.017		37,806.00	37,669.45	1,524.35 LT	1,968.80	5.22
			103.272		36,145.10	Moody BAA3 S&P BBB-, Issued 09/21/10		579.68	
Unit Price: \$107.627; Coupon Rate 5.625%; Matures 09/15/2015, Int. Semi-Annually Mar/Sep 15; Yield to Maturity 1.098%; Moody BAA3 S&P BBB-, Issued 09/21/10									
VERIZON GLOBAL FDG CORP CUSIP 92344GAW6	3/13/09	5,000,000	100.066		5,003.30	5,340.65	339.67 LT		
	9/30/09	1,000,000	100.020		5,000.98	1,068.13	46.24 LT		
			107.104		1,071.04				
			102.189		1,021.89				
Total		6,000,000			6,074.34	6,408.78	385.91 LT	294.00	4.58
Unit Price \$106.813, Coupon Rate 4.900%; Matures 09/15/2015; Int. Semi-Annually Mar/Sep 15, Yield to Maturity 866%; Moody BAA1 S&P BBB+, Issued 09/13/05									
PITNEY BOWES INC CUSIP 72447XAA5	11/8/11	25,000,000	106.604		26,651.00	26,355.50	522.36 LT	1,187.50	4.50
			103.333		25,833.14	Moody BAA2 S&P BBB; Issued 07/13/05		547.56	
Unit Price: \$105.422, Coupon Rate 4.750%; Matures 01/15/2016; Int. Semi-Annually Jan/Jul 15; Yield to Maturity 2.022%; Moody BAA2 S&P BBB; Issued 07/13/05									
ONEOK PARTNERS LP CUSIP 68268NAF0	10/13/11	40,000,000	101.778		40,711.20	41,590.00	1,233.83 LT	1,300.00	3.12
			100.890		40,356.17	1,232%, Moody BAA2 S&P BBB; Issued 01/26/11		541.66	
Unit Price \$103.975, Coupon Rate 3.250%; Matures 02/01/2016, Int. Semi-Annually Feb/Aug 01; Callable \$100.00 on 01/01/16, Yield to Call 1.232%, Moody BAA2 S&P BBB; Issued 01/26/11									
KRAFT FOODS INC CUSIP 50075NBB9	10/4/11	35,000,000	108.440		37,954.05	37,105.60	639.40 LT	1,443.80	3.89
			104.189		36,466.20	Moody BAA1 S&P BBB-, Issued 02/08/10		569.47	
Unit Price: \$106.016, Coupon Rate 4.125%; Matures 02/09/2016, Int. Semi-Annually Feb/Aug 09, Yield to Maturity 1.222%; Moody BAA1 S&P BBB-, Issued 02/08/10									
HEALTH CARE REIT, INC. CUSIP 42217KAJ8	8/18/11	25,000,000	106.066		26,516.50	26,192.50	440.37 LT	906.20	3.45
			103.009		25,752.13	Moody BAA2 S&P BBB, Issued 03/14/11		266.84	
Unit Price: \$104.770, Coupon Rate 3.625%; Matures 03/15/2016; Int. Semi-Annually Mar/Sep 15, Yield to Maturity 1.420%, Moody BAA2 S&P BBB, Issued 03/14/11									

Morgan Stanley

Consulting Group Advisor Active Assets Account
KLEIN FAMILY FOUNDATION INC
ATTENTION: CARL KLEIN
759-0198-28-37

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj.	Unit Cost	Orig. Total Cost Adj.	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Yield %
INTL PAPER CO NT CUSIP 460146BZ5	12/22/10	25,000,000	107.725	103.482	26,931.25 25,870.60	27,052.50	1,181.90 LT	1,312.50 328.12	4.85
Unit Price: \$108.210; Coupon Rate 5.250%; Matures 04/01/2016; Int. Semi-Annually Apr/Oct 01; Yield to Maturity 1.523%; Moody BAA3 S&P BBB; Issued 03/18/04									
BANK OF AMERICA CUSIP 06050WDE2	7/22/10	50,000,000	100.000	100.000	50,000.00	51,917.50	1,917.50 LT	2,000.00 922.22	3.85
Unit Price: \$103.835; Coupon Rate 4.000%; Matures 07/15/2016; Int. Semi-Annually Jan/Jul 15; Yield to Maturity 2.433%; Moody BAA2 S&P A-; Issued 07/29/10									
WELLS FARGO COMPANY CUSIP 949746JE2	3/16/09	5,000,000	81.975	81.975	4,098.75	5,503.65	1,404.90 LT		
	9/30/09	1,000,000	102.663	101.138	1,079.17	1,100.73	89.35 LT		
Total		6,000,000			5,125.38 5,110.13	6,604.38	1,494.25 LT	307.50 90.54	4.65
Unit Price: \$110.073; Coupon Rate 5.125%; Matures 09/15/2016; Int. Semi-Annually Mar/Sep 15; Yield to Maturity 1.322%; Moody A3 S&P A; Issued 09/15/04									
E.I. DU PONT DE NEMOURS CUSIP 263534BQ1	3/13/09	3,000,000	101.613	100.688	3,048.39 3,020.65	3,365.55	344.90 LT		
	9/30/09	1,000,000	107.917	103.520	1,079.17 1,035.20	1,121.85	86.65 LT		
Total		4,000,000			4,127.56 4,055.85	4,487.40	431.55 LT	210.00 9.33	4.67
Unit Price: \$112.185; Coupon Rate 5.250%; Matures 12/15/2016; Int. Semi-Annually Jun/Dec 15; Yield to Maturity 1.052%; Moody A2 S&P A; Issued 12/15/06									
VIACOM INC CUSIP 92553PAG7	8/18/11	25,000,000	105.646	103.365	26,411.50 25,841.18	26,425.50	584.32 LT	875.00 218.75	3.31
Unit Price: \$105.702; Coupon Rate 3.500%; Matures 04/01/2017; Int. Semi-Annually Apr/Oct 01; Yield to Maturity 1.689%; Moody BAA2 S&P BBB; Issued 03/31/11									
ARCELORMITTAL CUSIP 03938LAF1	8/23/11	35,000,000	105.428	103.751	36,899.85 36,312.85	38,428.25	2,115.40 LT	2,143.80 178.64	5.57
Unit Price: \$109.795; Coupon Rate 6.125%; Matures 06/01/2018; Int. Semi-Annually Jun/Dec 01; Yield to Maturity 3.700%; Moody BA1 S&P BB+; Issued 05/27/08									
PEPSICO INC CUSIP 713448BJ6	3/12/09	4,000,000	121.842	112.248	4,873.68 4,489.92	4,999.92	510.00 LT		
	9/30/09	1,000,000	127.487	115.910	1,274.87 1,159.10	1,249.98	90.88 LT		
Total		5,000,000			6,148.55 5,649.02	6,249.90	600.88 LT	395.00 65.83	6.32
Unit Price: \$124.998; Coupon Rate 7.900%; Matures 11/01/2018; Int. Semi-Annually May/Nov 01; Yield to Maturity 2.391%; Moody A1 S&P A-; Issued 10/24/08									
NRG ENERGY INC CUSIP 629377BR2	4/19/12	25,000,000	98.851	98.851	24,712.75	26,437.50	1,724.75 LT	1,906.20 243.57	7.21
Unit Price: \$105.750; Coupon Rate 7.625%; Matures 05/15/2019; Int. Semi-Annually May/Nov 15; Callable \$103.81 on 05/15/14; Yield to Call 2.261%; Moody B1 S&P BB-; Issued 11/15/11									

Account Detail

Continuing Group Advisor: Active Assets Account
 759-019928-037
 KLEIN FAMILY FOUNDATION INC.
 ATTENTION: CARLA KLEIN

CORPORATE FIXED INCOME CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj. Unit Cost	Orig. Total Cost Adj. Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
DELL INC								
CUSIP 24702RAJO	1/22/13	35,000.000	102.530	35,885.55			2,056.20	5.83
Unit Price: \$107.750; Coupon Rate 5.875%; Matures 06/15/2019; Int. Semi-Annually Jun/Dec 15; Yield to Maturity 5.712%; Moody B1 S&P B+, Issued 06/15/09								
EXELON GENERATION CO LLC								
CUSIP 30161MAFO	6/14/11	25,000.000	108.295	27,073.75			1,300.00	4.82
Unit Price: \$107.767; Coupon Rate 5.200%; Matures 10/01/2019; Int. Semi-Annually Apr/Oct 01; Yield to Maturity 3.687%; Moody BAA2 S&P BBB; Issued 09/23/09								
ALCOA INC								
CUSIP 013817AU5	6/14/11	35,000.000	108.940	38,128.97			2,152.50	5.70
Unit Price: \$107.770; Coupon Rate 6.150%; Matures 08/15/2020; Int. Semi-Annually Feb/Aug 15; Yield to Maturity 4.767%; Moody BA1 S&P BBB; Issued 08/03/10								
JEFFERIES GROUP INC								
CUSIP 472319AH5	7/19/10	25,000.000	103.255	25,813.75			1,718.80	6.03
Unit Price: \$113.903; Coupon Rate 6.875%; Matures 04/15/2021; Int. Semi-Annually Apr/Oct 15; Yield to Maturity 4.606%; Moody BAA3 S&P BBB; Issued 06/28/10								
HEWLETT-PACKARD CO								
CUSIP 428236BV4	11/30/12	50,000.000	98.624	49,312.00			2,325.00	4.51
Unit Price: \$102.968; Coupon Rate 4.650%; Matures 12/09/2021; Int. Semi-Annually Jun/Dec 09; Yield to Maturity 4.206%; Moody BAA1 S&P BBB+; Issued 12/09/11								
PRUDENTIAL FINL INC 5.875% FIX								
ED-TO-9/15/22 FLTS THEREAFTER	8/16/12	50,000.000	103.414	51,707.00			2,937.50	5.78
CUSIP 744320AL6			103.352	51,675.90		(863.40) LT	864.93	
Unit Price: \$101.625; Coupon Rate 5.875%; Matures 09/15/2042; Int. Semi-Annually Mar/Sep 15; Callable \$100.00 on 09/15/22; Yield to Call 5.635%; Floater, Moody BAA2 S&P BBB+; Issued 08/09/12								
ENTERPRISE PRODS OPER 8.375% F IX TO								
8/2016 FLOATS THEREAFTER	9/20/10	25,000.000	106.524	26,631.00			2,093.80	7.55
CUSIP 293791AV1			106.498	26,624.59		1,075.41 LT	872.39	
Unit Price: \$110.800; Coupon Rate 8.375%; Matures 08/01/2066; Int. Semi-Annually Feb/Aug 01; Callable \$100.00 on 08/01/16; Yield to Call 3.935%; Floater, Moody BAA2 S&P BBB; Issued 07/18/06								
HARTFORD FINL SVCS GRP 8.125% FIXED								
TO 6/15/18 THEN FLOAT	4/11/12	40,000.000	107.215	42,886.00			3,250.00	6.97
CUSIP 416515AW4			107.200	42,879.89		3,740.11 LT	144.44	
Unit Price: \$116.550; Coupon Rate 8.125%; Matures 06/15/2068; Int. Semi-Annually Jun/Dec 15; Callable \$100.00 on 06/15/18; Yield to Call 4.029%; Floater, Moody BA1 S&P BB+; Issued 06/06/08								
CORPORATE FIXED INCOME		775,000.000		\$809,995.28			\$43,672.60	5.26%
				\$798,357.88		\$32,890.26 LT	\$9,124.61	
						\$(511.54) ST		
TOTAL CORPORATE FIXED INCOME								
(incl. accr. int.)		25.2%						

**KLEIN FAMILY FOUNDATION AND
ATTENTION: CARLA KLEIN**

GOVERNMENT SECURITIES

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj.	Unit Cost	Orig. Total Cost Adj.	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Yield %
UNITED STATES TREASURY NOTE-INFLATION INDEXED CUSIP 912828BW9	3/11/09	37,000,000	\$99.150	\$99.150	\$42,859.56		\$46,737.47	\$364.80 LT		
	9/29/09	9,000,000	103.560	103.560	11,781.54		11,368.57	(412.97) LT		
Total		46,000,000			53,748.54		58,106.05	(48.17) LT	1,162.93	2.00
Unit Price: \$99.930, Coupon Rate 2.000%; Matures 01/15/2014, Int. Semi-Annually Jan/Jul 15, Yield to Maturity 3.773%; Factor 1 26406000, Moody AAA; Issued 01/15/04; Current Face 58,146 760										
UNITED STATES TREASURY NOTE CUSIP 912828DM9	9/9/09	3,000,000	107.286	107.286	3,218.57		3,127.26	79.63 LT		
	9/28/09	3,000,000	101.588	107.594	3,047.63		3,127.26	77.23 LT		
	9/29/09	6,000,000	101.668	107.637	3,050.03		6,254.52	153.87 LT		
	10/29/09	2,000,000	101.678	107.344	6,100.65		2,084.84	52.08 LT		
Total		14,000,000			15,051.49		14,593.88	362.81 LT	560.00	3.83
Unit Price: \$104.242, Coupon Rate 4.000%; Matures 02/15/2015, Int. Semi-Annually Feb/Aug 15, Moody AAA, Issued 02/15/05										
US TREASURY BOND FED STRIP I INTEREST PAYMENT CUSIP 912833DH0	3/10/09	10,000,000	87.524	87.524	8,752.42		9,978.10	226.76 LT		
	10/2/09	3,000,000	87.787	87.787	2,633.61		2,993.43	73.96 LT		
Total		13,000,000			11,386.03		12,971.53	300.72 LT	—	—
Unit Price: \$99.781, Zero Coupon, Matures 02/15/2015, Issued 02/15/85										
UNITED STATES TREASURY NOTE CUSIP 912828EW6	3/10/09	4,000,000	112.617	112.617	4,504.69		4,345.92	182.18 LT		
	3/12/09	1,000,000	104.094	113.676	4,163.74		1,086.48	42.23 LT		
	10/2/09	1,000,000	104.425	111.000	1,044.25		1,086.48	47.80 LT		
Total		6,000,000			6,751.45		6,518.88	272.21 LT	270.00	4.14
Unit Price: \$108.648, Coupon Rate 4.500%; Matures 02/15/2016, Int. Semi-Annually Feb/Aug 15, Moody AAA; Issued 02/15/06										

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KEIN

TREASURY SECURITIES (CONTINUED)

Unit Price \$87.241; Zero Coupon, Matures 02/15/2020Unit Price: \$136.063, Coupon Rate 7.875%; Matures 02/15/2021; Int Semi-Annually Feb/Aug 15, Yield to Maturity 2.347%; Moody AAA; Issued 02/15/91

FEDERAL AGENCIES

Unit Price: \$102.041, Coupon Rate 3.000%, Matures 09/16/2014; Int Semi-Annually Mar/Sep 16; Moody AAA S&P AA+; Issued 08/14/09

For Investing Growth Advisor Active Assets Account: KLEIN FAMILY FOUNDATION
759-0159-28-037 ATTENTION: CARA KLEIN

For Investing Growth Advisor Active Assets Account: KLEIN FAMILY FOUNDATION
759-0159-28-037 ATTENTION: CARA KLEIN

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj.	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
FED NATL MTG ASSN CUSIP 31359MWJ8	3/10/09	8,000,000	109.436		8,754.88				
	3/13/09	1,000,000	101.419		8,113.50	8,279.52	166.02 LT		
	10/2/09	2,000,000	101.404		2,014.04	1,034.94	20.90 LT		
			110.319		2,206.38				
			101.700		2,033.99	2,069.88	35.89 LT		
	Total	11,000,000			12,054.39	11,384.34	222.81 LT	508.75	4.46
					11,161.53			107.40	
Unit Price: \$103.494; Coupon Rate 4.625%; Matures 10/15/2014; Int. Semi-Annually Apr/Oct 15; Moody AAA S&P AA+; Issued 09/17/04									
FEDERAL NATIONAL MTG ASSN POOL 745275	3/11/09	22,000,000	102.560		14,997.54				
CUSIP 31403C6L0	9/9/09	8,000,000	102.560		3,004.01	3,178.90	174.89 LT		
			103.090		5,481.90				
	9/29/09	6,000,000	103.090		1,098.01	1,155.96	57.95 LT		
			103.710		4,136.35				
			103.710		828.46	866.97	38.51 LT		
	Total	36,000,000			24,615.79	5,201.83	271.35 LT	239.64	4.60
					4,930.48			19.97	
Unit Price: \$108.531; Coupon Rate 5.000%; Matures 02/01/2036; Interest Paid Monthly Jan 01; Yield to Maturity 4.392%; Factor .13313754; Issued 01/01/06; Current Face 4,792,951									
FEDERAL NATIONAL MTG ASSN POOL 889579	3/11/09	88,000,000	103.780		65,935.70				
CUSIP 31410KJY1	9/9/09	12,000,000	103.780		8,680.34	9,260.06	579.72 LT		
			105.810		9,167.21				
			105.810		1,206.84	1,262.74	55.90 LT		
	Total	100,000,000			75,102.91	10,522.80	635.62 LT	570.28	5.41
					9,887.18			47.52	
Unit Price: \$110.711; Coupon Rate 6.000%; Matures 05/01/2038; Interest Paid Monthly May 01; Yield to Maturity 5.217%; Factor .09504748; Issued 05/01/08; Current Face 9,504,748									

Account Detail

Consulting Group Advisor Active Cash Account
759-01857-057

KLEIN FAMILY FOUNDATION INC
ATTENTION: CARLA KLEIN

GOVERNMENT SECURITIES
FEDERAL AGENCIES (CONTINUED)

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj. Unit Cost	Orig. Total Cost Adj. Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
FEDERAL NATIONAL MTG ASSN POOL 930071 CUSIP 31412NJQ0	9/29/09	22,000,000	105.680 105.680	11,144.58 1,233.17	1,291.01	57.84 LT	70.01 5.83	5.42
Unit Price \$110.637; Coupon Rate 6.000%; Matures 10/01/2038; Interest Paid Monthly Oct 01; Yield to Maturity 5.228%; Factor 05304057, Issued 10/01/08; Current Face 1,166.893								
FEDERAL NATIONAL MTG ASSN POOL 889982 CUSIP 31410KKX5	3/12/09	25,000,000	103.280 103.280	19,173.60 2,740.39	2,912.85	172.46 LT		
	9/9/09	6,000,000	104.310 104.310	4,647.61 664.25	699.08	34.83 LT		
	9/29/09	5,000,000	104.850 104.850	3,893.31 556.41	582.57	26.16 LT		
Total		36,000,000		27,714.52 3,961.05	4,194.51	233.45 LT	210.14 17.51	5.00
Unit Price \$109.780, Coupon Rate 5.500%, Matures 11/01/2038, Interest Paid Monthly Oct 01, Yield to Maturity 4.820%; Factor 10613425, Issued 10/01/08, Current Face 3,820.833								
FEDERAL AGENCIES		212,000,000		\$157,766.96			\$1,808.82	4.55%
				\$38,193.55	\$39,737.36	\$1,543.80 LT	\$259.48	
Face Value Percentage of Assets %								
GOVERNMENT SECURITIES		325,000,000		\$277,538.21	\$168,025.62	\$5,193.56 LT	\$4,863.00	2.89%
							\$1,434.88	
TOTAL GOVERNMENT SECURITIES (incl. accr. int.)		5.1%			\$169,460.50			

Morgan Stanley

KLEIN FAMILY FOUNDATION, INC.
ATTENTION: CARLA KLEIN

OTHER MUTUAL FUNDS

"Cumulative Cash Distributions" when shown, may reflect distributions on shares no longer held in the account. It may not reflect all distributions received in cash; due to but not limited to the following investments made prior to addition of this information on statements, securities transfers, timing of recent distributions, and certain adjustments made in your account

"Net Value Increase/ (Decrease)" reflects the difference between your total purchases, and the sum of the current value of the fund's shares, and cash distributions shown and does not reflect your total unrealized gain or loss nor should it be used for tax purposes. This calculation is for informational purposes only.

any status codes not listed, you must indicate the status code. Please refer to "CG IAR Statuses in Investment Advisory Programs" in the quarter-end Consulting Group Investment Advisor Research (CG IAR) status codes (FL, AL or NL) may be shown for certain mutual funds. Please refer to "CG IAR Statuses in Investment Advisory Programs" in the quarter-end statement (or your first statement, if you have not yet received a statement at the quarter-end) for a description of these status codes. All status codes represent the opinions of CG IAR and are not representations or guarantees of performance.

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
BLACKROCK EQUITY DIVIDEND I (MADVX)	9/27/11	1,410.709	\$17.722	\$25,000.00	\$34,322.54	\$9,322.54 LT		
	10/20/11	1,374.937	18.183	25,000.00	33,452.21	8,452.21 LT		
Purchases		2,785.646		50,000.00	67,774.75	17,774.75 LT		
Long Term Reinvestments		83.797		1,610.65	2,038.78	428.13 LT		
Short Term Reinvestments		60.863		1,373.16	1,480.79	107.63 ST		
Total		2,930.306		52,983.81	71,294.34	18,202.88 LT	1,322.00	1.85
Total Purchases vs Market Value Net Value Increase/(Decrease)				50,000.00	71,294.34	107.63 ST		
Share Price: \$24.330; Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest								
BLACKROCK MULTI-ASSET INC INST (BICIX)	11/12/13	6,702.413	11.190	75,000.00	75,871.32	871.32 ST		
Purchases		6,702.413		75,000.00	75,871.32	871.32 ST		
		23.447		263.54	265.42	1.88 ST		
Total		6,725.860		75,263.54	76,136.74	873.20 ST	3,538.00	4.64
Short Term Reinvestments				75,000.00	76,136.74	1,136.74		
Total Purchases vs Market Value Net Value Increase/(Decrease)				75,000.00	76,136.74			
Share Price: \$11.320; Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest								
E V ATLANTA CAP SMID CAP I (EISMX)	10/25/11	1,051.166	16.264	17,096.08	25,953.29	8,857.21 LT		
	4/26/12	1,334.010	18.740	25,000.00	32,936.71	7,936.71 LT		
Purchases		2,385.176		42,096.08	58,890.00	16,793.92 LT		
Long Term Reinvestments		24.219		411.27	597.97	186.70 LT		
Short Term Reinvestments		15.007		356.11	370.52	14.41 ST		
Total		2,424.402		42,863.46	59,858.49	16,980.62 LT	—	—
Total Purchases vs Market Value Net Value Increase/(Decrease)				42,096.08	59,858.49	14.41 ST		
Share Price: \$24.690; Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest								

Account Detail
 Consulting Group Advisor Account
 KEEN FAMILY FOUNDATION INC
 750-0192-8037
 ATTENTION: CARLA KLEIN

MUTUAL FUNDS

OTHER MUTUAL FUNDS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
JP MORGAN INCOME BUILDER A (JNBAX)								
	10/4/12	4,901.961	10.200	50,000.00	50,441.18	441.18 LT		
Purchases		4,901.961		50,000.00	50,441.18	441.18 LT		
Long Term Reinvestments		35.857		348.67	368.97	20.30 LT		
Short Term Reinvestments		232.254		2,329.71	2,389.89	60.18 ST		
Total		5,170.072		52,678.38	53,200.04	461.48 LT 60.18 ST	2,389.00	4.49
Total Purchases vs Market Value								
Net Value Increase/(Decrease)				50,000.00	53,200.04			
Share Price \$10.290, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest				3,200.04				
LORD ABBETT MULTI ASSET INC F (LIGFX)								
	9/27/11	1,704.099	14.671	25,000.00	26,447.62	1,447.62 LT		
Purchases		1,704.099		25,000.00	26,447.62	1,447.62 LT		
Long Term Reinvestments		132.353		1,916.68	2,054.12	137.44 LT		
Short Term Reinvestments		125.564		1,947.37	1,948.75	1.38 ST		
Total		1,962.016		28,864.05	30,450.49	1,585.06 LT 1.38 ST	1,116.00	3.66
Total Purchases vs Market Value								
Net Value Increase/(Decrease)				25,000.00	30,450.49			
Share Price \$15.520, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest				5,450.49				
LORD ABBETT SHT DURATION INC F (LDLFX)								
	6/10/10	21,881.839	4.570	100,000.00	99,562.37	(437.63) LT		
	8/17/11	10,917.031	4.580	50,000.00	49,672.49	(327.51) LT		
Purchases		32,798.870		150,000.00	149,234.86	(765.14) LT		
Long Term Reinvestments		3,145.325		14,465.51	14,311.23	(154.28) LT		
Short Term Reinvestments		1,409.669		6,479.42	6,413.99	(65.43) ST		
Total		37,353.864		170,944.93	169,960.08	(919.42) LT (65.43) ST	6,462.00	3.80
Total Purchases vs Market Value								
Net Value Increase/(Decrease)				150,000.00	169,960.08			
Share Price \$4.550, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest				19,960.08				
MAINSTAY HI YLD CORP BOND I (MHYIX)								
	12/7/11	5,785.125	6.050	35,000.00	35,000.00	0.00 LT		
	8/14/12	3,961.965	6.310	25,000.00	23,969.88	(1,030.12) LT		
Purchases		9,747.090		60,000.00	58,969.88	(1,030.12) LT		
Long Term Reinvestments		574.737		3,439.28	3,477.15	37.87 LT		
Short Term Reinvestments		759.567		4,619.52	4,595.38	(24.14) ST		
Total		11,081.394		68,058.80	67,042.43	(992.25) LT (24.14) ST	4,831.00	7.20

Account Detail

Consolidating Group: Morgan Stanley Financial Services Corporation
 Attention: CARLA KLEIN
 7500 195th Street
 Everett, WA 98203

MUTUAL FUNDS

OTHER MUTUAL FUNDS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Total Purchases vs Market Value								
Net Value Increase/(Decrease)				60,000.00	67,042.43			
Share Price: \$6.050, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest								
PIMCO ALL ASSET ALL AUTH P (PAUPX)								
	8/17/11	1,728.089	10.981	18,975.96	17,108.07	(1,867.89) LT		
	11/26/12	2,220.249	11.260	25,000.00	21,980.46	(3,019.54) LT		
Purchases		3,948.338		43,975.96	39,088.53	(4,887.43) LT		
Long Term Reinvestments		876.612		9,254.19	8,678.45	(575.74) LT		
Short Term Reinvestments		475.312		4,938.12	4,705.58	(232.54) ST		
Total		5,300.262		58,168.27	52,472.59	(5,695.68) LT	3,037.00	5.78
Total Purchases vs Market Value								
Net Value Increase/(Decrease)				43,975.96	52,472.59			
Share Price: \$9.900, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest								
PIMCO ALL ASSET P (PALPX)								
	11/10/10	3,784.559	13.212	50,000.00	45,793.16	(4,206.84) LT		
Purchases		3,784.559		50,000.00	45,793.16	(4,206.84) LT		
Long Term Reinvestments		621.423		7,461.57	7,519.22	57.65 LT		
Short Term Reinvestments		223.085		2,725.88	2,699.33	(26.55) ST		
Total		4,629.067		60,187.45	56,011.71	(4,175.74) LT	2,652.00	4.73
Total Purchases vs Market Value								
Net Value Increase/(Decrease)				50,000.00	56,011.71			
Share Price: \$12.100, CG IAR Status: AL; Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest								
PIMCO TOTAL RETURN P (PTTPX)								
	2/9/10	5,941.900	10.950	65,063.81	63,518.91	(1,544.90) LT		
Purchases		5,941.900		65,063.81	63,518.91	(1,544.90) LT		
Long Term Reinvestments		1,684.996		18,691.65	18,012.61	(679.04) LT		
Short Term Reinvestments		278.511		3,062.82	2,977.28	(85.54) ST		
Total		7,905.407		86,818.28	84,508.80	(2,309.48) LT	2,095.00	2.47
Total Purchases vs Market Value								
Net Value Increase/(Decrease)				65,063.81	84,508.80			
Share Price: \$10.690, CG IAR Status: FL; Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest								
PRINCIPAL DIVERSE REAL ASSET A (PRDAX)								
	12/2/11	3,463.203	11.550	40,000.00	41,662.33	1,662.33 LT		
Purchases		3,463.203		40,000.00	41,662.33	1,662.33 LT		
Long Term Reinvestments		220.910		2,514.78	2,657.55	142.77 LT		
Short Term Reinvestments		47.560		566.61	572.15	5.54 ST		

Consulting Group Advisor Active Accounts Account
759-00928-037

OTHER MUTUAL FUNDS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Total		3,731.673		43,081.39	44,892.03	1,805.10 LT 5.54 ST	160.00	0.35
Total Purchases vs Market Value								
Net Value Increase/(Decrease)								
Share Price: \$12.030, Enrolled In MS Dividend Reinvestment: Capital Gains Reinvest								
PRINCIPAL MIDCAP P (PMCPX)								
1/5/12		2,759.132	14.497	40,000.00	56,396.65	16,396.65 LT		
Purchases		2,759.132		40,000.00	56,396.65	16,396.65 LT		
Long Term Reinvestments		65.493		1,034.64	1,338.67	304.03 LT		
Short Term Reinvestments		65.950		1,321.05	1,348.01	26.96 ST		
Total		2,890.575		42,355.69	59,083.35	16,700.68 LT 26.96 ST	122.00	0.20
Total Purchases vs Market Value								
Net Value Increase/(Decrease)								
Share Price: \$20.440; Enrolled In MS Dividend Reinvestment: Capital Gains Reinvest								
TEMPLETON GLOBAL BD FD ADV (TGBAX)								
3/10/09		5,949.301	10.505	62,496.86	77,876.35	15,379.49 LT A		
9/29/09		1,110.299	12.430	13,801.36	14,533.81	732.45 LT A		
Purchases		7,059.600		76,298.22	92,410.16	16,111.94 LT		
Long Term Reinvestments		413.736		4,938.07	5,415.80	477.73 LT		
Short Term Reinvestments		361.874		4,769.32	4,736.93	(32.39) ST		
Total		7,835.210		86,005.61	102,562.90	16,589.67 LT (32.39) ST	4,019.00	3.91
Total Purchases vs Market Value								
Net Value Increase/(Decrease)								
Share Price: \$13.090, CG IAR Status FL; Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest								
WELLS FARGO INTRINSIC VAL AD (EIVDX)								
10/15/10		2,794.622	11.469	32,051.60	37,559.72	5,508.12 LT		
Purchases		2,794.622		32,051.60	37,559.72	5,508.12 LT		
Long Term Reinvestments		1,059.342		10,862.93	14,237.56	3,374.63 LT		
Short Term Reinvestments		161.015		2,112.02	2,164.04	52.02 ST		
Total		4,014.979		45,026.55	53,961.32	8,882.75 LT 52.02 ST	347.00	0.64
Total Purchases vs Market Value								
Net Value Increase/(Decrease)								
Share Price: \$13.440, Enrolled In MS Dividend Reinvestment: Capital Gains Reinvest								

ACCOUNT DEBIT **Investment Group Name: CASH ACCOUNT** **CLIENT NAME: MORGAN STANLEY** **ATTENTION: CASH DEBIT**

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
MUTUAL FUNDS	29.5%	\$913,300.21	\$981,435.31	\$67,460.27 LT \$674.73 ST	\$32,050.00 \$0.00	3.27%

Transactions in mutual fund positions held directly at the Fund Company are not included in the total above and are not reflected on the Summary Page.
For more information about the pricing of Money Market Funds, please see the Expanded Disclosures

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
TOTAL MARKET VALUE	100.0%	\$2,531,397.67	\$3,316,293.48	\$141,302.87 LT \$46,268.86 ST	\$110,405.10 \$12,868.95	3.32%

TOTAL VALUE (includes accrued interest) **\$3,329,162.43**

A - You executed this transaction elsewhere and later transferred the security to your Morgan Stanley Smith Barney LLC Account. Another financial institution has provided us with the transaction detail for this position

R - The cost basis for this tax lot was adjusted due to a reclassification of income

Unrealized Gain/(Loss) totals only reflect positions that have cost basis and/or market value information available. Cash, MMF, Deposits and positions stating 'Please Provide' are not included

ACTIVITY

CASH FLOW ACTIVITY BY DATE

Transaction Settlement Date	Activity Type	Description	Comments	Quantity	Price	Credits/(Debits)
11/28	Check	WOUNDED WARRIOR PROJECT	Check # 0384			\$(5,000.00)
11/28	Check	ST JUDE CHILDRENS HOSP	Check # 0385			(5,000.00)
11/28	Check	BRIDGEPORT HOSPITAL FOUNDATION	Check # 0383			(5,000.00)
11/28	Check	CT FOOD BANK	Check # 0386			(5,000.00)
11/29	Dividend	LORD ABBETT SHT DURATION INC F				520.94
		DIV PAYMENT				
11/29	Dividend	MAINSTAY HI YLD CORP BOND I				397.47
		DIV PAYMENT				
11/29	Dividend	JP MORGAN INCOME BUILDER A				159.79
		DIV PAYMENT				
11/29	Dividend	PIMCO TOTAL RETURN P				150.50
		DIV PAYMENT				
11/29	Dividend	BLACKROCK MULTI-ASSET INC INST				130.91
		DIV PAYMENT				
11/29	Dividend	LORD ABBETT SHT DURATION INC F	REINVESTMENT	113.991	4.5700	(520.94)
11/29	Dividend	MAINSTAY HI YLD CORP BOND I	REINVESTMENT	65.589	6.0600	(397.47)
11/29	Dividend	JP MORGAN INCOME BUILDER A	REINVESTMENT	15.559	10.2700	(159.79)
11/29	Dividend	PIMCO TOTAL RETURN P	REINVESTMENT	13.833	10.8800	(150.50)
11/29	Dividend	BLACKROCK MULTI-ASSET INC INST	REINVESTMENT	11.626	11.2600	(130.91)