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Form **990-PF**

Department of the Treasury
Internal Revenue Service

# Return of Private Foundation

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

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

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

OMB No 1545-0052

**2013**

**Open to Public Inspection**

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

Name of foundation
THE AHUJA FOUNDATION

% MONTE AHUJA

**A Employer identification number**

34-1685088

Number and street (or P O box number if mail is not delivered to street address)
81 SEAGATE DRIVE
Suite 2101

Room/suite

**B** Telephone number (see instructions)

(216) 920-4800

City or town, state or province, country, and ZIP or foreign postal code
NAPLES, FL 34103

**C** If exemption application is pending, check here ▶ ☐

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

**D 1.** Foreign organizations, check here ▶ ☐

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

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

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

**I** Fair market value of all assets at end of year *(from Part II, col. (c), line 16)*▶$ 10,616,768

**J** Accounting method ☑ Cash ☐ Accrual
☐ Other (specify)
*(Part I, column (d) must be on cash basis.)*

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

**Part I** **Analysis of Revenue and Expenses** *(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions) )*

| | | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|---|
| Revenue | 1 | Contributions, gifts, grants, etc , received (attach schedule) | 0 | | | |
| | 2 | Check ▶ ☐ if the foundation is **not** required to attach Sch B | | | | |
| | 3 | Interest on savings and temporary cash investments | 4,845 | 4,845 | | |
| | 4 | Dividends and interest from securities | 139,626 | 139,626 | | |
| | 5a | Gross rents | | | | |
| | b | Net rental income or (loss) | | | | |
| | 6a | Net gain or (loss) from sale of assets not on line 10 | 138,593 | | | |
| | b | Gross sales price for all assets on line 6a 3,536,277 | | | | |
| | 7 | Capital gain net income (from Part IV, line 2) | | 138,593 | | |
| | 8 | Net short-term capital gain | | | | |
| | 9 | Income modifications | | | | |
| | 10a | Gross sales less returns and allowances | | | | |
| | b | Less Cost of goods sold | | | | |
| | c | Gross profit or (loss) (attach schedule) | | | | |
| | 11 | Other income (attach schedule) | | | | |
| | 12 | **Total.** Add lines 1 through 11 | 283,064 | 283,064 | | |
| Operating and Administrative Expenses | 13 | Compensation of officers, directors, trustees, etc | 0 | | | |
| | 14 | Other employee salaries and wages | | | | |
| | 15 | Pension plans, employee benefits | | | | |
| | 16a | Legal fees (attach schedule) | | | | |
| | b | Accounting fees (attach schedule) | | | | |
| | c | Other professional fees (attach schedule) | 40,744 | 30,944 | | |
| | 17 | Interest | 76 | 76 | | |
| | 18 | Taxes (attach schedule) (see instructions) | 2,289 | 238 | | |
| | 19 | Depreciation (attach schedule) and depletion | | | | |
| | 20 | Occupancy | | | | |
| | 21 | Travel, conferences, and meetings | | | | |
| | 22 | Printing and publications | | | | |
| | 23 | Other expenses (attach schedule) | 383 | 383 | | |
| | 24 | **Total operating and administrative expenses.** Add lines 13 through 23 | 43,492 | 31,641 | | 0 |
| | 25 | Contributions, gifts, grants paid | 376,072 | | | 376,072 |
| | 26 | **Total expenses and disbursements.** Add lines 24 and 25 | 419,564 | 31,641 | | 376,072 |
| | 27 | Subtract line 26 from line 12 | | | | |
| | a | **Excess of revenue over expenses and disbursements** | -136,500 | | | |
| | b | **Net investment income** (if negative, enter -0-) | | 251,423 | | |
| | 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 | 217,395 | 325,810 | 325,810 |
| | 3 | Accounts receivable ▶ 46 | | | |
| | | Less allowance for doubtful accounts ▶ | 0 | 46 | 46 |
| | 4 | Pledges receivable ▶ | | | |
| | | Less allowance for doubtful accounts ▶ | | | |
| | 5 | Grants receivable | | | |
| | 6 | Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) | | | |
| | 7 | Other notes and loans receivable (attach schedule) ▶ | | | |
| | | Less allowance for doubtful accounts ▶ | | | |
| | 8 | Inventories for sale or use | | | |
| | 9 | Prepaid expenses and deferred charges | | | |
| | 10a | Investments—U S and state government obligations (attach schedule) | | | |
| | b | Investments—corporate stock (attach schedule) | 7,731,859 | 7,486,898 | 9,157,725 |
| | c | Investments—corporate bonds (attach schedule) | | | |
| | 11 | Investments—land, buildings, and equipment basis ▶ | | | |
| | | Less accumulated depreciation (attach schedule) ▶ | | | |
| | 12 | Investments—mortgage loans | | | |
| | 13 | Investments—other (attach schedule) | | | |
| | 14 | Land, buildings, and equipment basis ▶ | | | |
| | | Less accumulated depreciation (attach schedule) ▶ | | | |
| | 15 | Other assets (describe ▶ ) | 1,129,141 | 1,129,141 | 1,133,187 |
| | 16 | **Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I) | 9,078,395 | 8,941,895 | 10,616,768 |
| Liabilities | 17 | Accounts payable and accrued expenses | | | |
| | 18 | Grants payable | | | |
| | 19 | Deferred revenue | | | |
| | 20 | Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 | Mortgages and other notes payable (attach schedule) | | | |
| | 22 | Other liabilities (describe ▶ ) | | | |
| | 23 | **Total liabilities** (add lines 17 through 22) | | 0 | |
| Net Assets or Fund Balances | | **Foundations that follow SFAS 117, check here** ▶ ☐ **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 | 9,078,395 | 8,941,895 | |
| | 28 | Paid-in or capital surplus, or land, bldg , and equipment fund | | | |
| | 29 | Retained earnings, accumulated income, endowment, or other funds | | | |
| | 30 | **Total net assets or fund balances** (see page 17 of the instructions) | 9,078,395 | 8,941,895 | |
| | 31 | **Total liabilities and net assets/fund balances** (see page 17 of the instructions) | 9,078,395 | 8,941,895 | |

**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 | 9,078,395 |
| 2 | Enter amount from Part I, line 27a | 2 | -136,500 |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | |
| 4 | Add lines 1, 2, and 3 | 4 | 8,941,895 |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 | 6 | 8,941,895 |

## Part IV Capital Gains and Losses for Tax on Investment Income

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

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | See Additional Data Table | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h)) |
|---|---|---|---|---|
| | (i) F M V as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col (i) over col (j), if any | |
| a | See Additional Data Table | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

| | | | | |
|---|---|---|---|---|
| 2 | Capital gain net income or (net capital loss) | If gain, also enter in Part I, line 7<br>If (loss), enter -0- in Part I, line 7 | 2 | 138,593 |
| 3 | Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)<br>If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8 . . . . . . . . . . . . . . . . . . . | | 3 | |

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☑ No
If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

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

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col (b) divided by col (c)) |
|---|---|---|---|
| 2012 | 1,424,939 | 10,513,532 | 0 135534 |
| 2011 | 3,153,999 | 11,056,727 | 0 285256 |
| 2010 | 532,907 | 12,791,312 | 0 041662 |
| 2009 | 423,185 | 11,878,618 | 0 035626 |
| 2008 | 611,725 | 13,482,049 | 0 045373 |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d). . . . . . . . . . . . . . . . . . . . . . . | 2 | 0 543451 |
| 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 10869 |
| 4 | Enter the net value of noncharitable-use assets for 2013 from Part X, line 5. . . . . | 4 | 8,946,243 |
| 5 | Multiply line 4 by line 3. . . . . . . . . . . . . . . . . . . . . . . | 5 | 972,367 |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b). . . . . . . . . . | 6 | 2,514 |
| 7 | Add lines 5 and 6. . . . . . . . . . . . . . . . . . . . . . . . . | 7 | 974,881 |
| 8 | Enter qualifying distributions from Part XII, line 4. . . . . . . . . . . . . . | 8 | 376,072 |

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions

**Part VI** **Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)**

| | | | |
|---|---|---|---|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1<br>Date of ruling or determination letter ________ **(attach copy of letter if necessary–see instructions)** | | |
| b | Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b | 1 | 5,028 |
| c | All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b) | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | 2 | |
| 3 | Add lines 1 and 2 | 3 | 5,028 |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | 4 | |
| 5 | **Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0- | 5 | 5,028 |
| 6 | Credits/Payments | | |
| a | 2013 estimated tax payments and 2012 overpayment credited to 2013 — 6a — 1,600 | | |
| b | Exempt foreign organizations—tax withheld at source — 6b | | |
| c | Tax paid with application for extension of time to file (Form 8868) — 6c | | |
| d | Backup withholding erroneously withheld — 6d | | |
| 7 | Total credits and payments Add lines 6a through 6d | 7 | 1,600 |
| 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 | 3,428 |
| 10 | **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | 10 | |
| 11 | Enter the amount of line 10 to be **Credited to 2014 estimated tax** ▶ **Refunded** ▶ | 11 | |

**Part VII-A** **Statements Regarding Activities**

| | | | Yes | No |
|---|---|---|---|---|
| 1a | During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | 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<br>**(1)** On the foundation ▶ $ ________ **(2)** On foundation managers ▶ $ ________ | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ________ | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.* | 2 | | No |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *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? *If "Yes," attach the statement required by General Instruction T.* | 5 | | No |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either<br>• By language in the governing instrument, or<br>• 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)<br>▶OH | | | |
| 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)*

| | | | Yes | No |
|---|---|---|---|---|
| 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 ▶MONTE AHUJA Telephone no ▶(239) 403-7940

Located at ▶81 SEAGATE DRIVE 2101 NAPLES FL ZIP+4 ▶34103

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 |

| | | | Yes | No |
|---|---|---|---|---|
| 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 | | 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)? | 1b | | |
| | Organizations relying on a current notice regarding disaster assistance check here. ▶ ☐ | | | |
| 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? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.)* | 3b | | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | | No |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013? | 4b | | No |

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

| | | | | |
|---|---|---|---|---|
| **5a** | During the year did the foundation pay or incur any amount to | | | |
| | **(1)** Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☑ No | | | |
| | **(2)** Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☑ No | | | |
| | **(3)** Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☑ No | | | |
| | **(4)** Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ Yes ☑ No | | | |
| | **(5)** Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☑ No | | | |
| **b** | If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)? | **5b** | | |
| | Organizations relying on a current notice regarding disaster assistance check here ▶ ☐ | | | |
| **c** | If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No | | | |
| | *If "Yes," attach the statement required by Regulations section 53.4945–5(d).* | | | |
| **6a** | Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☑ No | | | |
| **b** | Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | **6b** | | No |
| | *If "Yes" to 6b, file Form 8870.* | | | |
| **7a** | At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☑ No | | | |
| **b** | If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? | **7b** | | |

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

**1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).**

| **(a)** Name and address | **(b)** Title, and average hours per week devoted to position | **(c)** Compensation **(If not paid, enter -0-)** | **(d)** Contributions to employee benefit plans and deferred compensation | **(e)** Expense account, other allowances |
|---|---|---|---|---|
| MONTE AHUJA<br>81 SEAGATE DRIVE<br>NAPLES, FL 34103 | TRUSTEE<br>0 | 0 | 0 | 0 |
| USHA AHUJA<br>81 SEAGATE DRIVE<br>NAPLES, FL 34103 | TRUSTEE<br>0 | 0 | 0 | 0 |
| MANISHA AHUJA SETHI<br>28159 RED RAVEN ROAD<br>CLEVELAND, OH 44124 | TRUSTEE<br>0 | 0 | 0 | 0 |
| RITU AHUJA<br>230 W 56TH STREET 62C<br>NEW YORK, NY 10019 | TRUSTEE<br>0 | 0 | 0 | 0 |

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

| **(a)** Name and address of each employee paid more than $50,000 | **(b)** Title, and average hours per week devoted to position | **(c)** Compensation | **(d)** Contributions to employee benefit plans and deferred compensation | **(e)** Expense account, other allowances |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

**Total** number of other employees paid over $50,000 ▶

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

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

| (a) Name and address of each person paid more than $50,000 | (b) Type of service | (c) Compensation |
|---|---|---|
| | | |
| | | |
| | | |
| | | |
| | | |
| **Total** number of others receiving over $50,000 for professional services. . . . . . . . . . . . . . . ▶ | | |

## Part IX-A Summary of Direct Charitable Activities

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

## Part IX-B Summary of Program-Related Investments (see instructions)

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

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

| | | | |
|---|---|---|---|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes | | |
| a | Average monthly fair market value of securities | 1a | 0 |
| b | Average of monthly cash balances | 1b | 502,859 |
| c | Fair market value of all other assets (see instructions) | 1c | 8,579,621 |
| d | **Total** (add lines 1a, b, and c) | 1d | 9,082,480 |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | 2 | 0 |
| 3 | Subtract line 2 from line 1d | 3 | 9,082,480 |
| 4 | Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 136,237 |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 8,946,243 |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 447,312 |

## 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 | 447,312 |
| 2a | Tax on investment income for 2013 from Part VI, line 5 | 2a | 5,028 | | |
| b | Income tax for 2013 (This does not include the tax from Part VI ) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 5,028 |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1 | | | 3 | 442,284 |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | |
| 5 | Add lines 3 and 4 | | | 5 | 442,284 |
| 6 | Deduction from distributable amount (see instructions) | | | 6 | |
| 7 | **Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1 | | | 7 | 442,284 |

## 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 | 376,072 |
| b | Program-related investments—total from Part IX-B | 1b | 0 |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes | 2 | 0 |
| 3 | Amounts set aside for specific charitable projects that satisfy the | | |
| a | Suitability test (prior IRS approval required) | 3a | 0 |
| b | Cash distribution test (attach the required schedule) | 3b | 0 |
| 4 | **Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 376,072 |
| 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 | |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 376,072 |

**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 | | | | | 442,284 |
| **2** Undistributed income, if any, as of the end of 2013 | | | | | |
| **a** Enter amount for 2012 only. . . . . . . | | | | 0 | |
| **b** Total for prior years 2011 , 2010 , 2009 | | | 0 | | |
| **3** Excess distributions carryover, if any, to 2013 | | | | | |
| **a** From 2008. . . . . . . | | | | | |
| **b** From 2009. . . . . . . | | | | | |
| **c** From 2010. . . . . . . | | | | | |
| **d** From 2011. . . . . . . | 2,606,531 | | | | |
| **e** From 2012. . . . . . . | 902,450 | | | | |
| **f Total** of lines 3a through e. . . . . . . . . | | 3,508,981 | | | |
| **4** Qualifying distributions for 2013 from Part XII, line 4 ▶ $ 376,072 | | | | | |
| **a** Applied to 2012, but not more than line 2a | | | | 0 | |
| **b** Applied to undistributed income of prior years (Election required—see instructions). . . . . . | | | | | |
| **c** Treated as distributions out of corpus (Election required—see instructions). . . . . . . . . | | | | | |
| **d** Applied to 2013 distributable amount. . . . . | | | | | 376,072 |
| **e** Remaining amount distributed out of corpus | | 0 | | | |
| **5** Excess distributions carryover applied to 2013 *(If an amount appears in column (d), the same amount must be shown in column (a).)* | | 66,212 | | | 66,212 |
| **6 Enter the net total of each column as indicated below:** | | | | | |
| **a** Corpus Add lines 3f, 4c, and 4e Subtract line 5 | | 3,442,769 | | | |
| **b** Prior years' undistributed income Subtract line 4b from line 2b . . . . . . . . . . . | | | 0 | | |
| **c** Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed. . . . . . | | | | | |
| **d** Subtract line 6c from line 6b Taxable amount —see instructions . . . . . . . . . . . | | | 0 | | |
| **e** Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions . . . . . . . . . . . . . . | | | | 0 | |
| **f** Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014 . . . . . . . . . . | | | | | 0 |
| **7** Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions) . . . . . . . . . . . . . | | | | | |
| **8** Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions) . . . | | | | | |
| **9 Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a . . . . . . | | 3,442,769 | | | |
| **10** Analysis of line 9 | | | | | |
| **a** Excess from 2009. . . . | | | | | |
| **b** Excess from 2010. . . . | | | | | |
| **c** Excess from 2011. . . . | 2,540,319 | | | | |
| **d** Excess from 2012. . . . | 902,450 | | | | |
| **e** Excess from 2013. . . . | | | | | |

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

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

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

| | Tax year | Prior 3 years | | | (e) Total |
|---|---|---|---|---|---|
| | **(a)** 2013 | **(b)** 2012 | **(c)** 2011 | **(d)** 2010 | |
| **2a** Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed | | | | | |
| **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<br>**a** "Assets" alternative test—enter<br>**(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<br>**(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 XV Supplementary 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) )

NONE

**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

NONE

**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<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| **a** *Paid during the year*<br>See Additional Data Table | | | | |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 376,072 |
| **b** *Approved for future payment* | | | | |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3b** | | | | |

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

| Enter gross amounts unless otherwise indicated | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income (See instructions ) |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | 14 | 4,845 | |
| 4 Dividends and interest from securities | | | 14 | 139,626 | |
| 5 Net rental income or (loss) from real estate | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 138,593 | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal Add columns (b), (d), and (e) | | | | 283,064 | |

13 **Total.** Add line 12, columns (b), (d), and (e) . . . 13 283,064

(See worksheet in line 13 instructions to verify calculations )

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

| Line No. ▼ | Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes) (See instructions ) |
|---|---|
| | |

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

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

**d** If the answer to any of the above is "Yes," complete the following schedule Column **(b)** should always show the fair market value of the goods, other assets, or services given by the reporting foundation If the foundation received less than fair market value in any transaction or sharing arrangement, show in column **(d)** the value of the goods, other assets, or services received

| (a) Line No | (b) Amount involved | (c) Name of noncharitable exempt organization | (d) Description of transfers, transactions, and sharing arrangements |
|---|---|---|---|
| | | | |

**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

****** | 2014-05-13 | ******
Signature of officer or trustee | 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 | Preparer's Signature | Date | Check if self-employed ☐ | PTIN |
|---|---|---|---|---|
| Carla M Wainwright | | | | |
| Firm's name ▶ | MAI Wealth Advisors LLC | | Firm's EIN ▶ | |
| Firm's address ▶ | 1360 E 9th St Ste 1100 Cleveland, OH 441141717 | | Phone no (216)920-4800 | |

# 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 ) |
|---|---|---|---|
| GOLDMAN SACHS #001-37134-3 SHORT TERM GAINS(LOSSES) | P | | |
| GOLDMAN SACHS #001-37134-3 LONG TERM GAINS(LOSSES) | P | | |
| GOLDMAN SACHS #001-37134-3 LONG TERM GAINS(LOSSES) | P | | |
| GOLDMAN SACHS #042-50397-9 SHORT TERM GAINS(LOSSES) | P | | |
| GOLDMAN SACHS #042-50397-9 LONG TERM GAINS(LOSSES) | P | | |
| GOLDMAN SACHS #042-50397-9 LONG TERM GAINS(LOSSES) | P | | |
| GOLDMAN SACHS #042-50399-5 SHORT TERM GAINS(LOSSES) | P | | |
| GOLDMAN SACHS #042-50399-5 LONG TERM GAINS(LOSSES) | P | | |
| GOLDMAN SACHS #042-50399-5 LONG TERM GAINS(LOSSES) | P | | |
| GOLDMAN SACHS #042-81197-6 SHORT TERM GAINS(LOSSES) | | | |
| GOLDMAN SACHS #042-81197-6 LONG TERM GAINS(LOSSES) | P | | |
| GOLDMAN SACHS #042-81197-6 LONG TERM GAINS(LOSSES) | P | | |
| GOLDMAN SACHS #042-81197-6 SHORT TERM GAINS(LOSSES) | P | | |
| CAPITAL GAIN 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) |
|---|---|---|---|
| 1,800,158 | | 1,850,790 | -50,632 |
| 371,660 | | 369,257 | 2,403 |
| 654,995 | | 600,000 | 54,995 |
| 34,301 | | 36,074 | -1,773 |
| 194,060 | | 142,634 | 51,426 |
| 81,241 | | 67,039 | 14,202 |
| 8,646 | | 5,819 | 2,827 |
| 18,717 | | 19,446 | -729 |
| 133,413 | | 82,371 | 51,042 |
| 12 | | | 12 |
| 85,265 | | 57,936 | 27,329 |
| 6 | | | 6 |
| 182,384 | | 166,318 | 16,066 |
| | | | 1,680 |

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

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | **(l)** Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h)) |
|---|---|---|---|
| **(i)** F M V as of 12/31/69 | **(j)** Adjusted basis as of 12/31/69 | **(k)** Excess of col (i) over col (j), if any | |
| | | | -50,632 |
| | | | 2,403 |
| | | | 54,995 |
| | | | -1,773 |
| | | | 51,426 |
| | | | 14,202 |
| | | | 2,827 |
| | | | -729 |
| | | | 51,042 |
| | | | 12 |
| | | | 27,329 |
| | | | 6 |
| | | | 16,066 |
| | | | |

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

| Recipient<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| NAPLES CHILDREN & EDUCATION FOUNDATION 6200 SHIRLEY STREET SUITE 206<br>NAPLES, FL 34109 | NONE | PC | GENERAL SUPPORT | 40,931 |
| NICKLAUS CHILDRENS HEALTHCARE FOUNDATION 11770 US HIGHWAY 1<br>NORTH PALM BEACH, FL 33408 | NONE | PC | GENERAL SUPPORT | 2,500 |
| RAINBOWS BABIES AND CHILDREN 11100 EUCLID AVENUE<br>CLEVELAND, OH 44106 | NONE | PC | GENERAL SUPPORT | 5,000 |
| AJC 3401 ENTERPRISE PARKWAY SUITE 250<br>BEACHWOOD, OH 44122 | NONE | PC | GENERAL SUPPORT | 1,000 |
| UNITED WAY OF GREATER CLEVELAND 1331 EUCLID AVENUE<br>CLEVELAND, OH 44115 | NONE | PC | GENERAL SUPPORT | 10,000 |
| MUSICAL ARTS ASSOCIATION 11001 EUCLID AVENUE<br>CLEVELAND, OH 44106 | NONE | PC | GENERAL SUPPORT | 19,500 |
| AMERICAN CANCER SOCIETY 250 WILLIAMS STREET NW<br>ATLANTA, GA 30303 | NONE | PC | GENERAL SUPPORT | 2,000 |
| FLASHES OF HOPE 6009 LANDERHAVEN DRIVE SUITE 1<br>CLEVELAND, OH 44124 | NONE | PC | GENERAL SUPPORT | 500 |
| RONALD MCDONALD HOUSE 10415 EUCLID AVENUE<br>CLEVELAND, OH 44106 | NONE | PC | GENERAL SUPPORT | 5,000 |
| NEIGHBORHOOD ALLIANCE 457 GRISWOLD ROAD<br>ELYRIA, OH 44035 | NONE | PC | GENERAL SUPPORT | 250 |
| EKAL VIDYALAJ FOUNDATION OF USA 3908 WESTHOLLOW PARKWAY<br>HOUSTON, TX 77082 | NONE | PC | GENERAL SUPPORT | 2,500 |
| HATHAWAY BROWN SCHOOL 19600 NORTH PARK BOULEVARD<br>SHAKER HEIGHTS, OH 44122 | NONE | PC | GENERAL SUPPORT | 35,833 |
| UNIVERSITY HOSPITALS PO BOX 74947<br>CLEVELAND, OH 44194 | NONE | PC | GENERAL SUPPORT | 200,000 |
| EXCEPTIONAL CHILDREN FOUNDATION 870 WASHINGTON BOULEVARD<br>CULVER CITY, CA 90232 | NONE | PC | GENERAL SUPPORT | 2,500 |
| UNIVERSITY SCHOOL 20701 BRANTLEY ROAD<br>SHAKER HEIGHTS, OH 44122 | NONE | PC | GENERAL SUPPORT | 2,500 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 376,072 |

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

| Recipient<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| ROCK N ROLL HALL OF FAME 1100 ROCK AND ROLL BLVD<br>CLEVELAND, OH 44114 | NONE | PC | GENERAL SUPPORT | 5,000 |
| FIVE STAR SENSATION 11100 EUCLID AVENUE<br>CLEVELAND, OH 44106 | NONE | PC | GENERAL SUPPORT | 10,000 |
| ST BALDRICKS FOUNDATION 1333 SOUTH MAYFLOWER AVENUE<br>MONROVIA, CA 91016 | NONE | PC | GENERAL SUPPORT | 1,000 |
| GOLISANO CHILDRENS MUSEUM OF NAPLES 15080 LIVINGSTON ROAD<br>NAPLES, FL 34109 | NONE | PC | GENERAL SUPPORT | 2,500 |
| KOMEN NORTHEAST OHIO 26210 EMERY ROAD<br>SUITE 307<br>CLEVELAND, OH 44128 | NONE | PC | GENERAL SUPPORT | 1,008 |
| HABITAT FOR HUMANITY 1400 SUMMIT AVENUE<br>PLANO, TX 75074 | NONE | PC | GENERAL SUPPORT | 300 |
| OHIO NEWPAPER FOUNDATION<br>1335 DUBLIN RD STE 216B<br>COLUMBUS, OH 43215 | NONE | PC | GENERAL SUPPORT | 1,000 |
| PELOTONIA 351 W NATIONWIDE BLVD<br>COLUMBUS, OH 43215 | NONE | PC | GENERAL SUPPORT | 1,000 |
| NAPLES BOTANICAL GARDENS<br>4820 BAYSHORE DRIVE<br>NAPLES, FL 34112 | NONE | PC | GENERAL SUPPORT | 1,000 |
| NEAR WEST THEATRE 6516 DETROIT AVENUE<br>CLEVELAND, OH 44102 | NONE | PC | GENERAL SUPPORT | 500 |
| NORTHERN OHIO LEBANESE AMERICAN ASSOCIATION 6607 PEARL ROAD<br>PARMA, OH 44130 | NONE | PC | GENERAL SUPPORT | 250 |
| OHIO CANCER RESEARCH 50 W BRAOD STREET<br>SUITE 1132<br>COLUMBUS, OH 43215 | NONE | PC | GENERAL SUPPORT | 500 |
| PLAYHOUSE SQUARE 1501 EUCLID AVENUE<br>CLEVELAND, OH 44115 | NONE | PC | GENERAL SUPPORT | 5,000 |
| SEVERAL SOURCES SHELTERS PO BOX 157<br>RAMSEY, NJ 07446 | NONE | PC | GENERAL SUPPORT | 1,000 |
| SHELTER FOR ABUSED WOMEN AND CHILDREN PO BOX 10102<br>NAPLES, FL 34101 | NONE | PC | GENERAL SUPPORT | 5,000 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 376,072 |

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

| Recipient<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| SHOES AND CLOTHES FOR KIDS<br>3500 LORAIN AVENUE<br>CLEVELAND,OH 44113 | NONE | PC | GENERAL SUPPORT | 1,000 |
| THE CITY MISSION 5310<br>CARNEGIE AVENUE<br>CLEVELAND,OH 44103 | NONE | PC | GENERAL SUPPORT | 500 |
| THE SALVATION ARMY 5005<br>EUCLID AVENUE<br>CLEVELAND,OH 44103 | NONE | PC | GENERAL SUPPORT | 1,000 |
| UH PARTNERSHIP OF FAMILIES<br>11100 EUCLID AVENUE<br>CLEVELAND,OH 44106 | NONE | PC | GENERAL SUPPORT | 1,000 |
| WESTERN GOLF ASSOCIATION<br>ONE BRIAR ROAD<br>GOLF,IL 60029 | NONE | PC | GENERAL SUPPORT | 2,500 |
| FEDERATION OF INDIA<br>COMMUNITY ASSOCIATION<br>12412 CEDAR ROAD<br>CLEVELAND HEIGHTS,OH 44106 | NONE | PC | GENERAL SUPPORT | 5,000 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 376,072 |

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

# TY 2013 Depreciation Schedule

**Name:** THE AHUJA FOUNDATION

**EIN:** 34-1685088

| Description of Property | Date Acquired | Cost or Other Basis | Prior Years' Depreciation | Computation Method | Rate / Life (# of years) | Current Year's Depreciation Expense | Net Investment Income | Adjusted Net Income | Cost of Goods Sold Not Included |
|---|---|---|---|---|---|---|---|---|---|

# TY 2013 Investments Corporate Stock Schedule

**Name:** THE AHUJA FOUNDATION

**EIN:** 34-1685088

| Name of Stock | End of Year Book Value | End of Year Fair Market Value |
|---|---|---|
| GOLDMAN SACHS - PRIMARY | 4,354,923 | 5,349,147 |
| GOLDMAN SACHS - SHAPIRO | 716,894 | 933,972 |
| GOLDMAN SACHS - YACKTMAN | 597,991 | 813,934 |
| GOLDMAN SACHS - LONDON | 336,413 | 484,431 |
| GOLDMAN SACHS - FOCUS | 629,628 | 697,091 |
| GOLDMAN SACHS - ADVISORY | 851,049 | 879,150 |

# TY 2013 Investments - Land Schedule

**Name:** THE AHUJA FOUNDATION

**EIN:** 34-1685088

# TY 2013 Land, Etc. Schedule

**Name:** THE AHUJA FOUNDATION

**EIN:** 34-1685088

# TY 2013 Other Assets Schedule

**Name:** THE AHUJA FOUNDATION

**EIN:** 34-1685088

| Description | Beginning of Year - Book Value | End of Year - Book Value | End of Year - Fair Market Value |
|---|---|---|---|
| INSURANCE POLICY | 1,129,141 | 1,129,141 | 1,133,187 |

# TY 2013 Other Expenses Schedule

**Name:** THE AHUJA FOUNDATION

**EIN:** 34-1685088

| Description | Revenue and Expenses per Books | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| MISCELLANEOUS EXPENSE | 383 | 383 | | |

# TY 2013 Other Professional Fees Schedule

**Name:** THE AHUJA FOUNDATION

**EIN:** 34-1685088

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| GOLDMAN SACHS & CO MGMT FEES | 30,944 | 30,944 | | |
| MAI WEALTH ADVISORS LLC | 9,800 | | | |

# TY 2013 Taxes Schedule

**Name:** THE AHUJA FOUNDATION

**EIN:** 34-1685088

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| STATE OF OHIO FILING FEE | 200 | 200 | | |
| FEDERAL INCOME TAX | 2,051 | | | |
| FOREIGN INCOME TAX | 38 | 38 | | |

# TY 2013 IRS Payment

| | |
|---|---|
| **Name:** | THE AHUJA FOUNDATION |
| **EIN:** | 34-1685088 |
| **Routing Transit Number:** | |
| **Bank Account Number:** | |
| **Type of Account:** | Checking |
| **Payment Amount in Dollars and Cents:** | 3,428 |
| **Requested Payment Date:** | 2014-05-15 |
| **Taxpayer's Daytime Phone Number:** | (216) 920-4800 |

## REALIZED GAIN AND LOSS SUMMARY

| SHORT-TERM GAINS (LOSSES) | | LONG-TERM GAINS (LOSSES) | | ORDINARY GAINS (LOSSES) | |
|---|---|---|---|---|---|
| Net Covered Short Term Gains (Losses) | (50,632 27) | Net Covered Long Term Gains (Losses) | 2,402 86 | Net Ordinary Gains (Losses) | 0 00 |
| Net NonCovered Short Term Gains (Losses) | 0 00 | Net NonCovered Long Term Gains (Losses) | 54,995 00 | | |
| Net 1099B Non Reportable Short Term Gains (Losses) | 0 00 | Net 1099B Non Reportable Long Term Gains (Losses) | 0 00 | | |
| Net Miscellaneous Short Term Gains (Losses) | 0 00 | Net Miscellaneous Long Term Gains (Losses) | 0 00 | Net Miscellaneous Ordinary Gains (Losses) | 0 00 |
| Net Regulated Futures Contract Short Term Gains (Losses) | 0 00 | Net Regulated Futures Contract Long Term Gains (Losses) | 0 00 | | |
| **Total Short-Term Gains (Losses)** | **(50,632 27)** | **Total Long-Term Gains (Losses)** | **57,397.86** | **Total Ordinary Gains (Losses)** | **0 00** |

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 08/31/2012 | 04/29/2013 | 37 50 | 369 70 | 0 00 | 388 82 | (19 12) |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) Disallowed Loss | | | | | | | 19 12 |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 07/31/2012 | 04/29/2013 | 38 96 | 384 14 | 0 00 | 403 62 | (19 48) |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) Disallowed Loss | | | | | | | 19 48 |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 06/29/2012 | 04/29/2013 | 41 36 | 407 77 | 0 00 | 418 94 | (11 17) |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) Disallowed Loss | | | | | | | 11 17 |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 01/31/2013 | 04/29/2013 | 78 50 | 774 04 | 0 00 | 759 91 | 14 13 |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 02/28/2013 | 04/29/2013 | 181 96 | 1,794 14 | 0 00 | 1,770 48 | 23 66 |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 03/28/2013 | 04/29/2013 | 213 64 | 2,106 53 | 0 00 | 2,074 48 | 32 05 |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 10/31/2012 | 04/29/2013 | 302 53 | 2,982 95 | 0 00 | 3,064 63 | (81 68) |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 10/08/2012 | 04/29/2013 | 352 27 | 3,473 38 | 0 00 | 3,533 27 | (59 89) |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) Disallowed Loss | | | | | | | 59 89 |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 09/27/2012 | 04/29/2013 | 1,633 95 | 16,110 77 | 0 00 | 16,355 86 | (245 09) |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) Disallowed Loss | | | | | | | 245 09 |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 04/19/2013 | 04/29/2013 | 2,438 03 | 24,038 96 | 0 00 | 23,965 82 | 73 14 |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 10/18/2012 | 04/29/2013 | 4,913 37 | 48,445 81 | 0 00 | 49,526 75 | (1,080 94) |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) Disallowed Loss | | | | | | | 1,080 94 |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 10/24/2012 | 04/29/2013 | 19,345 24 | 190,744 05 | 0 00 | 195,000 00 | (4,255 95) |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) Disallowed Loss | | | | | | | 1,660 55 |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 02/04/2013 | 04/29/2013 | 46,487 60 | 458,367 76 | 0 00 | 450,000 00 | 8,367 76 |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 12/12/2012 | 06/25/2013 | 34 72 | 303 48 | 0 00 | 340 98 | (37 50) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 07/31/2012 | 06/25/2013 | 44 94 | 392 77 | 0 00 | 420 18 | (27 41) |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 08/31/2012 | 06/25/2013 | 46 25 | 404 22 | 0 00 | 431 05 | (26 83) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 06/29/2012 | 06/25/2013 | 47 04 | 411 12 | 0 00 | 430 41 | (19 29) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) Disallowed Loss | | | | | | | 19 29 |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 12/12/2012 | 06/25/2013 | 60 71 | 530 61 | 0 00 | 596 18 | (65 57) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 09/28/2012 | 06/25/2013 | 63 60 | 555 84 | 0 00 | 608 62 | (52 78) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 02/28/2013 | 06/25/2013 | 82 79 | 723 55 | 0 00 | 813 79 | (90 24) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 03/28/2013 | 06/25/2013 | 83 33 | 728 31 | 0 00 | 809 14 | (80 83) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 11/30/2012 | 06/25/2013 | 83 60 | 730 66 | 0 00 | 810 92 | (80 26) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 12/31/2012 | 06/25/2013 | 89 34 | 780 87 | 0 00 | 880 93 | (100 06) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 10/31/2012 | 06/25/2013 | 91 01 | 795 45 | 0 00 | 872 81 | (77 36) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 01/31/2013 | 06/25/2013 | 98 80 | 863 52 | 0 00 | 981 09 | (117 57) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 04/19/2013 | 06/25/2013 | 988 11 | 8,636 11 | 0 00 | 9,831 73 | (1,195 62) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 09/14/2012 | 06/25/2013 | 10,405 83 | 90,946 93 | 0 00 | 100,000 00 | (9,053 07) |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 08/31/2012 | 07/10/2013 | 37 50 | 347 58 | 0 00 | 387 70 | (40 12) |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 07/31/2012 | 07/10/2013 | 38 96 | 361 15 | 0 00 | 402 45 | (41 30) |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 06/28/2013 | 07/10/2013 | 40 49 | 375 31 | 0 00 | 376 53 | (1 22) |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 05/31/2013 | 07/10/2013 | 48 02 | 445 18 | 0 00 | 461 99 | (16 81) |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 10/25/2012 | 07/10/2013 | 218 04 | 2,021 27 | 0 00 | 2,197 88 | (176 61) |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 10/08/2012 | 07/10/2013 | 352 27 | 3,265 54 | 0 00 | 3,522 70 | (257 16) |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 09/27/2012 | 07/10/2013 | 1,633 95 | 15,146 74 | 0 00 | 16,306 84 | (1,160 10) |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 10/18/2012 | 07/10/2013 | 4,913 37 | 45,546 92 | 0 00 | 49,379 35 | (3,832 43) |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 10/24/2012 | 07/10/2013 | 7,329 92 | 67,948 37 | 0 00 | 73,665 71 | (5,717 34) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 07/31/2013 | 08/23/2013 | 91 92 | 785 00 | 0 00 | 810 73 | (25 73) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 04/30/2013 | 08/23/2013 | 105 74 | 903 04 | 0 00 | 1,060 60 | (157 56) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 04/19/2013 | 08/23/2013 | 24,137 51 | 206,134 37 | 0 00 | 240,168 27 | (34,033 90) |
| GS SHORT DURATION TAX-FREE FUND INSTITUTIONAL SHARES (38141W406) | 10/31/2013 | 11/11/2013 | 54 60 | 573 81 | 0 00 | 574 36 | (0 55) |
| GS SHORT DURATION TAX-FREE FUND INSTITUTIONAL SHARES (38141W406) | 09/26/2013 | 11/11/2013 | 57,040 91 | 599,500 00 | 0 00 | 599,500 00 | 0 00 |
| **Net Covered Short-Term Disallowed Losses** | | | | | | | **3,115.53** |
| **Net Covered Short-Term Gains (Losses)** | | | | **1,800,157.72** | **0.00** | **1,853,905.52** | **(50,632.27)** |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 02/29/2012 | 06/25/2013 | 4 59 | 40 12 | 0 00 | 44 03 | (3 91) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 04/30/2012 | 06/25/2013 | 48 86 | 426 99 | 0 00 | 460 70 | (33 71) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 03/30/2012 | 06/25/2013 | 51 30 | 448 35 | 0 00 | 481 18 | (32 83) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 05/31/2012 | 06/25/2013 | 54 27 | 474 35 | 0 00 | 471 63 | 2 72 |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 02/22/2012 | 06/25/2013 | 10,504 20 | 91,806 73 | 0 00 | 100,000 00 | (8,193 27) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) Disallowed Loss | | | | | | | 244 67 |
| GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845) | 06/29/2012 | 07/10/2013 | 41 36 | 383 37 | 0 00 | 417 70 | (34 33) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 07/02/2012 | 08/23/2013 | 47 04 | 401 72 | 0 00 | 436 06 | (34 34) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 02/25/2012 | 08/23/2013 | 127 17 | 1,086 07 | 0 00 | 1,225 96 | (139 89) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 02/22/2012 | 08/23/2013 | 186 50 | 1,592 72 | 0 00 | 1,881 79 | (289 07) |
| GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (38145C646) | 09/14/2012 | 12/09/2013 | 25,992 44 | 275,000 00 | 0 00 | 264,083 18 | 10,916 82 |
| **Net Covered Long-Term Disallowed Losses** | | | | | | | **244.67** |
| **Net Covered Long-Term Gains (Losses)** | | | | **371,660.42** | **0.00** | **369,502.23** | **2,402.86** |
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| THE GOLDMAN SACHS GROUP, INC LINKED TO MSCI EAFE 0% DUE 03/25/2013 STRUCTURED NOTE (38146Q719) | 03/18/2011 | 03/25/2013 | 100 00 | 104,995 00 | 0 00 | 100,000 00 | 4,995 00 |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| THE GOLDMAN SACHS GROUP, INC LINKED TO MSCI EAFE AUTOCALLABLE W BUFFER STRUCTURED NOTE DUE 09/24/2014 (38147H106) | 09/19/2012 | 11/22/2013 | 500 00 | 550,000 00 | 0 00 | 500,000 00 | 50,000 00 |
| **Net NonCovered Long-Term Gains (Losses)** | | | | **654,995.00** | **0.00** | **600,000.00** | **54,995.00** |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## REALIZED GAIN AND LOSS SUMMARY

| SHORT-TERM GAINS (LOSSES) | | LONG-TERM GAINS (LOSSES) | | ORDINARY GAINS (LOSSES) | |
|---|---|---|---|---|---|
| Net Covered Short Term Gains (Losses) | (1,773 36) | Net Covered Long Term Gains (Losses) | 51,425 88 | Net Ordinary Gains (Losses) | 0 00 |
| Net NonCovered Short Term Gains (Losses) | 0 00 | Net NonCovered Long Term Gains (Losses) | 14,202 85 | | |
| Net 1099B Non Reportable Short Term Gains (Losses) | 0 00 | Net 1099B Non Reportable Long Term Gains (Losses) | 0 00 | | |
| Net Miscellaneous Short Term Gains (Losses) | 0 00 | Net Miscellaneous Long Term Gains (Losses) | 0 00 | Net Miscellaneous Ordinary Gains (Losses) | 0 00 |
| Net Regulated Futures Contract Short Term Gains (Losses) | 0 00 | Net Regulated Futures Contract Long Term Gains (Losses) | 0 00 | | |
| **Total Short-Term Gains (Losses)** | **(1,773 36)** | **Total Long-Term Gains (Losses)** | **65,628.73** | **Total Ordinary Gains (Losses)** | **0 00** |

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| VERIFONE SYSTEMS INC CMN (92342Y109) | 01/25/2013 | 02/21/2013 | 50 00 | 926 93 | 0 00 | 2,551 76 | (1,624 83) |
| VERIFONE SYSTEMS INC CMN (92342Y109) | 01/11/2013 | 02/21/2013 | 100 00 | 1,807 85 | 0 00 | 3,156 36 | (1,348 51) |
| VERIFONE SYSTEMS INC CMN (92342Y109) Disallowed Loss | | | | | | | 1,348 51 |
| VERIFONE SYSTEMS INC CMN (92342Y109) | 01/25/2013 | 02/21/2013 | 100 00 | 1,807 85 | 0 00 | 3,601 12 | (1,793 27) |
| VERIFONE SYSTEMS INC CMN (92342Y109) Disallowed Loss | | | | | | | 896 63 |
| VERIFONE SYSTEMS INC CMN (92342Y109) | 01/11/2013 | 02/21/2013 | 100 00 | 1,853 88 | 0 00 | 4,856 41 | (3,002 53) |
| TIDEWATER INC CMN (886423102) | 02/01/2013 | 08/01/2013 | 50 00 | 3,009 50 | 0 00 | 2,483 54 | 525 96 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 03/14/2013 | 09/30/2013 | 0 29 | 10 52 | 0 00 | 0 00 | 10 52 |
| LEIDOS HLDGS INC CMN (525327102) | 03/14/2013 | 10/03/2013 | 0 50 | 23 11 | 0 00 | 0 00 | 23 11 |
| BILL BARRETT CORPORATION CMN (06846N104) | 08/02/2013 | 11/20/2013 | 100 00 | 2,687 00 | 0 00 | 2,145 85 | 541 15 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 03/20/2013 | 12/11/2013 | 7 00 | 249 20 | 0 00 | 200 21 | 48 99 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 03/15/2013 | 12/11/2013 | 21 00 | 747 60 | 0 00 | 583 45 | 164 15 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 03/18/2013 | 12/11/2013 | 29 00 | 1,032 40 | 0 00 | 787 22 | 245 18 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 03/14/2013 | 12/11/2013 | 43 00 | 1,530 80 | 0 00 | 1,158 11 | 372 69 |
| MALLINCKRODT PUBLIC LIMITED CO CMN (G5785G107) | 10/22/2013 | 12/17/2013 | 100 00 | 5,068 40 | 0 00 | 4,263 35 | 805 05 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 03/20/2013 | 12/17/2013 | 7 00 | 225 21 | 0 00 | 200 21 | 25 00 |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 07/05/2013 | 12/17/2013 | 8 00 | 257 38 | 0 00 | 244 11 | 13 27 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 04/22/2013 | 12/17/2013 | 14 00 | 450 41 | 0 00 | 443 50 | 6 91 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 06/05/2013 | 12/17/2013 | 14 00 | 450 41 | 0 00 | 462 30 | (11 89) |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 05/09/2013 | 12/17/2013 | 14 00 | 450 42 | 0 00 | 471 82 | (21 40) |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 06/12/2013 | 12/17/2013 | 14 00 | 450 42 | 0 00 | 426 77 | 23 65 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 03/21/2013 | 12/17/2013 | 29 00 | 933 01 | 0 00 | 799 77 | 133 24 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 07/18/2013 | 12/19/2013 | 8 00 | 247 57 | 0 00 | 246 47 | 1 10 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 07/09/2013 | 12/19/2013 | 14 00 | 433 24 | 0 00 | 443 86 | (10 62) |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 07/16/2013 | 12/19/2013 | 14 00 | 433 24 | 0 00 | 441 20 | (7 96) |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 07/15/2013 | 12/19/2013 | 29 00 | 897 42 | 0 00 | 887 64 | 9 78 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 07/05/2013 | 12/19/2013 | 35 00 | 1,083 09 | 0 00 | 1,067 99 | 15 10 |
| MALLINCKRODT PUBLIC LIMITED CO CMN (G5785G107) | 10/24/2013 | 12/20/2013 | 100 00 | 5,224 16 | 0 00 | 4,381 13 | 843 03 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 07/24/2013 | 12/24/2013 | 14 00 | 439 66 | 0 00 | 464 78 | (25 12) |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 09/10/2013 | 12/24/2013 | 14 00 | 439 66 | 0 00 | 453 88 | (14 22) |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 09/04/2013 | 12/24/2013 | 15 00 | 471 06 | 0 00 | 449 60 | 21 46 |
| SCIENCE APPLICATIONS INTL CORP CMN (808625107) | 07/18/2013 | 12/24/2013 | 21 00 | 659 48 | 0 00 | 646 97 | 12 51 |
| **Net Covered Short-Term Disallowed Losses** | | | | | | | **2,245.14** |
| **Net Covered Short-Term Gains (Losses)** | | | | **34,300.88** | **0.00** | **38,319.38** | **(1,773.36)** |

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| PERKINELMER INC CMN (714046109) | 11/07/2011 | 01/11/2013 | 50 00 | 1,723 03 | 0 00 | 1,000 89 | 722 14 |
| PERKINELMER INC CMN (714046109) | 11/10/2011 | 01/11/2013 | 50 00 | 1,723 04 | 0 00 | 978 61 | 744 43 |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| PERKINELMER INC CMN (714046109) | 11/21/2011 | 01/17/2013 | 50 00 | 1,723 59 | 0 00 | 915 61 | 807 98 |
| PERKINELMER INC CMN (714046109) | 11/10/2011 | 01/17/2013 | 50 00 | 1,723 60 | 0 00 | 978 61 | 744 99 |
| PERKINELMER INC CMN (714046109) | 11/22/2011 | 01/18/2013 | 50 00 | 1,754 71 | 0 00 | 897 66 | 857 05 |
| PERKINELMER INC CMN (714046109) | 11/30/2011 | 01/22/2013 | 50 00 | 1,756 04 | 0 00 | 934 39 | 821 65 |
| PERKINELMER INC CMN (714046109) | 11/22/2011 | 01/22/2013 | 50 00 | 1,756 04 | 0 00 | 897 66 | 858 38 |
| CABOT MICROELECTRONICS CORP CMN (12709P103) | 08/09/2011 | 01/24/2013 | 100 00 | 3,744 28 | 0 00 | 3,869 90 | (125 62) |
| GENERAL MOTORS COMPANY CMN (37045V100) | 11/08/2011 | 02/05/2013 | 50 00 | 1,423 00 | 0 00 | 1,238 40 | 184 60 |
| GENERAL MOTORS COMPANY CMN (37045V100) | 11/09/2011 | 02/05/2013 | 100 00 | 2,845 99 | 0 00 | 2,294 30 | 551 69 |
| GENERAL MOTORS COMPANY CMN (37045V100) | 11/11/2011 | 02/05/2013 | 100 00 | 2,845 99 | 0 00 | 2,282 02 | 563 97 |
| JOHNSON & JOHNSON CMN (478160104) | 01/04/2011 | 02/12/2013 | 100 00 | 7,577 93 | 0 00 | 6,289 72 | 1,288 21 |
| JOHNSON & JOHNSON CMN (478160104) | 01/07/2011 | 02/15/2013 | 100 00 | 7,574 92 | 0 00 | 6,273 77 | 1,301 15 |
| PERKINELMER INC CMN (714046109) | 11/30/2011 | 03/14/2013 | 50 00 | 1,763 73 | 0 00 | 934 39 | 829 34 |
| PERKINELMER INC CMN (714046109) | 12/05/2011 | 03/14/2013 | 50 00 | 1,763 73 | 0 00 | 960 00 | 803 73 |
| CABOT MICROELECTRONICS CORP CMN (12709P103) | 08/09/2011 | 03/25/2013 | 100 00 | 3,533 48 | 0 00 | 3,869 90 | (336 42) |
| CABOT MICROELECTRONICS CORP CMN (12709P103) | 08/09/2011 | 04/11/2013 | 50 00 | 1,654 16 | 0 00 | 1,934 95 | (280 79) |
| PERKINELMER INC CMN (714046109) | 12/07/2011 | 04/17/2013 | 50 00 | 1,700 07 | 0 00 | 963 73 | 736 34 |
| PERKINELMER INC CMN (714046109) | 12/05/2011 | 04/17/2013 | 50 00 | 1,700 07 | 0 00 | 960 00 | 740 07 |
| TIDEWATER INC CMN (886423102) | 05/12/2011 | 04/17/2013 | 100 00 | 4,805 59 | 0 00 | 5,585 00 | (779 41) |
| GENERAL MOTORS COMPANY CMN (37045V100) | 11/16/2011 | 04/18/2013 | 100 00 | 2,899 83 | 0 00 | 2,321 33 | 578 50 |
| HANESBRANDS INC CMN (410345102) | 03/30/2011 | 04/24/2013 | 100 00 | 4,853 48 | 0 00 | 2,740 26 | 2,113 22 |
| GENERAL MOTORS COMPANY CMN (37045V100) | 11/21/2011 | 04/30/2013 | 100 00 | 3,078 52 | 0 00 | 2,069 74 | 1,008 78 |
| LENDER PROCESSING SERVICES, IN CMN (52602E102) | 07/06/2011 | 05/08/2013 | 100 00 | 2,831 20 | 0 00 | 2,046 05 | 785 15 |
| HANESBRANDS INC CMN (410345102) | 12/14/2011 | 05/16/2013 | 100 00 | 5,097 44 | 0 00 | 2,256 63 | 2,840 81 |
| LENDER PROCESSING SERVICES, IN CMN (52602E102) | 07/07/2011 | 05/23/2013 | 100 00 | 3,277 14 | 0 00 | 1,984 53 | 1,292 61 |
| LENDER PROCESSING SERVICES, IN CMN (52602E102) | 07/08/2011 | 05/23/2013 | 100 00 | 3,277 14 | 0 00 | 2,026 46 | 1,250 68 |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| LENDER PROCESSING SERVICES, IN CMN (52602E102) | 07/26/2011 | 05/28/2013 | 100 00 | 3,352 08 | 0 00 | 1,994 72 | 1,357 36 |
| LENDER PROCESSING SERVICES, IN CMN (52602E102) | 08/15/2011 | 06/05/2013 | 100 00 | 3,303 05 | 0 00 | 1,823 95 | 1,479 10 |
| LENDER PROCESSING SERVICES, IN CMN (52602E102) | 11/22/2011 | 06/05/2013 | 150 00 | 4,954 58 | 0 00 | 2,585 70 | 2,368 88 |
| TIDEWATER INC CMN (886423102) | 05/23/2011 | 06/05/2013 | 100 00 | 5,521 66 | 0 00 | 5,205 62 | 316 04 |
| WPX ENERGY, INC CMN (98212B103) | 05/17/2012 | 06/18/2013 | 100 00 | 2,034 11 | 0 00 | 1,587 59 | 446 52 |
| HANESBRANDS INC CMN (410345102) | 02/16/2012 | 06/24/2013 | 100 00 | 4,983 75 | 0 00 | 2,723 15 | 2,260 60 |
| JOHNSON & JOHNSON CMN (478160104) | 01/18/2011 | 06/25/2013 | 50 00 | 4,255 11 | 0 00 | 3,115 95 | 1,139 16 |
| TIDEWATER INC CMN (886423102) | 05/23/2011 | 07/09/2013 | 100 00 | 5,803 85 | 0 00 | 5,205 62 | 598 23 |
| HANESBRANDS INC CMN (410345102) | 02/16/2012 | 07/24/2013 | 100 00 | 5,825 00 | 0 00 | 2,661 53 | 3,163 47 |
| JOHNSON & JOHNSON CMN (478160104) | 01/25/2011 | 08/07/2013 | 50 00 | 4,678 33 | 0 00 | 3,044 03 | 1,634 30 |
| JOHNSON & JOHNSON CMN (478160104) | 01/18/2011 | 08/07/2013 | 50 00 | 4,678 33 | 0 00 | 3,115 95 | 1,562 38 |
| JOHNSON & JOHNSON CMN (478160104) | 01/26/2011 | 08/12/2013 | 50 00 | 4,607 94 | 0 00 | 3,046 95 | 1,560 99 |
| JOHNSON & JOHNSON CMN (478160104) | 01/25/2011 | 08/12/2013 | 50 00 | 4,607 94 | 0 00 | 3,044 03 | 1,563 91 |
| JOHNSON & JOHNSON CMN (478160104) | 01/26/2011 | 08/13/2013 | 50 00 | 4,617 02 | 0 00 | 3,046 95 | 1,570 07 |
| BAXTER INTERNATIONAL INC CMN (071813109) | 12/14/2011 | 08/27/2013 | 47 00 | 3,317 15 | 0 00 | 2,280 34 | 1,036 81 |
| BAXTER INTERNATIONAL INC CMN (071813109) | 12/14/2011 | 08/29/2013 | 53 00 | 3,718 48 | 0 00 | 2,571 44 | 1,147 04 |
| EXELIS INC CMN (30162A108) | 02/03/2012 | 09/25/2013 | 100 00 | 1,598 17 | 0 00 | 1,011 81 | 586 36 |
| BABCOCK & WILCOX COMPANY (THE) CMN (05615F102) | 03/15/2011 | 10/02/2013 | 100 00 | 3,411 23 | 0 00 | 2,824 15 | 587 08 |
| EXELIS INC CMN (30162A108) | 02/03/2012 | 10/02/2013 | 100 00 | 1,599 63 | 0 00 | 1,011 81 | 587 82 |
| EXELIS INC CMN (30162A108) | 02/06/2012 | 10/02/2013 | 200 00 | 3,201 10 | 0 00 | 2,006 30 | 1,194 80 |
| EXELIS INC CMN (30162A108) | 02/07/2012 | 10/22/2013 | 100 00 | 1,607 83 | 0 00 | 1,000 62 | 607 21 |
| BILL BARRETT CORPORATION CMN (06846N104) | 01/07/2011 | 11/06/2013 | 100 00 | 2,929 34 | 0 00 | 3,782 91 | (853 57) |
| WPX ENERGY, INC CMN (98212B103) | 05/17/2012 | 11/06/2013 | 100 00 | 2,154 07 | 0 00 | 1,587 59 | 566 48 |
| EXELIS INC CMN (30162A108) | 02/08/2012 | 11/07/2013 | 200 00 | 3,315 54 | 0 00 | 2,002 58 | 1,312 96 |
| BILL BARRETT CORPORATION CMN (06846N104) | 09/30/2011 | 11/08/2013 | 100 00 | 2,838 11 | 0 00 | 3,668 63 | (830 52) |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| BILL BARRETT CORPORATION CMN (06846N104) | 12/15/2011 | 11/11/2013 | 100 00 | 2,879 64 | 0 00 | 3,290 93 | (411 29) |
| BILL BARRETT CORPORATION CMN (06846N104) | 01/11/2012 | 11/13/2013 | 100 00 | 2,860 56 | 0 00 | 3,218 84 | (358 28) |
| BILL BARRETT CORPORATION CMN (06846N104) | 01/25/2012 | 11/14/2013 | 100 00 | 2,858 86 | 0 00 | 2,835 69 | 23 17 |
| BILL BARRETT CORPORATION CMN (06846N104) | 02/09/2012 | 11/19/2013 | 100 00 | 2,703 54 | 0 00 | 2,731 30 | (27 76) |
| EXELIS INC CMN (30162A108) | 02/09/2012 | 12/17/2013 | 100 00 | 1,848 62 | 0 00 | 1,009 36 | 839 26 |
| EXELIS INC CMN (30162A108) | 02/09/2012 | 12/20/2013 | 100 00 | 1,879 59 | 0 00 | 1,009 36 | 870 23 |
| EXELIS INC CMN (30162A108) | 02/14/2012 | 12/24/2013 | 100 00 | 1,895 43 | 0 00 | 1,031 56 | 863 87 |
| EXELIS INC CMN (30162A108) | 02/15/2012 | 12/26/2013 | 100 00 | 1,920 43 | 0 00 | 1,026 22 | 894 21 |
| EXELIS INC CMN (30162A108) | 02/15/2012 | 12/27/2013 | 100 00 | 1,891 98 | 0 00 | 1,026 22 | 865 76 |
| **Net Covered Long-Term Gains (Losses)** | | | | **194,059.79** | **0.00** | **142,633.91** | **51,425.88** |
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| HANESBRANDS INC CMN (410345102) | 12/09/2010 | 01/14/2013 | 50 00 | 1,849 53 | 0 00 | 1,302 74 | 546 79 |
| HANESBRANDS INC CMN (410345102) | 12/09/2010 | 01/14/2013 | 50 00 | 1,849 53 | 0 00 | 1,324 84 | 524 69 |
| BAXTER INTERNATIONAL INC CMN (071813109) | 05/07/2010 | 02/12/2013 | 27 00 | 1,861 64 | 0 00 | 1,220 35 | 641 29 |
| BAXTER INTERNATIONAL INC CMN (071813109) | 04/12/2010 | 02/12/2013 | 73 00 | 5,033 34 | 0 00 | 4,234 73 | 798 61 |
| HANESBRANDS INC CMN (410345102) | 12/10/2010 | 02/15/2013 | 50 00 | 2,000 45 | 0 00 | 1,309 23 | 691 22 |
| HANESBRANDS INC CMN (410345102) | 12/09/2010 | 02/15/2013 | 50 00 | 2,000 45 | 0 00 | 1,302 74 | 697 71 |
| BAXTER INTERNATIONAL INC CMN (071813109) | 05/07/2010 | 03/15/2013 | 50 00 | 3,464 94 | 0 00 | 2,259 91 | 1,205 03 |
| TIDEWATER INC CMN (886423102) | 12/08/2010 | 03/15/2013 | 50 00 | 2,407 15 | 0 00 | 2,510 06 | (102 91) |
| BAXTER INTERNATIONAL INC CMN (071813109) | 05/07/2010 | 03/22/2013 | 3 00 | 212 27 | 0 00 | 135 60 | 76 67 |
| BAXTER INTERNATIONAL INC CMN (071813109) | 12/10/2010 | 03/22/2013 | 47 00 | 3,325 54 | 0 00 | 2,355 90 | 969 64 |
| HANESBRANDS INC CMN (410345102) | 12/10/2010 | 04/04/2013 | 100 00 | 4,509 18 | 0 00 | 2,618 46 | 1,890 72 |
| TIDEWATER INC CMN (886423102) | 12/08/2010 | 04/04/2013 | 50 00 | 2,460 35 | 0 00 | 2,510 06 | (49 71) |
| HANESBRANDS INC CMN (410345102) | 12/10/2010 | 04/11/2013 | 50 00 | 2,462 78 | 0 00 | 1,309 23 | 1,153 55 |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| BAXTER INTERNATIONAL INC CMN (071813109) | 12/10/2010 | 06/21/2013 | 100 00 | 6,991 89 | 0 00 | 5,012 56 | 1,979 33 |
| LIVE NATION ENTERTAINMENT INC CMN (538034109) | 12/08/2010 | 08/13/2013 | 200 00 | 3,653 53 | 0 00 | 2,328 90 | 1,324 63 |
| LIVE NATION ENTERTAINMENT INC CMN (538034109) | 12/08/2010 | 08/21/2013 | 100 00 | 1,735 12 | 0 00 | 1,164 45 | 570 67 |
| BAXTER INTERNATIONAL INC CMN (071813109) | 12/10/2010 | 08/26/2013 | 100 00 | 7,206 31 | 0 00 | 5,012 56 | 2,193 75 |
| BAXTER INTERNATIONAL INC CMN (071813109) | 12/10/2010 | 08/27/2013 | 53 00 | 3,740 61 | 0 00 | 2,656 66 | 1,083 95 |
| LIVE NATION ENTERTAINMENT INC CMN (538034109) | 12/08/2010 | 10/10/2013 | 100 00 | 1,877 27 | 0 00 | 1,164 45 | 712 82 |
| VCA ANTECH, INC CMN (918194101) | 12/10/2010 | 10/10/2013 | 100 00 | 2,747 65 | 0 00 | 2,319 51 | 428 14 |
| VCA ANTECH, INC CMN (918194101) | 12/10/2010 | 10/11/2013 | 50 00 | 1,385 94 | 0 00 | 1,159 76 | 226 18 |
| LIVE NATION ENTERTAINMENT INC CMN (538034109) | 12/10/2010 | 10/23/2013 | 200 00 | 3,839 09 | 0 00 | 2,286 16 | 1,552 93 |
| BILL BARRETT CORPORATION CMN (06846N104) | 12/09/2010 | 10/28/2013 | 100 00 | 2,788 95 | 0 00 | 3,915 75 | (1,126 80) |
| BILL BARRETT CORPORATION CMN (06846N104) | 12/09/2010 | 10/31/2013 | 100 00 | 2,797 86 | 0 00 | 3,915 75 | (1,117 89) |
| BILL BARRETT CORPORATION CMN (06846N104) | 12/09/2010 | 11/01/2013 | 100 00 | 3,011 49 | 0 00 | 3,881 47 | (869 98) |
| BILL BARRETT CORPORATION CMN (06846N104) | 12/10/2010 | 11/04/2013 | 100 00 | 3,033 28 | 0 00 | 3,913 36 | (880 08) |
| BILL BARRETT CORPORATION CMN (06846N104) | 12/10/2010 | 11/05/2013 | 100 00 | 2,995 26 | 0 00 | 3,913 36 | (918 10) |
| **Net NonCovered Long-Term Gains (Losses)** | | | | **81,241.40** | **0.00** | **67,038.55** | **14,202.85** |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## REALIZED GAIN AND LOSS SUMMARY

| SHORT-TERM GAINS (LOSSES) | | LONG-TERM GAINS (LOSSES) | | ORDINARY GAINS (LOSSES) | |
|---|---|---|---|---|---|
| Net Covered Short Term Gains (Losses) | 2,826 94 | Net Covered Long Term Gains (Losses) | (728 23) | Net Ordinary Gains (Losses) | 0 00 |
| Net NonCovered Short Term Gains (Losses) | 0 00 | Net NonCovered Long Term Gains (Losses) | 51,041 74 | | |
| Net 1099B Non Reportable Short Term Gains (Losses) | 0 00 | Net 1099B Non Reportable Long Term Gains (Losses) | 0 00 | | |
| Net Miscellaneous Short Term Gains (Losses) | 0 00 | Net Miscellaneous Long Term Gains (Losses) | 0 00 | Net Miscellaneous Ordinary Gains (Losses) | 0 00 |
| Net Regulated Futures Contract Short Term Gains (Losses) | 0 00 | Net Regulated Futures Contract Long Term Gains (Losses) | 0 00 | | |
| **Total Short-Term Gains (Losses)** | **2,826 94** | **Total Long-Term Gains (Losses)** | **50,313.51** | **Total Ordinary Gains (Losses)** | **0 00** |

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| RESEARCH IN MOTION LIMITED CMN (760975102) | 06/15/2012 | 01/18/2013 | 95 00 | 1,499 20 | 0 00 | 983 25 | 515 95 |
| RESEARCH IN MOTION LIMITED CMN (760975102) | 06/15/2012 | 01/23/2013 | 55 00 | 968 03 | 0 00 | 569 25 | 398 78 |
| RESEARCH IN MOTION LIMITED CMN (760975102) | 08/27/2012 | 01/23/2013 | 80 00 | 1,408 04 | 0 00 | 569 80 | 838 24 |
| WELLPOINT, INC CMN (94973V107) | 08/20/2012 | 07/12/2013 | 10 00 | 852 18 | 0 00 | 573 08 | 279 10 |
| DELL INC CMN (24702R101) | 07/10/2013 | 10/30/2013 | 135 00 | 1,856 25 | 0 00 | 1,802 56 | 53 69 |
| DELL INC CMN (24702R101) | 11/16/2012 | 10/30/2013 | 150 00 | 2,062 50 | 0 00 | 1,321 32 | 741 18 |
| **Net Covered Short-Term Gains (Losses)** | | | | **8,646.20** | **0.00** | **5,819.26** | **2,826.94** |

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| HEWLETT-PACKARD CO CMN (428236103) | 05/17/2011 | 01/17/2013 | 30 00 | 515 97 | 0 00 | 1,084 52 | (568 55) |
| HEWLETT-PACKARD CO CMN (428236103) | 03/28/2011 | 01/17/2013 | 110 00 | 1,891 91 | 0 00 | 4,674 64 | (2,782 73) |
| RESEARCH IN MOTION LIMITED CMN (760975102) | 12/16/2011 | 01/18/2013 | 35 00 | 552 34 | 0 00 | 471 23 | 81 11 |
| HEWLETT-PACKARD CO CMN (428236103) | 05/17/2011 | 03/27/2013 | 85 00 | 2,001 97 | 0 00 | 3,072 81 | (1,070 84) |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| CISCO SYSTEMS, INC CMN (17275R102) | 05/12/2011 | 06/25/2013 | 150 00 | 3,642 55 | 0 00 | 2,543 90 | 1,098 65 |
| HEWLETT-PACKARD CO CMN (428236103) | 05/17/2011 | 07/10/2013 | 10 00 | 259 29 | 0 00 | 361 51 | (102 22) |
| HEWLETT-PACKARD CO CMN (428236103) | 08/19/2011 | 07/10/2013 | 100 00 | 2,592 84 | 0 00 | 2,368 44 | 224 40 |
| HEWLETT-PACKARD CO CMN (428236103) | 08/19/2011 | 07/12/2013 | 35 00 | 916 99 | 0 00 | 828 96 | 88 03 |
| DELL INC CMN (24702R101) | 10/09/2012 | 10/30/2013 | 345 00 | 4,743 75 | 0 00 | 3,331 49 | 1,412 26 |
| NEWS CORPORATION CMN SERIES CLASS A (65249B109) | 05/12/2011 | 10/30/2013 | 39 00 | 678 19 | 0 00 | 307 74 | 370 45 |
| NEWS CORPORATION CMN SERIES CLASS A (65249B109) | 06/10/2011 | 10/30/2013 | 53 00 | 921 65 | 0 00 | 400 44 | 521 21 |
| **Net Covered Long-Term Gains (Losses)** | | | | **18,717.45** | **0.00** | **19,445.68** | **(728.23)** |
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| TWENTY-FIRST CENTURY FOX, INC CMN CLASS A (65248E104) | 12/08/2010 | 01/02/2013 | 120 00 | 3,174 69 | 0 00 | 1,722 36 | 1,452 33 |
| HEWLETT-PACKARD CO CMN (428236103) | 12/08/2010 | 01/17/2013 | 85 00 | 1,461 93 | 0 00 | 3,595 50 | (2,133 57) |
| PFIZER INC CMN (717081103) | 12/08/2010 | 01/30/2013 | 205 00 | 5,642 91 | 0 00 | 3,435 80 | 2,207 11 |
| H & R BLOCK INC CMN (093671105) | 12/08/2010 | 02/15/2013 | 180 00 | 4,524 50 | 0 00 | 2,452 95 | 2,071 55 |
| TWENTY-FIRST CENTURY FOX, INC CMN CLASS A (65248E104) | 12/08/2010 | 02/21/2013 | 360 00 | 10,220 60 | 0 00 | 5,167 08 | 5,053 52 |
| PROCTER & GAMBLE COMPANY (THE) CMN (742718109) | 12/08/2010 | 02/22/2013 | 25 00 | 1,924 14 | 0 00 | 1,558 50 | 365 64 |
| PROCTER & GAMBLE COMPANY (THE) CMN (742718109) | 12/17/2010 | 02/22/2013 | 115 00 | 8,851 03 | 0 00 | 7,464 54 | 1,386 49 |
| BECTON DICKINSON & CO CMN (075887109) | 12/08/2010 | 04/05/2013 | 45 00 | 4,322 96 | 0 00 | 3,647 70 | 675 26 |
| CLOROX CO (THE) (DELAWARE) CMN (189054109) | 12/08/2010 | 04/05/2013 | 40 00 | 3,464 99 | 0 00 | 2,492 09 | 972 90 |
| COMCAST CORPORATION CMN CLASS A NON VOTING (20030N200) | 12/08/2010 | 04/05/2013 | 45 00 | 1,758 84 | 0 00 | 887 32 | 871 52 |
| CONOCOPHILLIPS CMN (20825C104) | 12/08/2010 | 04/05/2013 | 70 00 | 4,079 30 | 0 00 | 3,486 01 | 593 29 |
| PEPSICO INC CMN (713448108) | 12/08/2010 | 04/05/2013 | 45 00 | 3,540 85 | 0 00 | 2,916 00 | 624 85 |
| PFIZER INC CMN (717081103) | 12/08/2010 | 04/12/2013 | 135 00 | 4,140 27 | 0 00 | 2,262 60 | 1,877 67 |
| TWENTY-FIRST CENTURY FOX, INC CMN CLASS A (65248E104) | 12/08/2010 | 04/24/2013 | 250 00 | 7,787 07 | 0 00 | 3,588 25 | 4,198 82 |
| BECTON DICKINSON & CO CMN (075887109) | 12/08/2010 | 04/26/2013 | 25 00 | 2,380 75 | 0 00 | 2,026 50 | 354 25 |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| PFIZER INC CMN (717081103) | 12/08/2010 | 04/26/2013 | 250 00 | 7,458 26 | 0 00 | 4,190 00 | 3,268 26 |
| TWENTY-FIRST CENTURY FOX, INC CMN CLASS A (65248E104) | 12/08/2010 | 05/10/2013 | 125 00 | 4,166 40 | 0 00 | 1,794 13 | 2,372 27 |
| CLOROX CO (THE) (DELAWARE) CMN (189054109) | 12/08/2010 | 05/21/2013 | 35 00 | 3,008 89 | 0 00 | 2,180 58 | 828 31 |
| MICROSOFT CORPORATION CMN (594918104) | 12/08/2010 | 06/25/2013 | 25 00 | 839 68 | 0 00 | 670 50 | 169 18 |
| VIACOM INC CMN CLASS B (92553P201) | 12/08/2010 | 08/02/2013 | 40 00 | 3,175 00 | 0 00 | 1,581 96 | 1,593 04 |
| NEWS CORPORATION CMN SERIES CLASS A (65249B109) | 12/08/2010 | 09/17/2013 | 130 00 | 2,206 75 | 0 00 | 853 30 | 1,353 45 |
| TWENTY-FIRST CENTURY FOX, INC CMN CLASS A (90130A101) | 12/08/2010 | 10/03/2013 | 280 00 | 9,286 37 | 0 00 | 3,558 68 | 5,727 69 |
| NEWS CORPORATION CMN SERIES CLASS A (65249B109) | 12/08/2010 | 10/25/2013 | 160 00 | 2,746 96 | 0 00 | 1,050 21 | 1,696 75 |
| TWENTY-FIRST CENTURY FOX, INC CMN CLASS A (90130A101) | 12/08/2010 | 10/25/2013 | 165 00 | 5,759 71 | 0 00 | 2,097 08 | 3,662 63 |
| NEWS CORPORATION CMN SERIES CLASS A (65249B109) | 12/08/2010 | 10/30/2013 | 43 00 | 747 75 | 0 00 | 282 24 | 465 51 |
| BARD C R INC N J CMN (067383109) | 12/08/2010 | 11/05/2013 | 70 00 | 9,594 56 | 0 00 | 6,041 88 | 3,552 68 |
| MICROSOFT CORPORATION CMN (594918104) | 12/08/2010 | 11/07/2013 | 205 00 | 7,759 75 | 0 00 | 5,498 10 | 2,261 65 |
| BARD C R INC N J CMN (067383109) | 12/08/2010 | 11/13/2013 | 28 00 | 3,861 59 | 0 00 | 2,416 75 | 1,444 84 |
| BARD C R INC N J CMN (067383109) | 12/08/2010 | 11/14/2013 | 5 00 | 691 53 | 0 00 | 431 56 | 259 97 |
| BARD C R INC N J CMN (067383109) | 12/08/2010 | 12/03/2013 | 35 00 | 4,834 82 | 0 00 | 3,020 94 | 1,813 88 |
| **Net NonCovered Long-Term Gains (Losses)** | | | | **133,412.85** | **0.00** | **82,371.11** | **51,041.74** |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## REALIZED GAIN AND LOSS SUMMARY

| SHORT-TERM GAINS (LOSSES) | | LONG-TERM GAINS (LOSSES) | | ORDINARY GAINS (LOSSES) | |
|---|---|---|---|---|---|
| Net Covered Short Term Gains (Losses) | 0 00 | Net Covered Long Term Gains (Losses) | 27,329 25 | Net Ordinary Gains (Losses) | 0 00 |
| Net NonCovered Short Term Gains (Losses) | 12 18 | Net NonCovered Long Term Gains (Losses) | 0 49 | | |
| Net 1099B Non Reportable Short Term Gains (Losses) | 0 00 | Net 1099B Non Reportable Long Term Gains (Losses) | 5 56 | | |
| Net Miscellaneous Short Term Gains (Losses) | 0 00 | Net Miscellaneous Long Term Gains (Losses) | 0 00 | Net Miscellaneous Ordinary Gains (Losses) | 0 00 |
| Net Regulated Futures Contract Short Term Gains (Losses) | 0 00 | Net Regulated Futures Contract Long Term Gains (Losses) | 0 00 | | |
| **Total Short-Term Gains (Losses)** | **12 18** | **Total Long-Term Gains (Losses)** | **27,335.30** | **Total Ordinary Gains (Losses)** | **0 00** |

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **NonCovered Short-Term Gains (Losses)** | | | | | | | |
| CORRECTIONS CORP OF AMERICA CMN (22025Y407) | 05/21/2013 | 05/21/2013 | 0 36 | 12 18 | 0 00 | 0 00 | 12 18 |
| **Net NonCovered Short-Term Gains (Losses)** | | | | **12.18** | **0.00** | **0.00** | **12.18** |

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| NU SKIN ENTERPRISES INC CMN CLASS A (67018T105) | 05/06/2011 | 02/21/2013 | 150 00 | 5,938 94 | 0 00 | 5,391 86 | 547 08 |
| MONTPELIER RE HOLDINGS LTD CMN (G62185106) | 04/20/2011 | 05/17/2013 | 76 00 | 1,927 64 | 0 00 | 1,320 63 | 607 01 |
| MONTPELIER RE HOLDINGS LTD CMN (G62185106) | 04/20/2011 | 07/31/2013 | 27 00 | 729 65 | 0 00 | 469 17 | 260 48 |
| ALLEGHANY CORP (DELAWARE) CMN (017175100) | 04/20/2011 | 08/02/2013 | 5 00 | 2,058 21 | 0 00 | 1,688 14 | 370 07 |
| MONTPELIER RE HOLDINGS LTD CMN (G62185106) | 04/20/2011 | 08/02/2013 | 23 00 | 617 76 | 0 00 | 399 66 | 218 10 |
| MONTPELIER RE HOLDINGS LTD CMN (G62185106) | 04/20/2011 | 08/05/2013 | 48 00 | 1,251 22 | 0 00 | 834 08 | 417 14 |
| KAMAN CORP CMN (483548103) | 07/11/2011 | 08/23/2013 | 77 00 | 2,695 32 | 0 00 | 2,785 51 | (90 19) |
| CABELA'S INCORPORATED CMN CLASS A (126804301) | 04/20/2011 | 09/23/2013 | 67 00 | 4,248 40 | 0 00 | 1,798 29 | 2,450 11 |
| ENERGIZER HOLDINGS, INC CMN (29266R108) | 04/20/2011 | 09/23/2013 | 4 00 | 378 74 | 0 00 | 280 56 | 98 18 |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| KRATON PERFORMNC POLMERS INC CMN (50077C106) | 06/08/2012 | 09/23/2013 | 32 00 | 639 74 | 0 00 | 613 59 | 26 15 |
| MATSON, INC CMN (57686G105) | 04/20/2011 | 09/23/2013 | 9 00 | 242 49 | 0 00 | 227 16 | 15 33 |
| MICREL INC CMN (594793101) | 04/20/2011 | 09/23/2013 | 48 00 | 441 23 | 0 00 | 614 82 | (173 59) |
| RITCHIE BROS AUCTIONEERS INC CMN (767744105) | 06/08/2012 | 09/23/2013 | 7 00 | 143 58 | 0 00 | 139 69 | 3 89 |
| VALUECLICK, INC ORD CMN (92046N102) | 04/20/2011 | 09/23/2013 | 30 00 | 624 66 | 0 00 | 468 88 | 155 78 |
| WORLD FUEL SERVICES CORP CMN (981475106) | 05/02/2012 | 09/23/2013 | 9 00 | 330 81 | 0 00 | 358 82 | (28 01) |
| ENERGIZER HOLDINGS, INC CMN (29266R108) | 04/20/2011 | 09/24/2013 | 6 00 | 564 05 | 0 00 | 420 84 | 143 21 |
| KRATON PERFORMNC POLMERS INC CMN (50077C106) | 06/11/2012 | 09/24/2013 | 21 00 | 417 44 | 0 00 | 396 78 | 20 66 |
| KRATON PERFORMNC POLMERS INC CMN (50077C106) | 06/08/2012 | 09/24/2013 | 22 00 | 437 31 | 0 00 | 421 84 | 15 47 |
| MATSON, INC CMN (57686G105) | 04/20/2011 | 09/24/2013 | 12 00 | 326 10 | 0 00 | 302 88 | 23 22 |
| MICREL INC CMN (594793101) | 04/20/2011 | 09/24/2013 | 64 00 | 585 71 | 0 00 | 819 76 | (234 05) |
| RITCHIE BROS AUCTIONEERS INC CMN (767744105) | 06/08/2012 | 09/24/2013 | 9 00 | 183 53 | 0 00 | 179 60 | 3 93 |
| VALUECLICK, INC ORD CMN (92046N102) | 04/20/2011 | 09/24/2013 | 40 00 | 839 97 | 0 00 | 625 17 | 214 80 |
| WORLD FUEL SERVICES CORP CMN (981475106) | 05/02/2012 | 09/24/2013 | 12 00 | 439 67 | 0 00 | 478 43 | (38 76) |
| ENERGIZER HOLDINGS, INC CMN (29266R108) | 04/20/2011 | 09/25/2013 | 16 00 | 1,483 04 | 0 00 | 1,122 25 | 360 79 |
| KRATON PERFORMNC POLMERS INC CMN (50077C106) | 06/13/2012 | 09/25/2013 | 32 00 | 629 49 | 0 00 | 596 70 | 32 79 |
| KRATON PERFORMNC POLMERS INC CMN (50077C106) | 06/11/2012 | 09/25/2013 | 33 00 | 649 16 | 0 00 | 623 50 | 25 66 |
| KRATON PERFORMNC POLMERS INC CMN (50077C106) | 06/12/2012 | 09/25/2013 | 55 00 | 1,081 93 | 0 00 | 1,014 03 | 67 90 |
| MATSON, INC CMN (57686G105) | 04/20/2011 | 09/25/2013 | 35 00 | 923 76 | 0 00 | 883 39 | 40 37 |
| MICREL INC CMN (594793101) | 04/20/2011 | 09/25/2013 | 183 00 | 1,651 34 | 0 00 | 2,343 99 | (692 65) |
| RITCHIE BROS AUCTIONEERS INC CMN (767744105) | 06/08/2012 | 09/25/2013 | 26 00 | 529 79 | 0 00 | 518 84 | 10 95 |
| VALUECLICK, INC ORD CMN (92046N102) | 04/20/2011 | 09/25/2013 | 115 00 | 2,379 96 | 0 00 | 1,797 36 | 582 60 |
| WORLD FUEL SERVICES CORP CMN (981475106) | 05/02/2012 | 09/25/2013 | 35 00 | 1,286 28 | 0 00 | 1,395 43 | (109 15) |
| ENERGIZER HOLDINGS, INC CMN (29266R108) | 04/20/2011 | 09/26/2013 | 15 00 | 1,388 63 | 0 00 | 1,052 11 | 336 52 |
| KRATON PERFORMNC POLMERS INC CMN (50077C106) | 06/13/2012 | 09/26/2013 | 23 00 | 446 97 | 0 00 | 428 88 | 18 09 |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| KRATON PERFORMNC POLMERS INC CMN (50077C106) | 06/28/2012 | 09/26/2013 | 49 00 | 952 23 | 0 00 | 1,005 48 | (53 25) |
| KRATON PERFORMNC POLMERS INC CMN (50077C106) | 06/27/2012 | 09/26/2013 | 51 00 | 991 10 | 0 00 | 1,031 54 | (40 44) |
| MATSON, INC CMN (57686G105) | 04/20/2011 | 09/26/2013 | 35 00 | 925 07 | 0 00 | 883 39 | 41 68 |
| MICREL INC CMN (594793101) | 04/20/2011 | 09/26/2013 | 181 00 | 1,627 27 | 0 00 | 2,318 38 | (691 11) |
| RITCHIE BROS AUCTIONEERS INC CMN (767744105) | 06/08/2012 | 09/26/2013 | 11 00 | 224 44 | 0 00 | 219 51 | 4 93 |
| RITCHIE BROS AUCTIONEERS INC CMN (767744105) | 06/11/2012 | 09/26/2013 | 14 00 | 285 65 | 0 00 | 273 65 | 12 00 |
| VALUECLICK, INC ORD CMN (92046N102) | 04/20/2011 | 09/26/2013 | 113 00 | 2,353 66 | 0 00 | 1,766 10 | 587 56 |
| WORLD FUEL SERVICES CORP CMN (981475106) | 05/02/2012 | 09/26/2013 | 35 00 | 1,299 53 | 0 00 | 1,395 43 | (95 90) |
| ALLEGHANY CORP (DELAWARE) CMN (017175100) | 04/20/2011 | 12/11/2013 | 12 00 | 4,714 93 | 0 00 | 4,051 53 | 663 40 |
| ENERGIZER HOLDINGS, INC CMN (29266R108) | 04/20/2011 | 12/11/2013 | 46 00 | 5,065 73 | 0 00 | 3,226 46 | 1,839 27 |
| NU SKIN ENTERPRISES INC CMN CLASS A (67018T105) | 05/19/2011 | 12/11/2013 | 18 00 | 2,280 16 | 0 00 | 682 48 | 1,597 68 |
| NU SKIN ENTERPRISES INC CMN CLASS A (67018T105) | 05/06/2011 | 12/11/2013 | 143 00 | 18,114 64 | 0 00 | 5,140 24 | 12,974 40 |
| PRICESMART INC CMN (741511109) | 04/20/2011 | 12/11/2013 | 58 00 | 6,862 22 | 0 00 | 2,270 77 | 4,591 45 |
| EATON VANCE CORP (NON-VTG) CMN (278265103) | 04/20/2011 | 12/13/2013 | 26 00 | 1,055 90 | 0 00 | 858 20 | 197 70 |
| **Net Covered Long-Term Gains (Losses)** | | | | **85,265.05** | **0.00** | **57,935.80** | **27,329.25** |
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| WTS/TEJON RANCH CO 40 0000 EXP08/31/2016 (879080133) | | 08/29/2013 | 0 00 | 0 49 | 0 00 | No Cost | 0 49 [8] |
| **Net NonCovered Long-Term Gains (Losses)** | | | | **0.49** | **0.00** | **0.00** | **0.49** |
| **1099B Non Reportable Long-Term Gains (Losses)** | | | | | | | |
| CORRECTIONS CORP OF AMERICA CMN (220OPT994) | 05/19/2011 | 05/02/2013 | 0 00 | 0 09 | 0 00 | 0 00 | 0 09 |
| CORRECTIONS CORP OF AMERICA CMN (220OPT994) | 04/20/2011 | 05/02/2013 | 0 00 | 5 47 | 0 00 | 0 00 | 5 47 |
| **Net 1099B Non Reportable Long-Term Gains (Losses)** | | | | **5.56** | **0.00** | **0.00** | **5.56** |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

[6] Due to incomplete cost basis, gains may be incorrectly stated and should not be used for tax reporting purposes Please consult with your tax advisor

## REALIZED GAIN AND LOSS SUMMARY

| SHORT-TERM GAINS (LOSSES) | | LONG-TERM GAINS (LOSSES) | | ORDINARY GAINS (LOSSES) | |
|---|---|---|---|---|---|
| Net Covered Short Term Gains (Losses) | 16,066 03 | Net Covered Long Term Gains (Losses) | 0 00 | Net Ordinary Gains (Losses) | 0 00 |
| Net NonCovered Short Term Gains (Losses) | 0 00 | Net NonCovered Long Term Gains (Losses) | 0 00 | | |
| Net 1099B Non Reportable Short Term Gains (Losses) | 0 00 | Net 1099B Non Reportable Long Term Gains (Losses) | 0 00 | | |
| Net Miscellaneous Short Term Gains (Losses) | 0 00 | Net Miscellaneous Long Term Gains (Losses) | 0 00 | Net Miscellaneous Ordinary Gains (Losses) | 0 00 |
| Net Regulated Futures Contract Short Term Gains (Losses) | 0 00 | Net Regulated Futures Contract Long Term Gains (Losses) | 0 00 | | |
| **Total Short-Term Gains (Losses)** | **16,066 03** | **Total Long-Term Gains (Losses)** | **0.00** | **Total Ordinary Gains (Losses)** | **0 00** |

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| AMERICAN EXPRESS CO CMN (025816109) | 07/16/2013 | 07/17/2013 | 38 00 | 2,865 18 | 0 00 | 2,965 14 | (99 96) |
| AMERICAN EXPRESS CO CMN (025816109) | 07/16/2013 | 07/30/2013 | 20 00 | 1,503 47 | 0 00 | 1,560 60 | (57 13) |
| XILINX INCORPORATED CMN (983919101) | 07/16/2013 | 07/30/2013 | 15 00 | 694 12 | 0 00 | 653 25 | 40 87 |
| AMERICAN EXPRESS CO CMN (025816109) | 07/16/2013 | 08/01/2013 | 32 00 | 2,421 79 | 0 00 | 2,496 96 | (75 17) |
| SCHLUMBERGER LTD CMN (806857108) | 07/16/2013 | 08/01/2013 | 16 00 | 1,333 60 | 0 00 | 1,220 96 | 112 64 |
| XILINX INCORPORATED CMN (983919101) | 07/16/2013 | 08/02/2013 | 25 00 | 1,161 49 | 0 00 | 1,088 75 | 72 74 |
| SCHLUMBERGER LTD CMN (806857108) | 07/16/2013 | 10/03/2013 | 79 00 | 7,073 38 | 0 00 | 6,028 49 | 1,044 89 |
| SCHLUMBERGER LTD CMN (806857108) | 07/16/2013 | 10/10/2013 | 22 00 | 1,954 11 | 0 00 | 1,678 82 | 275 29 |
| INTERCONTINENTALEXCHANGE INC CMN (45865V100) | 07/16/2013 | 10/11/2013 | 26 00 | 5,046 52 | 0 00 | 4,729 92 | 316 60 |
| APPLE, INC CMN (037833100) | 07/16/2013 | 10/22/2013 | 17 00 | 8,934 12 | 0 00 | 7,281 78 | 1,652 34 |
| SCHLUMBERGER LTD CMN (806857108) | 07/16/2013 | 10/23/2013 | 3 00 | 278 62 | 0 00 | 228 93 | 49 69 |
| SCHLUMBERGER LTD CMN (806857108) | 08/26/2013 | 10/23/2013 | 74 00 | 6,872 53 | 0 00 | 6,099 82 | 772 71 |
| FEDEX CORP CMN (31428X106) | 07/18/2013 | 11/01/2013 | 3 00 | 403 69 | 0 00 | 325 76 | 77 93 |
| FEDEX CORP CMN (31428X106) | 07/17/2013 | 11/01/2013 | 7 00 | 941 94 | 0 00 | 724 76 | 217 18 |
| FEDEX CORP CMN (31428X106) | 08/26/2013 | 11/01/2013 | 10 00 | 1,345 64 | 0 00 | 1,129 34 | 216 30 |
| FEDEX CORP CMN (31428X106) | 07/16/2013 | 11/01/2013 | 65 00 | 8,746 60 | 0 00 | 6,735 95 | 2,010 65 |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| SBA COMMUNICATIONS CORP CMN (78388J106) | 08/26/2013 | 11/07/2013 | 27 00 | 2,467 76 | 0 00 | 1,995 20 | 472 56 |
| SBA COMMUNICATIONS CORP CMN (78388J106) | 07/16/2013 | 11/07/2013 | 127 00 | 11,607 58 | 0 00 | 10,078 72 | 1,528 86 |
| SBA COMMUNICATIONS CORP CMN (78388J106) | 08/26/2013 | 11/15/2013 | 58 00 | 5,218 67 | 0 00 | 4,285 98 | 932 69 |
| STARBUCKS CORP CMN (855244109) | 08/05/2013 | 11/25/2013 | 37 00 | 2,985 86 | 0 00 | 2,740 72 | 245 14 |
| STARBUCKS CORP CMN (855244109) | 11/14/2013 | 11/25/2013 | 47 00 | 3,792 85 | 0 00 | 3,817 98 | (25 13) |
| STARBUCKS CORP CMN (855244109) | 08/27/2013 | 11/25/2013 | 48 00 | 3,873 54 | 0 00 | 3,376 54 | 497 00 |
| STARBUCKS CORP CMN (855244109) | 08/26/2013 | 11/25/2013 | 136 00 | 10,975 04 | 0 00 | 9,774 32 | 1,200 72 |
| QUALCOMM INC CMN (747525103) | 07/16/2013 | 12/05/2013 | 91 00 | 6,669 18 | 0 00 | 5,602 87 | 1,066 31 |
| VERTEX PHARMACEUTICALS INC CMN (92532F100) | 07/16/2013 | 12/09/2013 | 41 00 | 2,726 03 | 0 00 | 3,523 54 | (797 51) |
| VERTEX PHARMACEUTICALS INC CMN (92532F100) | 08/26/2013 | 12/09/2013 | 151 00 | 10,039 75 | 0 00 | 11,874 64 | (1,834 89) |
| SCHLUMBERGER LTD CMN (806857108) | 08/26/2013 | 12/13/2013 | 311 00 | 26,787 05 | 0 00 | 25,635 73 | 1,151 32 |
| APPLE, INC CMN (037833100) | 07/16/2013 | 12/23/2013 | 2 00 | 1,131 66 | 0 00 | 856 68 | 274 98 |
| APPLE, INC CMN (037833100) | 08/26/2013 | 12/23/2013 | 70 00 | 39,608 22 | 0 00 | 35,418 70 | 4,189 52 |
| NIKE CLASS-B CMN CLASS B (654106103) | 07/16/2013 | 12/23/2013 | 38 00 | 2,923 67 | 0 00 | 2,386 78 | 536 89 |
| **Net Covered Short-Term Gains (Losses)** | | | | **182,383.66** | **0.00** | **166,317.63** | **16,066.03** |

[4] Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently You should consult with your own tax advisor to determine your correct basis

[5] Sale Proceeds may have been adjusted by an option premium due to an option assignment